

## Performance Appraisal Review for Exempt Employees

Employee Name \_\_\_\_\_ Department \_\_\_\_\_  
Title \_\_\_\_\_ Date Started Current Position \_\_\_\_\_  
Date of Review \_\_\_\_\_ Current Supervisor \_\_\_\_\_

### Instructions

- Review employee's performance for the entire period; refrain from basing judgments on recent or isolated events only. Concentrate on rating one factor at a time.
- Consider the employee on the basis of the standards expected to be met for the job the employee is assigned based on the length of time in the job. Rate the employee on how well the requirements of the job are fulfilled.
- Place a check in the box that summarizes the employee's performance in that factor since the last review (or from date of hire if this is the employee's first review).
- Keep in mind the relative importance of the factors will vary according to the position.
- After rating the employee on each factor, enter examples to support the rating.
- Guard against letting your appraisal of factors fall into a consistent or routine pattern. There are usually wide differences in individuals with respect to various factors considered.

### **Part 1:**

Responsibilities: List the employee's major job responsibilities.

Accomplishments: List the employee's major accomplishments since the last review. What went well? What could have been better? Comment on barriers to completion or any other noteworthy points.

**Part 2:** Rate the employee by checking the appropriate box and enter comments to support the rating. When there are no job duties/responsibilities relating to a particular category, write “Non Applicable” and move to the next category.

*Job Knowledge:* Employee’s ability for the technical/professional requirements of the job. The adequacy of employee’s skills and employee’s understanding of normal job requirements. Employee’s understanding of related functions. Employee’s efforts to keep skills current. How well employee executes against goals and objectives.

Consistently Below Expectations	Occasionally Below Expectations	Consistently Meets Expectations	Frequently Exceeds Expectations	Consistently Exceeds Expectations
---------------------------------------	---------------------------------------	---------------------------------------	---------------------------------------	---

Supporting Examples:

Personal Management: Employee’s establishment of effective job priorities and objectives. How well employee manages their time and meets deadlines. Employee’s ability to handle several assignments at once. Employee’s ability to handle pressure effectively. Quality of employee’s work. Employee’s use of a planned, thorough approach to problems.

Consistently Below Expectations	Occasionally Below Expectations	Consistently Meets Expectations	Frequently Exceeds Expectations	Consistently Exceeds Expectations
---------------------------------------	---------------------------------------	---------------------------------------	---------------------------------------	---

Supporting Examples:

Judgment: Employee’s display of well-balanced thinking. Employee’s thinking through of a problem and potential consequences before acting. Ability to reach decisions quickly and accurately when necessary.

Consistently Below Expectations	Occasionally Below Expectations	Consistently Meets Expectations	Frequently Exceeds Expectations	Consistently Exceeds Expectations
---------------------------------------	---------------------------------------	---------------------------------------	---------------------------------------	---

Supporting Examples:

Dealings with People: The mutual cooperation that exists with other individuals and departments. The confidence others have in employee. Employee's tactfulness and diplomacy. Employee's ability to try new ideas and suggestions, their ability to adapt to new methods or ideas.

Consistently Below Expectations	Occasionally Below Expectations	Consistently Meets Expectations	Frequently Exceeds Expectations	Consistently Exceeds Expectations
---------------------------------------	---------------------------------------	---------------------------------------	---------------------------------------	---

Supporting Examples:

Attitude: The interest and enthusiasm employee shows to job and company. Employee's sustained efforts to achieve company and department objectives. Employee's respect for confidences. Employee's ability to adapt to changing conditions effectively.

Consistently Below Expectations	Occasionally Below Expectations	Consistently Meets Expectations	Frequently Exceeds Expectations	Consistently Exceeds Expectations
---------------------------------------	---------------------------------------	---------------------------------------	---------------------------------------	---

Supporting Examples:

Initiative: Employee's resourcefulness in solving unusual problems. The frequency and value of employee's suggestions to simplify, and streamline their work. Takes initiative and acts proactively, self-motivated. Does employee take responsibility or must it be given? Is employee openly accountable for their actions? Employee's ability to produce new approaches, methods, shortcuts and new ways to achieve objectives in the face of obstacles.

Consistently Below Expectations	Occasionally Below Expectations	Consistently Meets Expectations	Frequently Exceeds Expectations	Consistently Exceeds Expectations
---------------------------------------	---------------------------------------	---------------------------------------	---------------------------------------	---

Supporting Examples:

Financial Responsibility: Uses the company resources effectively. Controls expenditures and contributes cost reduction ideas. Plans appropriate allocation of resources and assignments of staff.

Consistently Below Expectations	Occasionally Below Expectations	Consistently Meets Expectations	Frequently Exceeds Expectations	Consistently Exceeds Expectations
---------------------------------------	---------------------------------------	---------------------------------------	---------------------------------------	---

Supporting Examples:

Teamwork: Works effectively with colleagues and peers of different backgrounds and perspectives. Cooperates and contributes to team efforts. Gives their best effort and keeps team goals in mind. Promotes group success instead of self-promotion.

Consistently Below Expectations	Occasionally Below Expectations	Consistently Meets Expectations	Frequently Exceeds Expectations	Consistently Exceeds Expectations
---------------------------------------	---------------------------------------	---------------------------------------	---------------------------------------	---

Supporting Examples:

Management Effectiveness: Ability to recruit, lead, motivate and develop a team. Confidence peers and subordinates have in employee. Ability to establish and build trust and communicate in an inspiring, non-threatening manner. Uses influencing skills, commands respect, provides feedback, coaches and mentors others.

Consistently Below Expectations	Occasionally Below Expectations	Consistently Meets Expectations	Frequently Exceeds Expectations	Consistently Exceeds Expectations
---------------------------------------	---------------------------------------	---------------------------------------	---------------------------------------	---

Supporting Examples:

*After completing ratings, review the categories. You may want to consider some categories more important than others in determining your final evaluation. Please read the following descriptions and check the level that describes the overall performance of your employee.*

**Level 1 - Consistently Below Expectations**

Performance is below expectations for most aspects of the job.

**Level 2 - Occasionally Below Expectations**

Performance occasionally does not meet expectations for some aspects of the job. Objectives occasionally are not met or are met with a minimum level of acceptability.

**Level 3 - Consistently Meets Expectations**

Performance fully meets the expectations for all aspects of the job. The employee's performance is consistent, reliable and effective. Employee is able to accomplish all established objectives.

**Level 4 - Frequently Exceeds Expectations**

Performance frequently exceeds the expectations for most aspects of the job on a sustained basis. Employee performs complex, difficult parts of the job competently and thoroughly, including extra or unique tasks assigned.

**Level 5 - Consistently Surpasses Expectations**

Employee excels in virtually all aspects of the job, having nearly reached the ultimate in job performance on a sustained basis. Performance is of a quality rarely achieved.

**Part 3:**

**List employee's strengths.**

**List employee's areas for improvement and your recommendations.**

**Are employee's skills being fully utilized? What training or skill development should be implemented to fully develop employee's potential? What are employee's career aspirations, and what actions are required to meet them?**

**Part 3: Goals and Objectives**

List 1 to 3 goals (minimum) to be obtained by the employee before the employee's next review. These should be specific, measurable, achievable, relevant, time-bound, and linked to departmental/corporate objectives. These may include new and better ways to carry out job responsibilities, manage the employee's future development and increase their current performance. Include specific steps for the employee to take.

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

\_\_\_\_\_  
Date

\_\_\_\_\_  
2nd Level Supervisor

\_\_\_\_\_  
Date

I have seen and reviewed the review. All items have been covered with me. I realize that my signature does not imply that I am in agreement with the review.

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

\_\_\_\_\_  
Date

PART 2: Performance Level examples for questions on the Exempt Performance Appraisal

<b>CONSISTENTLY BELOW (1)</b>	<b>OCCASIONALLY BELOW (2)</b>	<b>CONSISTENTLY MEETS (3)</b>	<b>FREQUENTLY EXCEEDS (4)</b>	<b>CONSISTENTLY EXCEEDS (5)</b>
<b><u>JOB KNOWLEDGE</u></b>				
Has serious gaps in technical and professional knowledge resulting in work below standards. Quality and level of knowledge does not increase over time.	Demonstrates inadequate technical and professional knowledge. Completes work that is sometimes inaccurate or does not adhere to policies or standards.	Demonstrates adequate technical and professional knowledge required for the job.	Frequently uses technical knowledge to plan and execute complex tasks. Exhibits growth in competence over time.	Demonstrates superb technical and professional knowledge; recognized for expertise in the field.
<b><u>PERSONAL MANAGEMENT</u></b>				
Declines to accept responsibility for performance and quality. Seldom follows standards and procedures.	Requires coaching for routine decisions. Deviates from standards and procedures.	Performs reliably and accepts responsibility for decisions. Is able to learn from incorrect judgments.	Consistently performs well, even in difficult circumstances. Capable of researching alternative methods.	Anticipates what needs to be done without direction or guidance. Responds to changing needs willingly and productively, using creativity and innovation.
<b><u>JUDGMENT:</u></b>				
Rarely completes work on time, frequently makes errors and produces work that seldom meets standards, policies or procedures.	Works unreliably with inconsistent quality and is sometimes unable to adjust work level to demand.	Reliably completes work in a manner that is accurate, adheres to policies and procedures and is acceptable in all respects.	Routinely exceeds standards in volume and quality of work, allowing for completion of additional assignments.	Works at a fast pace in a manner that is frequently recognized for accuracy, volume, comprehensiveness, understandability and results.
<b><u>DEALINGS WITH PEOPLE</u></b>				
Demonstrates lack of sensitivity to impact of activities/decisions on others (within or outside department). Shows little or no consideration or concern for others.	Does not convey information relevant to other's efforts. Is not willing to become involved in-group projects. Demonstrates minimal concern for how others feel about services received.	Conveys relevant information with coworkers and other departments in a timely and appropriate manner. Consistently satisfies the needs, wants, and expectations of coworkers and/or users of services.	Frequently exchanges information in order to achieve common objectives within and between departments. Promotes effective working relationships. Proactively seeks and acts on feedback to improve services.	Initiates opportunities for inter and intradepartmental coordination and problem solving to achieve common goals. Extremely effective in solving human relations problems.
<b><u>ATTITUDE:</u></b>				
Continually opposes change.	Demonstrates resistance to changes in assignments and environment. Rarely seeks involvement in new or changed situations.	Consistently sets an example by his/her own behavior. Accepts responsibility for decisions and learns from incorrect judgments.	Is regarded as a source of direction, encouragement and guidance by employees and peers. Consistently performs well in difficult situations.	Encourages others to be innovative. Always responds to the changing environment willingly and productively.
<b><u>INITIATIVE</u></b>				
Never seeks additional tasks or assignments. Tends to shirk difficult situations.	Rarely initiates new ideas. Does not seek assistance when needed.	Seeks appropriate assistance in difficult situations. Anticipates potential problems and takes necessary steps to handle them.	Researches issues thoroughly in order to develop alternative solutions to problems. Does not hesitate to make required decisions.	Anticipates and sees what needs to be done without direction or guidance. Always seeks out additional tasks to increase skills and make a positive contribution.

<b>CONSISTENTLY BELOW (1)</b>	<b>OCCASIONALLY BELOW (2)</b>	<b>CONSISTENTLY MEETS (3)</b>	<b>FREQUENTLY EXCEEDS (4)</b>	<b>CONSISTENTLY EXCEEDS (5)</b>
<b><u>FINANCIAL RESPONSIBILITY</u></b>				
Consistently exceeds budget.  Improperly authorizes use of resources.	Unable to account for variances in budget.  Rarely monitors expenditures.	Monitors cost of operations and meet established budgets; uses cost-effective methods	Performs cost studies to reduce unnecessary expenses and makes practical suggestions.  Sets efficient standards for amount of time, labor, and materials allowable for given projects.	Develops innovative techniques for reducing costs and carries plan through to a successful completion.  Acts as resource within own field to promote cost effectiveness.
<b><u>TEAMWORK</u></b>				
Shows little or no consideration or concern for others Does not comply with superior's decisions and directions	Lacks confidence in briefings and discussions Is not willing to become actively involved in group projects	Voluntarily participates in activities in support of a group effort Accepts working styles which are different from one's own style	Demonstrates exceptional skill in working with others and eliciting their cooperation.  Works well with little supervision.	Can sway a hostile audience to his/her point of view.  Is extremely effective in solving human relations problems, solutions always reflect fair and equal treatment.
<b><u>MANAGEMENT EFFECTIVENESS</u></b>				
Provides staff with little or no guidance.  Does not identify or address workshop conflicts or employee morale problems.	Randomly assigns workload and does not hold staff accountable for results.  Rarely encourages employees to seek additional training or development.	Motivates employees to effectively contribute to the achievement of departmental and organizational objectives.  Reviews all information and facts to identify and resolve employee performance problems.	Delegates in a manner that responds to needed results and empowers employees.  Develops employees to assume greater responsibilities within the department and/or throughout the organization.	Develops staff to effectively respond to the most complex demands made on that unit.  Identifies and analyzes potential or emerging performance problems and implements preventative measures.