



Lake Superior State University  
**Annual Performance Evaluation**

This Appendix C shall be implemented on the Annual Performance Cycle starting June 30, 2021.

The Annual Performance Evaluation is comprised of three components: (1) Job Related Competencies, (2) Performance Values, and (3) Annual Goals. Annual Goals are more appropriate for some jobs than others. Therefore, the use of annual goals in the Annual Performance Evaluation will be determined by the supervisor with input from the employee.

Annual Performance Evaluations shall be completed by the employee's immediate supervisor in a transparent process with the employee. Annual Performance Evaluations are for the expressed purpose of giving the employee feedback to improve performance moving forward. All supervisors shall be trained on the evaluation process.

**Introduction** – Documented performance evaluations are communication tools to help ensure that supervisors and their direct reports have a shared understanding about expectations and requirements. The evaluation process also provides opportunities for regular interaction and in-person communication.

**Job Related Competencies** – (To be filled out by supervisors based on the job description.) Duties include job related knowledge, skills, and abilities to ensure the right person is in the right job. Defining and measuring competencies allows for the maintenance and development of workforce talent.

**Performance Values** – Performance values define workplace expectations. Employees are expected to complete tasks adequately, communicate well with a friendly attitude, work well with others, and respond positively to instruction and situational needs.

**Annual Goals** – Annual goals provide direction for both the employee and the supervisor, and should be consistent with the strategic plan. They also provide a strategic opportunity to make significant change.

**Writing Annual Goals** - Goals need to be achievable, specific, time-based, measurable and connected to the strategic plan. In other words, they have to be possible, and they need to describe exactly what you will do, when you will complete it, and how you will “measure” the successful completion of the goal. The supervisor and employee will mutually agree to the demonstration of meeting annual goals and place that agreement in the comments area of the Annual Goals section.

### Example Goals:

- Susan: I will complete the Food ServSafe certificate by July 2021.
- Steve: I will plant a beautification garden by the front gate by June 2021.
- Joe: I will develop and implement a maintenance program to follow manufacturing guidelines and specifications by May 2021.
- Jill: I will develop a plan to electronically streamline the load report from start to finish by June 2021.
- Sam: I will respond to non-critical work orders within 24 hours.
- Kate: I will generate one cost savings idea per month.

### **Annual Performance Cycle** - Follows the Fiscal Year – July 1 to June 30.

**Timing** –At the beginning of the Annual Performance Cycle, the supervisor will fill out the job competencies, and discuss them with the employee. At the end of the Annual Performance Cycle, the employee’s performance related to these job competencies will be evaluated.

At the beginning of the Annual Performance Cycle, the performance values will be reviewed by the supervisor and the employee. At the end of the Annual Performance Cycle, the performance values will be evaluated.

LSSU encourages all employees to develop annual goals in alignment with the Strategic Plan. It is recommended that ESP staff work with their supervisor to develop 2-4 goals. Goals could be related to acquiring new skills/certifications/licensing/etc. (Strategic Plan Goal 3.3.5: *Implement a comprehensive onboarding, mentoring, and professional development program for all employees to ensure that recruiting, hiring, and promotion processes are inclusive and follow research-based practices for avoiding bias.*) in an effort to benefit both the employee and LSSU. Since goals are aspirational, they are only used in a positive fashion as part of the evaluation process.

**Timeline** All evaluations shall follow the following timeline and process.

- Performance Evaluation Preparations should be completed by 06/30. Performance Evaluation Preparations include the supervisor and the employee reviewing the performance evaluation process, the rating criteria, the job description and competencies, the performance values, and the writing of annual goals if the supervisor is requesting annual goals.
- Supervisors with more than one employee in a classification shall use the same Job Related Competencies and Performance Values for all employees in that classification.
- If annual goals are used, the annual goals should be set in the Annual Performance Evaluation with the employee.
- Mid-year review: The supervisor should meet with the employee and discuss progress on annual goals (if any) and discuss the supervisor’s current rating of the employee’s performance to date on Job Related Competencies, Performance Values, and Annual Goals (if applicable). The focus should be on areas (if any) where the employee is currently partially meeting or not meeting expectations. This meeting should be completed by 01/31.

- **Final Performance Evaluation:** The supervisor should receive the Employee Self-Evaluation by 06/30. The supervisor should schedule and hold the end of the Annual Performance Cycle Meeting with the employee to review their Annual Performance Evaluation and Employee Self-Evaluation by 08/15.
- **Rebuttal:** If an employee believes the evaluation contains factual errors, or the inadvertent exclusion of necessary information related to the employee's evaluation, the employee may fill out a rebuttal form. Rebuttals must be precise, yet thoroughly explain what is believed to be factually incorrect or omitted in the evaluation. Supporting documentation should be included. An employee can request a follow-up meeting with their supervisor to present the rebuttal. Rebuttals should be completed by 09/01. Bargaining unit members may seek the assistance of the District Steward or the Chief Steward in writing the rebuttal.

If a supervisor fails to complete an Annual Performance Evaluation by 09/01, the University shall consider the employee to be rated as meets expectations.

**Ratings** - Ratings are done using a five point, narrative scale. This is one way to ensure consistency across raters. The ratings are based on 8 job competencies and 8 performance values totaling 16.

The supervisor may pick up to 2 job related competencies and performance values in a classification that an employee must achieve a meets expectations rating to earn an overall evaluation of meets. The supervisor shall discuss them with the employee at the Annual Performance Evaluation at the beginning of the Annual Performance Cycle and will circle the two on the Job Competencies and Performance Values section.

If an employee meets their goals then a supervisor may adjust their overall rating upwards according to the point system below. For example, if an employee has 35 points and achieves two of their goals with a meets rating then 4 points will be added to their overall rating giving them a total of 39 points and an Exceeds overall rating. If there are no annual goals, refer only to the job competencies and performance values.

<b>Far Exceeds (4)</b>	<b>Exceeds (3)</b>	<b>Meets (2)</b>	<b>Partially Meets (1)</b>	<b>Not Met (0)</b>
<p>Performance is consistent, of excellent quality, and stands out as truly exceptional. An employee would need to achieve 52-64 points to receive an overall rating of Far Exceeds.</p>	<p>Performance at a level above expectations. An employee would need to achieve 38-51 points to receive an overall rating of Exceeds.</p>	<p>Performance meets the requirements of the position. An employee would need to achieve 30-37 points and a minimum of meets for the predetermined job related competencies and performance values discussed with the supervisor to receive an overall rating of Meets.</p>	<p>Performance does not meet expectations. An employee would need to achieve 16-29 points to receive an overall rating of Partially Meets.  Recommend a Development Plan.</p>	<p>Performance must improve substantially. An employee would need to achieve 0-15 points to receive an overall rating of Not Met.  Requires a Performance Improvement Plan.</p>

**ANNUAL PERFORMANCE EVALUATION PROGRAM**

<b>Dept. Name:</b>		<b>Employee Name:</b>	
<b>Supervisor Name:</b>		<b>Employee A#:</b>	
<b>Supervisor Title:</b>		<b>Employee Title:</b>	

<b>JOB RELATED COMPETENCIES (Supervisor needs to complete from job description by 6/30.)</b>		<b>Rating</b>
<b>Circle which Job related competencies that require a meets rating (up to 2 total).</b>		<b>(4, 3, 2, 1, 0)</b>
1		
2		
3		
4		
5		
6		
7		
8		

Comments:

<b>PERFORMANCE VALUES</b>		<b>Rating</b> <b>(4, 3, 2, 1, 0)</b>
<b>Circle which performance values are required to have a meets rating (up to 2 total).</b>		
<b>1</b>	<b>Quality of Work:</b> Accuracy, Thorough, Detailed, Organized, Clean	
<b>2</b>	<b>Work Habits:</b> Follows Instructions, Utilizes Time and Materials Effectively, Task Completion, Proper Use and Care of University Equipment	
<b>3</b>	<b>Work Schedule &amp; Attendance:</b> Prompt, Punctual, Absent Only as Approved, Working full scheduled shift	
<b>4</b>	<b>Customer Focused Communication:</b> Responds to Customers Well, Helpful, Friendly, Communicates Effectively	
<b>5</b>	<b>Teamwork:</b> Carries Out Tasks/Responsibilities to the End, Cooperates with Other Employees	
<b>6</b>	<b>Policy &amp; Safety Compliance:</b> Follows University, District, and Safety Policies	
<b>7</b>	<b>Adaptability:</b> Adjusts Well to Change, Flexible When Necessary	
<b>8</b>	<b>Appropriate Work Place Behavior:</b> Respectful, Courteous, Uses Appropriate Language, Wears Proper Work Attire	
Comments:		

<b>ANNUAL GOALS (The Supervisor and the Employee write the goals during the Annual Performance Evaluation by 08/15. The Supervisor enters the rating and reviews it with the employee during the following year's Annual Performance Evaluation by 08/15.)</b>		<b>Rating (4, 3, 2, 1, 0)</b>
<b>1</b>		
<b>2</b>		
<b>3</b>		
<b>4</b>		
<b>5</b>		

Comments:

**OVERALL RATING AND SIGNATURE SHEET**

Supervisors can make general comments but are required to comment on ratings that are above or below Meets. Attach additional sheets and relevant evidence as needed.

Final Summation Narrative:

**OVERALL RATING**

<p><b>Far Exceeds (52-64)</b></p> <p>Performance is consistent, of excellent quality, and stands out as truly exceptional. An employee would need to achieve 52-64 points to receive an overall rating of Far Exceeds.</p>	<p><b>Exceeds (38-51)</b></p> <p>Performance at a level above expectations. An employee would need to achieve 38-51 points to receive an overall rating of Exceeds.</p>	<p><b>Meets (30-37)</b></p> <p>Performance meets the requirements of the position. An employee would need to achieve 30-37 points and a minimum of meets for the predetermined job related competencies and performance values discussed with the supervisor to receive an overall rating of Meets.</p>	<p><b>Partially Meets (16-29)</b></p> <p>Performance does not meet expectations. An employee would need to achieve 16-29 points to receive an overall rating of Partially Meets.</p> <p>Recommend a Development Plan.</p>	<p><b>Not Met (0-15)</b></p> <p>Performance must improve substantially. An employee would need to achieve 0-15 points to receive an overall rating of Not Met.</p> <p>Requires a Performance Improvement Plan.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p><b>Employee Signature:</b></p>				<p><b>Date:</b></p>
<p><b>Supervisor Signature:</b></p>				<p><b>Date:</b></p>



**REBUTTAL**

Rebuttal: If an employee believes the evaluation contains factual errors, or the inadvertent exclusion of necessary information related to the employee’s evaluation, the employee may fill out a rebuttal form. Rebuttals must be precise, yet thoroughly explain what is believed to be factually incorrect or omitted in the evaluation. Supporting documentation should be included. An employee can request a follow-up meeting with their supervisor to present the rebuttal. Rebuttals should be completed by 09/01. Bargaining unit members may seek the assistance of the District Steward or the Chief Steward in writing the rebuttal.

Rebuttal:

<b>Employee Signature:</b>		<b>Date:</b>	
<b>Supervisor Signature:</b>		<b>Date:</b>	