Performance Evaluation Process
Purpose of the Performance Evaluation

- Candid performance information
- Clear goals
- Development plans
Informal Feedback

1. Self Assessment
2. Set Goals
3. Formal Year-End Review
Your Role as a Manager

**Communicate effectively**
Improve morale and help others achieve their goals

**Share your vision**
Initiate positive change and inspire others

**Focus on employees**
Foster collaboration and value differences
Self-Assessment

Prior to completing the evaluation for the performance period, provide the employee with the Self-Assessment form.

Tip: Provide a copy of the completed performance evaluation to the employee at the end of the day before the scheduled performance evaluation meeting.
Self-Assessment Questions

- What were your achievements in the measurement period?

- What are the areas of your performance (professional conduct and results) on which you could improve? Please describe.

- Are there additional skills, knowledge, or resources that would help you more effectively perform your present job or enhance your skill opportunities? If yes, please list.

- What goals (specific measurable results) do you expect to accomplish during the next measurement period?
# Performance Evaluation Form

**Employee Name (Last, First)**

**Job/Classification/Title**

**Manager/Supervisor Name & Title**

**Review Date**

**Review Type**

<table>
<thead>
<tr>
<th>New Hire</th>
<th>Annual</th>
<th>Provisional</th>
<th>Other</th>
</tr>
</thead>
</table>

## Purpose

The purpose of the Performance Evaluation is to reflect on the employee’s job performance and conduct for the review period and to set goals for the upcoming year. This tool is to be used for interactive and continuous communication between supervisors and employees throughout the year.

## Instructions

Please complete each section of the form below. For additional information, please see the instructions (*Link*).

### Section 1A: Evaluation of Job Responsibilities

<table>
<thead>
<tr>
<th>Exceeding (E)</th>
<th>Succeeding (S)</th>
<th>Developing (D)</th>
<th>Needs improvement (NI)</th>
</tr>
</thead>
</table>

- Comments regarding overall job performance of all job duties for measurement period.

### Section 1B: Evaluation of Individual Goals

<table>
<thead>
<tr>
<th>Exceeding (E)</th>
<th>Succeeding (S)</th>
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<th>Needs improvement (NI)</th>
</tr>
</thead>
</table>

- Comments regarding achievement of individual goals for measurement period (measurable goals & results).

### Section 1C: Evaluation of Professional Conduct

<table>
<thead>
<tr>
<th>Exceeding (E)</th>
<th>Succeeding (S)</th>
<th>Developing (D)</th>
<th>Needs improvement (NI)</th>
</tr>
</thead>
</table>

- Comments regarding demonstrated conduct during the measurement period.

### Section 1D: Manager’s Overall Evaluation

- Summarize the employee’s performance, discussing areas of strength & areas for improvement. Provide Overall Evaluation Rating for next measurement period.

- Employee comments on any aspect of the Performance Evaluation.

### Section 2A: Goals for Next Measurement Period

**Goal**

**Description & Measures**

### Section 2B: Development Plan

<table>
<thead>
<tr>
<th>Goal</th>
<th>Description &amp; Measures</th>
</tr>
</thead>
</table>

- **Yes** | **No** | Have you had the opportunity to complete the Employee Self-Assessment? |

- **Yes** | **No** | Do you understand the job factors/goals for the current evaluation cycle? |

- **Yes** | **No** | Do you understand the job factors/goals for the next evaluation cycle? |

## Signatures (Required)

Employees, supervisors, and managers must sign the Performance Evaluation and Development Plan and have been given the opportunity to provide written feedback. I understand and agree to provide an evaluation with an Overall Performance Rating of Needs improvement. My signature does not signify agreement.

| Manager/Supervisor | Date | Employee | Date | Second Level Supervisor/Dept. Head | Date |
Evaluation Levels and Sample Criteria
### Evaluation Levels and Sample Criteria

<table>
<thead>
<tr>
<th>Exceeding (E)</th>
<th>Succeeding (S)</th>
<th>Developing (D)</th>
<th>Needs Improvement (NI)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Includes individuals who significantly and consistently exceed expectations and role requirements</td>
<td>Includes individuals who consistently meet and occasionally exceed expectations and role requirements</td>
<td>Includes new employees who are still learning specific skills or key job responsibilities. Not a reflection on the employee’s skills, but simply a product of time in the position.</td>
<td>Demonstrates inconsistent required role knowledge and does not fully perform all requirements and duties</td>
</tr>
<tr>
<td>Exceeds goals set for the year</td>
<td>Meets goals set for the year</td>
<td>Needs to gain proficiency in certain skills, knowledge, processes, speed, and/or job standards due to new process.</td>
<td>Meets the minimal standards for quantity or quality; often misses deadlines, work is regularly incomplete</td>
</tr>
<tr>
<td>Demonstrates exceptional depth and breadth of role knowledge</td>
<td>Possesses sufficient depth and breadth of role knowledge</td>
<td>Makes a visible effort to improve. Requires support/direction, however, performance demonstrates the ability to meet expectations.</td>
<td>Takes little to no initiative, even with prompting</td>
</tr>
<tr>
<td>Demonstrates exemplary conduct for other supervisors/staff members to emulate; highly regarded by others within the University community</td>
<td>Exhibits professional interactions with peers, customers, managers, and/or students</td>
<td>Makes a conscious effort to demonstrate professional interactions with peers, customers, managers, and/or students</td>
<td>Requires more than the expected level of supervision due to lower quality work required to complete role successfully</td>
</tr>
<tr>
<td>Exceeds customer’s expectations on a consistent basis</td>
<td>Provides accurate and timely assistance to peers, customers, managers, and/or students</td>
<td>Demonstrates a willingness to learn from mistakes/failures in order to adapt conduct effectively</td>
<td>Demonstrates inconsistent and/or unprofessional interactions with peers, customers, managers, and/or students</td>
</tr>
</tbody>
</table>
Exceeding

- Significantly and consistently exceeds expectations and role requirements
- Exceeds goals set for the year
- Demonstrates exceptional depth and breadth of role knowledge
- Demonstrates exemplary conduct for other supervisors/staff members to emulate; highly regarded by others within the University community
- Exceeds customer’s expectations on a consistent basis
Succeeding

- Individuals who consistently meet and occasionally exceed expectations and role requirements
- Meets goals set for the year
- Possesses sufficient depth and breadth of role knowledge
- Exhibits professional interactions with peers, customers, managers, and/or students
- Provides accurate and timely assistance to peers, customers, managers, and/or students on a consistent basis
Developing

- Includes new employees who are still learning specific skills or key job responsibilities; not a reflection on the employee’s skills but simply a product of time in the position
- Needs to gain proficiency in certain skills, knowledge, processes, speed, and/or job standards due to a new process
- Makes a visible effort to improve. Requires direction, however, performance demonstrates the ability to meet expectations
- Makes intentional effort to demonstrate professional interactions with peers, customers, managers and/or students
- Demonstrates a willingness to learn from mistakes in order to adapt conduct effectively
- Developing is not less than Succeeding
Needs Improvement

- Demonstrates inconsistent required role knowledge and does not perform all requirements and duties
- Meets the minimal standards for quantity or quality; often misses deadlines, work is regularly incomplete
- Takes little to no initiative, even with prompting
- Requires more than the expected level of supervision due to lower quality work required to complete the role successfully
- Demonstrates inconsistent and/or unprofessional interactions with peers, customers, managers, and/or students
Section 1: Evaluation of Performance for the Measurement Period
Section 1A: Evaluation of Job Responsibilities

- Check the box which best corresponds with the employee’s job performance for the measurement period
- The supervisor will provide comments regarding the overall job performance of all job factors for the measurement period
Section 1B: Evaluation of Individual Goals

- Check the box which best corresponds with the employee’s achievement of goals for the measurement period
- The evaluation is based on the level of achievement of goals

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</thead>
</table>

Add comments regarding achievement of individual goals for measurement period (measurable actions & results).
Section 1C: Professional Conduct

- Check the box which best corresponds with the employee’s demonstrated conduct during the measurement period.

- Professional conduct is measured based on “how” employees performed their responsibilities, achieved goals, and interacted with their peers, customers, managers, and/or students.

![Section 1C: Evaluation of Professional Conduct Table]
Section 1C: Professional Conduct

- When assessing an employee in this category, keep in mind:
  - Service
  - Goals
  - Problem Solving
  - Commitment to continuous learning and improvement
  - Recognize and value differences, seek inclusiveness, and consider and respect all points of view.

Tip: Refer to the university’s Code of Conduct when evaluating an employee in this category.
Section 1C: Professional Conduct

• When assessing a supervisor in this category, keep in mind they should exhibit:

  o The ability to develop a common vision by providing clear direction and priorities, clarifying roles and responsibilities, and promoting mutual understanding through effective communication

  o The ability to effectively plan and evaluate performance, provide feedback, and develop employees to be their personal best.
Section 1D: Overall Evaluation

- Check the box which best corresponds with the employee’s overall performance for the measurement period
- Summary of employee’s performance

<table>
<thead>
<tr>
<th>Section 1D: Manager’s Overall Evaluation</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Exceeding (E)  ☐ Succeeding (S)  ☐ Developing (D)  ☐ Needs Improvement (NI)</td>
</tr>
</tbody>
</table>

Summarize the employee’s performance, discussing areas of strength & areas for improvement. Provide Overall Evaluation Rating for measurement period.
Section 2: Planning for the Measurement Period
Section 2A: Goals for Next Measurement Period

- Objective: Develop goals that are aligned with those of the University, division, and department
- Together, the employee and supervisor will discuss and determine the employee’s goals for the next measurement period

<table>
<thead>
<tr>
<th>Goal</th>
<th>Description and Measures</th>
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<tbody>
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</tr>
</tbody>
</table>

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Points of Discussion for Setting Goals

S M A R T

Specific  Measurable  Attainable  Relevant  Time-based
Section 2B: Development Plan

• Identify:
  o Professional conduct
  o Areas of growth
  o A skill to perform in the employee’s current job
  o Prepare for a future job

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Concluding the Evaluation

- Allow the employee time to answer the questions at the end of the evaluation
- Sign the evaluation
- Send to the second line supervisor for signature

Signatures (Required)
I have reviewed this Performance Evaluation and Development Plan and have been given the opportunity to provide written feedback. I understand I can grieve an evaluation with an Overall Performance Rating of Needs Improvement. My signature does not imply agreement.
What do I do if an employee is:

• Transferring
  o During the year – the manager from whom the employee is transferring is responsible for completing the evaluation for the time the employee spent with the manager
  o Just prior to the new performance cycle – The new manager will assist the employee with goals for the next measurement period

• On leave
  o Employees who are on leave during the end of the performance evaluation process are required to have a completed evaluation.
  o The supervisor should hold the performance evaluation meeting with employee’s who have a planned leave during the end of the performance evaluation cycle.
Performance Evaluation

<table>
<thead>
<tr>
<th>Employee Name (Last, First)</th>
<th>Employee ID#</th>
</tr>
</thead>
<tbody>
<tr>
<td>Smith, Jane</td>
<td>7954321</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Job/Classification/Title</th>
<th>Department</th>
</tr>
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<tbody>
<tr>
<td>Custodial Service Manager</td>
<td>Physical Plant</td>
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<table>
<thead>
<tr>
<th>Manager/Supervisor Name &amp; Title</th>
<th>Review Period (From, To)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Laura Carter, Employee Relations Specialist</td>
<td>July 1, 2018 - June 30, 2019</td>
</tr>
</tbody>
</table>

<table>
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<tr>
<th>Review Date</th>
<th>Review Type</th>
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</thead>
<tbody>
<tr>
<td>October 1, 2019</td>
<td>□ New Hire</td>
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**Purpose**

The purpose of the Performance Evaluation is to reflect on the employee’s job performance and conduct for the review period and to set goals for the upcoming year. This tool is to be used for interactive and continuous communication between supervisors and employees throughout the year.

**Instructions**

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<th>Job Responsibilities</th>
</tr>
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<td>Section 1B</td>
<td>Individual Goals</td>
</tr>
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<td>Section 1C</td>
<td>Professional Conduct</td>
</tr>
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<td>Section 1D</td>
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### Section 2: Plan for Measurement Period

<table>
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<th>Section 2A</th>
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<tbody>
<tr>
<td>Section 2B</td>
<td>Development Plan</td>
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Evaluation

Section 1A: Evaluation of Job Responsibilities – Developing

Jane is new in her supervisory role and has exhibited an understanding of the supervisory responsibilities. She performs routine inspections of her assigned areas and focuses on the daily operations needs. Jane supervises the cleaning of the buildings, trains and delegates work assignments to her employees and orders the proper amount of supplies. Jane requires direction in her new role, however, she shows initiative in all job duties.

Section 1B: Evaluation of Individual Goals - Succeeding

Jane achieved the goals she set for herself for the previous measurement period. She anticipated the cleaning needs in her area by keeping a log of the use of supplies, which resulted in less waste. She was more safety conscious and reported unmarked chemicals and other safety concerns she observed in her work space.
Evaluation

Section 1C: Evaluation of Professional Conduct - Exceeding

Jane continuously demonstrates exemplary conduct. She sets the bar high and provides a great example for her coworkers. She maintains a positive attitude and displays an eagerness to get the job done. I have received feedback regarding Jane’s attention to detail, dedication to cleanliness in her areas, and her willingness to go above and beyond, all while keeping a smile on her face. Jane is highly regarded in the university community.

Section 1D: Manager’s Overall Evaluation – Succeeding

Jane has continuously shown she enjoys her job and is a very hard worker. As a result, she has received a promotion this year. Jane’s positive attitude, attention to detail, and team spirit clearly shows she takes pride in her work. She is an asset not only to the Physical Plant department but also to the university as a whole. I look forward to seeing how Jane leads her team in the coming years.
# Evaluation

## Section 2A: Goals for Next Measurement Period

<table>
<thead>
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<th>Goal</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Attain 90% team customer service score by June 30</td>
<td>Conduct weekly reviews with team members</td>
</tr>
<tr>
<td>Reduce toilet paper waste as soon as possible</td>
<td>Maintain log of weekly usage</td>
</tr>
</tbody>
</table>

## Section 2B: Development Plan

<table>
<thead>
<tr>
<th>Goal</th>
<th>Description and Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Better understand my role as a manager</td>
<td>Attend at least three professional development trainings</td>
</tr>
<tr>
<td>Improve public speaking skills</td>
<td>Lead monthly manager's meeting</td>
</tr>
<tr>
<td>Build confidence in dealing with difficult situations</td>
<td>Attend &quot;Dealing with Conflict&quot; training by end of next month</td>
</tr>
</tbody>
</table>

- Yes  ☐ No  Have you had the opportunity to complete the Employee Self-Assessment?
- Yes  ☐ No  Do you understand the job factors/goals for the current evaluation cycle?
- Yes  ☐ No  Do you understand the job factors/goals for the next evaluation cycle?

## Signatures (Required)

I have reviewed this Performance Evaluation and Development Plan and have been given the opportunity to provide written feedback. I understand I can grieve an evaluation with an Overall Performance Rating of Needs Improvement. My signature does not imply agreement.

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<th>Manager/Supervisor</th>
<th>Date</th>
<th>Employee</th>
<th>Date</th>
<th>Second Level Supervisor/Dept. Head</th>
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</table>
When to Complete the Review

• End of the performance review period
• Annual evaluation period: July 1 – June 30
• Annual reviews should be completed no later than October 31 each year
• The next annual performance evaluation will be due on October 31, 2019
Any questions?

Please visit the Performance Appraisal website at:
Louisville.edu/hr/employeerelations/performance-appraisal

For questions related to your department or specific scenarios, please contact laura.carter@Louisville.edu.