

AT THE BEGINNING OF THE PERFORMANCE CYCLE

Employee information

On the cover page of the form complete all of the requested information including Employee's Name and Title, Evaluating Supervisor's Name, Title and School or Department. Also, type in the date of the assessment stage you are documenting, that is, *Periodic Check-In* or *Final Assessment*.

Objectives/Key Responsibilities – June 1-May 31

Overview

Objectives/Key responsibilities are intended to make explicit the outcomes and results each employee will be held accountable for in the coming performance cycle. The manager may create the objectives independently or in collaboration with the employee to ensure proper alignment with strategic priorities and department goals. The manager should finalize the objectives, meet with the employee to discuss and communicate priority of each objective/key responsibility. During the meeting, the supervisor and employee should discuss the upcoming year's goals and it is recommended that supervisors have an open discussion with employees about their expectations and priorities as indicated by the objective/key responsibility weightings given to each one.

Instructions

1. Identify three or more objectives/key job responsibilities for each employee for the coming performance period.
 - The form shows boxes for five objectives/key responsibilities. The number of objectives/key responsibilities will depend on the level and scope of the individual's job responsibilities and projects.
Consider your department goals and the University's strategic priorities when creating objectives and specify connection to specific strategic priority.
 - Ensure objectives/key responsibilities meet the S.M.A.R.T. criteria: (specific, measureable, attainable, relevant and time-bound).
 - Objectives/key responsibilities link to the job being performed. If two or more employees perform the same job responsibilities, objectives and key responsibilities should be the same for all.
2. Indicate a weighting for each objective/key responsibility based on your assessment of the items that are most closely aligned with the strategic priorities.

Objective example:

"Greet all visitors to the department and obtain the purpose of the visit, the person with whom they wish to visit, and direct them appropriately. At all times, record messages for those not in the office and obtain the following: name of the visitor, date and time of the visit, purpose of the visit, phone number and/or email address where visitor can be reached, and a brief message for each visitor to the office."

Competencies & Mission/Values at Work

Competencies and Mission/values at work are meant to signify the behavioral aspects of the employee's performance on the job. There are two sets of competencies, **Supervisor** for those with supervisory or governance responsibility for other employees and an **Employee** version for individual contributors. Managers are encouraged to discuss the competencies with employees at the beginning of the cycle to communicate expectations.

Professional Development Plan

The Professional Development Plan is included to identify skills, knowledge, and abilities for future growth, growth in the current job or performance improvement. The Professional Development plan may be unique for each employee unless there is a common skill that needs to be developed by all.

1. Partner with employee to establish a plan to develop skills, knowledge and abilities for future growth and development, growth in the current job, or performance improvement.
2. Provide a timeline for progress.
3. Ensure that employee is compliant in all required training mandated by the University. To confirm the training workshops an employee has completed, ask each employee to attach a copy of his or her training profile.

DURING THE PERFORMANCE CYCLE

Periodic Check-In

Managers are encouraged to periodically check in with employees throughout the cycle to ensure they are on track and objectives remain relevant. There is no rating and nothing should be submitted to HR at this time.

Assessment stage

On the cover page of the form, in the box with the employee information, identify the stage of the assessment process you are documenting by typing in the date next to *Periodic Check-In*.

Throughout the cycle, note significant demonstrated accomplishments, changes in direction, or areas for improvement discussed. Written comments made during the Periodic Check-In must be discussed with the employee and signed and dated by both the manager and the employee.

Objectives/Key Responsibilities

Objectives/key responsibilities should be updated accordingly as priorities shift during the year. It is important to include written comments to establish an historical record.

Competencies & SJU Values at Work

If including comments for competencies & SJU Values at Work during the Periodic Check-In, it is important to include specific examples of demonstrated behavior to indicate what specifically the employee is doing well or needs to improve.

Professional Development Plan

Check in with employees to discuss status and update accordingly.

AT THE END OF THE PERFORMANCE CYCLE

EMPLOYEE SELF-ASSESSMENT

The purpose of the employee self-assessment is to engage the employee in his or her own growth and development. Most employees appreciate the opportunity to give input into their performance assessment. Managers benefit by being reminded of the work accomplished by their employees and can use the self-assessments as a starting point for their final assessment.

Instructions

1. At the end of May, managers should ask each employee to complete a self-assessment addressing how well he/she achieved the objectives/key responsibilities and how he/she fulfilled the competencies. The employee is not asked to complete the rating sections. Employees should complete the self-assessment in the "Employee Summary" section of the RED form or in a separate Word document.
2. Managers should ask employees to submit the self-assessment by the beginning of June. This will allow enough time for managers to review and complete the final assessment.
3. Using the employee's self-assessment as a guide, the manager completes the final assessment of the employee by rating the employee on each objective/key responsibility and in each competency. The manager provides a written rationale in the "Manager's Summary" section of the RED form for each objective/key responsibility and competency rated other than Performing Well (PW). Upon completion of the final assessment, the manager submits the RED form to HR. **Note:** If the employee submitted his/her self-assessment in a separate Word document, then the manager should attach the employee's self-assessment and submit it, along with the completed RED form, to HR.

MANAGER OVERALL (FINAL) ASSESSMENT

Assessment stage

On the cover page of the form, in the box with the employee information, identify the stage of the assessment process you are documenting by typing in the date next to *Final Assessment*.

At the end of the performance cycle, the manager provides each employee with an overall assessment of the employee's performance for the year in each of the sections: objectives and key responsibilities; competencies and mission and values at work; and development plan. A complete assessment will consist of written comments and an evaluative rating for each of the sections and overall.

Comments Instructions:

Written comments are required for all ratings except PW. Managers are encouraged to write comments for PW ratings as well. In the "Manager's Summary" section of the RED form, managers should include comments noting aspects of the job that were done well and areas that need improvement, as necessary. ***Managers may be asked to further substantiate all ratings other than PW.***

Section Overall ratings will automatically calculate based on the ratings and weightings of each individual objective or competency. An overall section or assessment rating of NI or DNM requires creation of a performance improvement plan in alignment with the University's Corrective Action policy. (See [policy 702](#))

Rating Instructions:

Ratings are available for each section of the form: *Exceptional Performance, Performing Well Plus, Performing Well, Needs Improvement, Does Not Meet Expectations, and Not Applicable*. Section and overall ratings will automatically calculate. Click [here](#) to see additional rating definitions.

Objectives/Key Responsibilities – 60% overall weighting

Assess how effectively the employee achieved each objective/job responsibility and select the appropriate rating. Comments should include specific examples and be written in the *Overall Performance Rating: Year-End Assessment* section in the *Manager's Summary* section. An overall section rating will automatically calculate the final section rating factoring in the 60% overall weighting for the objectives/key responsibilities.

Competencies & SJU Values at Work – 40% overall weighting

Competencies and Mission/SJU Values at Work are weighted equally. Assess how effectively the employee demonstrated each competency and rate each competency individually. In the *Overall Performance Rating: Year-End Assessment* section in the *Manager's Summary* section, write specific examples of how well each competency was demonstrated throughout the cycle including specific examples. An overall section rating will automatically calculate factoring in the 40% overall weighting. **Written comments are required for all ratings except PW.** All managers' comments are written in the *Manager's Summary* section of the RED form. **Note:** *In order for an individual to achieve an EP rating for competencies, the employee's overall rating in the Objective/Key Responsibility section must be Performing Well (PW) or higher.*

Professional development plan

Assess how well the employee met or exceeded the development plan by writing comments in the Results/Actions taken box.

Overall Performance Rating: Year-End Assessment

The final overall rating will automatically calculate based on the section ratings of the objectives/key responsibilities and the competencies/SJU Values at Work sections. The section ratings and the overall 60% weighting for objectives/key responsibilities and 40% for competencies will be used to calculate the final rating.

Note: *An overall section or assessment rating of NI or DNM requires creation of a performance improvement plan in alignment with the University's Corrective Action policy.* (See [policy 702](#))

Overall Performance Rating: Year-End Assessment (continued)

Write final comments in the *Overall Performance Rating: Year-End Assessment* section in the *Manager's Summary* section and meet with the employee to review. Ask the employee to add his or her comments, sign and date and then the manager should sign and date.

Signatures

The employee and supervisor are to sign the RED form in the *Overall Performance Rating: Year-End Assessment* section. It is recommended that the employee signs first followed by the manager's signature. Employees who disagree with the review are to sign the form to acknowledge receipt, and they may submit a rebuttal document that will be included along with the review form in the employee's personnel file.

An overall section rating of NI or DNM for Objectives/Key responsibilities requires creation of a performance improvement plan in alignment with the University's Corrective Action policy. (See [policy 702](#))

Rating Scale

EP	Exceptional Performance (requires written supporting rationale) – Performance consistently and significantly exceeds departmental and position expectations
PW+	Performing Well Plus (requires written supporting rationale) – Performs well in all aspects of the job, exceeds expectations in a few areas
PW	Performing Well – no written rationale required – Performance consistently meets expectations and job requirements
NI	Needs Improvement (requires written supporting rationale) – Performance consistently does not meet expectations and improvement is required
DNM	Does Not Meet Expectations (requires written supporting rationale) – Performance does not meet expectations
N/A	Not Applicable – no written rationale required

Rating Scale with sample behavioral descriptions:

EP	Exceptional Performance (requires written supporting rationale) <ul style="list-style-type: none">· Exceeded requirements even on the most difficult and complex aspects of the job· Accomplished far more than expected· Initiated new projects and solutions. Was able to take on additional assignments without affecting other work· Put students' needs first and worked to overcome obstacles to serve students' needs· Completed projects thoroughly, completely and ahead of schedule· Required little or no supervision and follow-up· Did advance planning, anticipated problems and took appropriate action· Exhibited exceptional leadership ability and was a role model for others· Demonstrated an exemplary commitment towards the team, department, institutional goals and SJU Mission and Values at Work· "XXX has not only performed all of her responsibilities, but has also incorporated her talents and experience to the enhancement of the department as a whole. She has gone above and beyond meeting her job expectations, and has taken on additional responsibilities throughout the year. She is a quick and enthusiastic learner who works positively and productively with her colleagues and supervisor. She strives to deliver accurate and prompt service to our students, and is helpful and knowledgeable when interacting with family and staff. She has been an asset to the department."
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Rating Scale with sample behavioral descriptions:

PW+ Performing Well Plus (requires written supporting rationale)

- Met expectations in all areas and exceeded expectations in some
- Demonstrated leadership on xxxx initiative and led the effort that resulted in a successful outcome
- Assumed additional responsibility on xxxx initiative while balancing the regular workload
- Consistently completed regular work and projects on schedule and exceeded expectations in xxxx project(s).
- Demonstrated exemplary behaviors on xxxx project that support requirements of the job and the SJU Mission and Values at Work
- Was a good team player and had a positive influence on others
- "XXX has continued to meet all expectations and has exceeded in several. She is a diligent and competent manager. This past year, she stepped up to the plate and successfully delivered several projects and helped move our department agenda forward. She is able to stay focused and deliver projects as planned. She is dedicated and organized which shines through in her delivery on projects."

PW Performing Well (no written rationale required)

- Met expectations in all areas
- Consistently completed regular work and projects on schedule
- Consistently put students' needs first and worked to overcome obstacles to serve students' needs
- Made few errors and seldom repeated them
- Took initiative and occasionally asked for additional responsibility
- Was a good team player and had a positive influence on others
- Consistently demonstrated behaviors that support requirements of the job and the SJU Mission and Values at Work
- "XXX continues to meet expectations. He has shown his willingness to accurately complete projects and tasks in a timely manner. Areas of improvement include attention to detail. As part of the staff development process, it is expected that XXX will attend at least two professional development programs in the coming year."

NI Needs Improvement (requires written supporting rationale)

- Performed some of the job requirements, but needs improvement to meet manager's expectations
- Needed to show better quality of work, increased production, or attention to details and deadlines
- Did not always put students' needs first
- Held up others' work or department outputs
- On occasion, exhibited periodic lack of teamwork
- May have caused a morale problem on the team because he or she did not carry his or her load of work
- Seldom demonstrated behaviors that support the SJU Mission and Values at Work
- Must have intervention to improve: re-clarification of expectations, increased training, coaching, experience, etc.
- Should be on a documented corrective action plan
- "I would like to see XXX take a more proactive approach in identifying areas of need at the YYY and attend to those constructively."
- "XXX needs to work on the competency of Attention to Detail."
- "XXX met expectations in some areas but needs to improve in one or more areas. His communication on emails and phone calls need consistency."

Rating Scale with sample behavioral descriptions:

DNM Does Not Meet Expectations (requires written supporting rationale)

- Failed to meet expectations in xxxx objective/competency
- Failed to complete the assigned projects
- Despite coaching and counseling, showed no improvement during the reporting period
- Failed to implement the suggestions offered by manager to improve performance
- "XXX had a difficult time managing the players. The behavior of the players was unacceptable. Going forward, I expect XXX to have better control of the team and demonstrate a stronger commitment to conducting disciplined practice sessions."
- "XXX has not met the established performance standards that were set for him."

N/A Not Applicable – Does not apply (no written rationale required)