



**ALABAMA STATE  
UNIVERSITY**

# Non-Instructional Performance Appraisal

Performance Appraisal Year: \_\_\_\_\_

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

Job Title: \_\_\_\_\_

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

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

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

Vice-President: \_\_\_\_\_

Please complete this form, print it, sign it, then provide a copy to  
the employee and the Office of Human Resources.

For Human Resources, email copies to **humanresources@alasu.edu**.

# Performance Appraisal Guidelines

The goals of this performance appraisal are as follows:

- Align employee performance with the University's objectives as outlined in Vision 2020: The Alabama State University Transformation Plan.
- Provide open and honest feedback regarding the employee's performance.
- Facilitate communication of all aspects of performance between the employee and the supervisor.
- Identify areas in which improvement and learning will help the employee become more successful in the future, allowing him/her to make further contributions to ASU.
- Identify individual development needs and create an action plan to meet these needs.
- Establish an objective record of the employee's work history.

## Track and Document Performance

- Proper documentation increases the likelihood that an employee will understand his/her rating.
- Provide specific accomplishments or examples.
- Review records for the entire year to prevent the "recency effect" error.
- Documentation should be accurate and specific.
- Cite distinct examples of performance, both positive and negative, including the context in which they occurred, the behavior or inaction, and the outcome or consequence.
- Documentation should focus on facts, which are events, behaviors or results.
- Examples of documentation could include copies of employee work product, notes of discussions between the employee and supervisor, copies of communications between the employee and supervisor, and observations of the supervisor.

Based upon this documentation, you will make a determination for each area listed on the appraisal form. The work behaviors listed on the appraisal form are only examples and are not intended to reflect all aspects of a position at the University. They are to be used as a guide.

**Establish goals and action plan** >> Goals and an action plan to achieve the goals should be established with the employee. Goals should be consistent with the job responsibilities, the employee's career aspirations, the departmental and University's priorities, and the reviewed strengths and weaknesses. The plan can be staged if necessary with short, medium and long-term aspects, but the goals must be realistic.

**Establish specific objectives** >> These are the specific steps that must be accomplished in order to achieve the goals. These must adhere to the SMART rules - specific, measurable, agreed, realistic, and time-bound.

**Evaluate and establish resources** >> These resources are essential for the employee to achieve the objectives, and can include coaching, mentoring or anything relevant and helpful that will help the person develop toward the standard and agreed task.

**Recordkeeping** >> The original signed copy must be submitted to the Office of Human Resources and will be maintained in the employee's personnel file. A copy should also be provided to the employee by the supervisor.

## — QUANTITY & QUALITY OF WORK —

Consider the volume of work performed, the degree to which employee meets established deadlines and the quality of the work performed.

### **Does Not Meet Expectations**

Employee does not produce the standard volume of work, and/or complete work assignments according to pre-established guidelines; multiple errors in work; work assignments may need to be re-worked; does not pay attention to detail and accuracy; employee fails to find own errors; work not completed on time; has been provided with the resources and support to succeed, but is not able and/or willing to produce the quality or amount of work required.

### **Requires Improvement**

Employee needs to minimize errors in work; is not consistent in producing accurate work or volume of work, and/or does not complete work assignments according to pre-established deadlines or quality standards set; takes on additional responsibilities and fails to perform primary duties.

### **Meets Expectations**

Consistently meets deadlines; produces work that is typically free of errors; consistently checks own work and corrects errors for accuracy; uses time wisely by assisting coworkers and performing tasks without having to be asked; consistently generates acceptable quantity and quality of work.

### **Exceeds Expectations**

Uses time efficiently to consistently meet or exceed deadlines; consistently checks own work and the work of coworkers and corrects errors; quality of work consistently exceeds set standards; assists in the re-work of others; pays attention to details and accuracy; sets the standard for quality of work performed in the department; successfully performs additional responsibilities as needed.

*Supervisor Comments: Provide comments supporting the above rating.*

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## — KNOWLEDGE & WORK PERFORMANCE —

Consider the level of knowledge, accuracy and thoroughness of work performed.

### **Does Not Meet Expectations**

Employee has not exhibited the knowledge, skills and abilities to successfully perform duties, close supervision is required to successfully perform duties; does not ask questions when unclear or continues to ask questions about duties that have been reviewed several times; has been provided with the resources and support, but is not able and/or willing to successfully perform duties.

**Requires Improvement**

Employee does not consistently exhibit the knowledge, skills and abilities to successfully perform duties, for most assignments close supervision still necessary; does not consistently perform routine duties; fails to implement and/or lacks knowledge of the best practices; additional guidance and/or training is required to successfully perform duties.

**Meets Expectations**

Employee has the knowledge, skills and abilities to successfully perform duties; assignments are well-organized and thorough; implements best practices; most duties are performed with minimal supervision; attends training to stay abreast of current field.

**Exceeds Expectations**

Consistently performs and assists co-workers with work assignments that are thorough and well-organized; employee is proactive in identifying improvements to enhance performance; implements and customizes best practices; attends training and implements practices obtained from training.

*Supervisor Comments: Provide comments supporting the above rating.*

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**ATTITUDE**

Consider what type of attitude the employee exhibits and the impact on their customers.

**Does Not Meet Expectations**

The employee consistently fails to greet and assist customers, visitors or coworkers; consistently fails to assist coworkers when asked; customers have complained about the employee’s lack of responsiveness, and/or failure to communicate using tact and diplomacy; employee does not understand the impact of his/her behavior on performance; employee does not smile or appear approachable; employee is not responsive to internal and external customers.

**Requires Improvement**

The employee does not consistently greet or appear approachable to customers, visitors or coworkers; employee is not consistently responsive to internal and external customers; employee focuses on what “can’t be done for the customer,” versus what “can be done”; employee understands how the behavior listed impacts performance and is willing to improve.

**Meets Expectations**

Employee’s behavior is consistently positive; he/she clearly understands the impact of behavior on performance, co-workers and the customer(s); employee smiles, is approachable, cheerful, and willing to assist internal and external customers; employee emphasizes what they “can do” for the customer, instead of sharing what they “can’t do”; employee is consistently responsive to internal and external customers.

**Exceeds Expectations**

Employee sets the standard for the rest of the work area in terms of exhibiting a positive attitude; employee smiles, is approachable, cheerful and willing to go the extra mile to assist customers (does not send the customer all over campus for assistance, personally escorts the individual if they are lost; calls another department to obtain information for the individual); employee focuses only on what he/ she “can do” for the customer; employee is responsive to internal and external customers.

*Supervisor Comments: Provide comments supporting the above rating.*

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**ACCOUNTABILITY**

Consider how well the employee shows initiative, accepts personal responsibility, is honest, dependable and does the right thing the right way.

**Does Not Meet Expectations**

Does not take initiative to do his/her job (must be asked to perform routine tasks); blames others when something goes wrong; fails to do the right thing the right way; does not follow instructions; not considered dependable; requires constant follow-up and supervision.

**Requires Improvement**

Shows some initiative but needs to exhibit more or is inconsistent (may perform routine tasks without being asked, but does not perform other tasks that may be necessary without being asked); tends to blame others when everything doesn’t work as it should; sometimes follows instructions from supervisor but still requires follow-up and close supervision; if not being supervised, may take short-cuts or not do exactly as expected; not always trustworthy.

**Meets Expectations**

Does the right thing consistently, day in and day out to fulfill or further ASU’s mission; accepts responsibility when something goes wrong; is dependable (performs tasks correctly without being asked); uses effective problem-solving skills to obtain a positive outcome; can be counted on to seek solutions to challenging situations; trustworthy and honest.

**Exceeds Expectations**

Takes both personal and group responsibility to achieve departmental goals; can be counted on to do the right thing, the right way; follows instructions with minimal supervision required; very skilled at problem solving and seeks positive outcomes to challenging situations; can be counted on to seek creative solutions to challenging situations; is trustworthy and honest.

*Supervisor Comments: Provide comments supporting the above rating.*

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**PROFESSIONALISM**

Consider the professional demeanor/image of the employee.

**Does Not Meet Expectations**

Employee does not dress, speak or interact with customers in a professional manner; fails to wear appropriate clothing for work environment (clothes are too tight, too big, too short, wrinkled, dirty, too casual, etc.), communicates in a tone that is too loud or is difficult to understand.

**Requires Improvement**

Employee is not aware of the impact his/her lack of professionalism has on customers, co-workers and visitors; needs to consistently wear more appropriate clothing to work (clothes may be too tight, too big, too short, wrinkled, dirty, too casual, etc.); does not consistently communicate in a tone that is not too loud and at times he/she is difficult to understand.

**Meets Expectations**

Employee dresses, speaks and interacts with customers in a professional manner; wears appropriate attire to work (clothes have proper fit, are pressed and/or dry cleaned and consistent with work environment) communicates in a tone that is not too loud and is easily understood in interactions with others.

**Exceeds Expectations**

Employee dresses, speaks and interacts with customers in a professional manner; wears appropriate attire to work (clothes have proper fit, are pressed and/or dry cleaned and consistent with work environment) communicates in a tone that is not too loud and is easily understood in interactions with others; and is often asked to represent the department and/or University for internal and external functions.

*Supervisor Comments: Provide comments supporting the above rating.*

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## **COMMUNICATION**

Consider how the employee communicates with others.

**Does Not Meet Expectations**

Unable or unwilling to communicate his/her thoughts and ideas in a clear and concise manner; consistently fails to listen to and/or comprehend instructions/information; interactions frequently result in misunderstandings and confusion; written and/or oral communication consistently contains multiple errors and is difficult to understand.

**Requires Improvement**

Does not consistently communicate thoughts and ideas in a clear and concise manner; does not consistently listen to and/or comprehend instructions/information; interactions sometimes result in misunderstandings and confusion; written or oral communication is not consistently clear, accurate and well-planned.

**Meets Expectations**

Consistently communicates in a clear and concise manner; consistently listens to and/or comprehends instructions/information; interactions rarely result in misunderstandings and confusion; written and oral communications are clear, accurate and well-planned.

**Exceeds Expectations**

Sets the standard for communicating in a clear and concise manner and is an active listener; asks for clarification of information when necessary; written and oral communications are clear, accurate and well-planned.

*Supervisor Comments: Provide comments supporting the above rating.*

## **POLICIES & PROCEDURES**

Consider the extent to which the employee follows company and departmental policies and procedures.

**Does Not Meet Expectations**

Employee is not familiar with or fails to follow policies and procedures; does not try to become familiar with policies and procedures; often demonstrates lack of compliance.

**Requires Improvement**

Employee is familiar with policies and procedures, yet does not consistently follow them; has committed minor infractions of a policy or procedures; has to be constantly reminded of policies and procedures; often requires “retraining” of policies and procedures.

**Meets Expectations**

Policies and procedures are understood and consistently followed; employee understands the importance of following policies and procedures in successfully executing his/her job responsibilities.

**Exceeds Expectations**

Employee has a thorough understanding of the policies and procedures; employee understands the importance of following policies and procedures in successfully executing his/her job responsibilities; employee frequently provides guidance to others regarding policies and procedures.

*Supervisor Comments: Provide comments supporting the above rating.*

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## **SAFETY**

Consider the extent to which the employee follows safety guidelines and practices.

**Does Not Meet Expectations and Requires Improvement**

Demonstrates lack of compliance with safety policies and procedures; risks taken are not acceptable.

**Meets Expectations**

Consistently follows safety policies and procedures; may have incurred a minor infraction of a safety policy or procedure.

**Exceeds Expectations**

Always follows all safety policies and procedures, with no infractions; identifies, prevents and/or corrects safety hazards.

Supervisor Comments: Provide comments supporting the above rating.

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### **SUPERVISOR'S OVERALL COMMENTS**

Summarize the performance appraisal.

- Does Not Meet Expectations
- Requires Improvement
- Meets Expectations
- Exceeds Expectations

### **INDIVIDUAL PERFORMANCE DEVELOPMENT**

What development action(s) are appropriate to maintain or improve current job performance?

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### **EMPLOYEE'S COMMENTS**

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Supervisor Signature

Date

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Department Head Signature

Date

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VP Signature

Date

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Employee Signature

Date

*Supervisor must meet with and obtain signatures of the department head and/or VP prior to reviewing the performance appraisal with the employee. Return completed form to the Office Human Resources, maintain a copy for your records and provide the employee with a copy.*

# **Non-Instructional Performance Appraisal SUPERVISORY SECTION**

*Must be completed for employees who supervise the work of others*

## **SUPERVISORY SECTION**

(Must be completed for employees who supervise the work of others)

### **ENSURE ACCOUNTABILITY**

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#### **Does Not Meet Expectations and Requires Improvement**

Rarely sets clear expectations and fails to communicate and relate them to the goals and objectives of the department; staff does not receive frequent, constructive feedback, to include interim evaluations; staff does not have the necessary knowledge, skills and abilities to accomplish goals; the requirements of the performance development/evaluation planning and evaluation system are rarely met and evaluations are rarely completed by established deadlines or with proper documentation; fails to share performance standards with employees or follow up to ensure compliance; does not set the example of proper performance for employees; does not address performance problems quickly or effectively; fails to acknowledge or reward exceptional customer service among staff; rarely provides regular and constructive feedback to staff; policies, procedures and safety issues are not reviewed frequently or communicated in a timely manner; does not always follow through on commitments; fails to admit to mistakes or to identify ways of avoiding/repeating them; blames others (and/or other departments) for problems versus taking ownership.

#### **Meets Expectations**

Consistently sets clear expectations, communicated and related to the goals and objectives of the department; staff receives constructive feedback, to include interim evaluations; staff have the necessary knowledge, skills and abilities to accomplish goals; the requirements of the performance development/evaluation planning and evaluation system are met and evaluations are completed by established deadlines with proper documentation; shares performance standards with employees and follows up to ensure compliance with these; addresses performance problems; acknowledges exceptional customer service among staff; provides effective feedback to staff; policies, procedures and safety issues are reviewed and communicated in a timely manner; consistently follows through on commitments; admits to mistakes.

#### **Exceeds Expectations**

Sets clear expectations, well communicated and related to the goals and objectives of the department; staff receives frequent, constructive feedback, to include interim evaluations; develops staff to have exceptional knowledge, skills and ability levels to accomplish goals; the requirements of the performance development/evaluation planning and evaluation system are met and evaluations are completed by established deadlines with extensive documentation; makes it a priority to share performance standards with employees and coaches them to ensure compliance; sets the example of proper performance for employees; addresses performance problems quickly and effectively; acknowledges and rewards exceptional customer service among staff; provides regular and constructive feedback to staff; policies, procedures and safety issues are reviewed and communicated in a timely manner; follows through on commitments; readily admits to mistakes and perceives mistakes (made by both self and others) as learning opportunities and creates ways to avoid them; demonstrates a commitment to the University's public image.

*Supervisor Comments: Provide comments supporting the above rating.*

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## **USE OF BEST PRACTICES**

### **Does Not Meet Expectations and Requires Improvement**

Is not current in his/her knowledge of best practices in his/her field; relies on using the same practices regardless of the efficiency or effectiveness; does not research best practices; doesn't see the importance of utilizing best practices; not effectively assessing processes, procedures, or performance that could be enhanced; rarely seeks input from other experts; satisfied with the status quo; not receptive to external recommendations to improve current practices, processes or procedures.

### **Meets Expectations**

Stays current in his/her knowledge of best practices in his/her field; researches best practices; applies some best practices to his/her area; evaluates effectiveness and makes necessary changes to enhance individual and team performance; exhibits creative problem-solving practices to improve current state; networks with others and seeks training and developmental opportunities to remain current; receptive to external recommendations to improve current state; provides updated resources and tools to enable staff to perform required work.

### **Exceeds Expectations**

Consistently remains current in his/her knowledge of best practices in his/her field; researches best practices and constantly applies best practices to his/her area; continually evaluates effectiveness and makes necessary changes to enhance individual and team performance; employs creative problem solving practices; explores means of improving current operating processes and procedures; provides appropriate tools and resources to enable staff to perform required work; ensures employees obtain training and professional development; constantly networking with other colleagues and seeks training and developmental opportunities to stay ahead of trends; often sought out to share own best practices that others use as benchmarks.

*Supervisor Comments: Provide comments supporting the above rating.*

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## FISCAL INTEGRITY

### Does Not Meet Expectations and Requires Improvement

Does not manage budget within fiscal guidelines; frequently requests budget transfers; obligates resources before funding is secured; allows individuals to work without a contract; purchases resources without following standard procedures; lacks concern for meeting fiscal requirements; needs additional training and coaching in this area.

### Meets Expectations

Competently oversees fiscal process, budgeting, expenditures, etc.; adheres to budgetary standards and procedures; makes accurate projections in relation to fiscal spending; can be counted on consistently to manage budget well; bases financial decisions on sound fiscal business practices.

### Exceeds Expectations

Exhibits mastery of fiscal process, budgeting, expenditures, etc.; adheres to budgetary standards and procedures; makes accurate projections in relation to fiscal spending; can always be counted on to manage budget well; bases financial decisions on sound fiscal business practices; ensures cost center managers understand and manage budgets within prescribed fiscal parameters; develops efficient and effective practices to enhance customers' experiences (when appropriate).

*Supervisor Comments: Provide comments supporting the above rating.*

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## RESPONSE TO CONSTITUENTS

### Does Not Meet Expectations & Requires Improvement

Inconsistent in quality and timely responses to constituents; fails to answer phone calls, emails or requests within established guidelines; provides inappropriate, inaccurate, or unprofessional replies; doesn't always follow up on promises; constituents express dissatisfaction with customer service provided; does not hold direct reports accountable for providing positive experiences to customers served by department; sets poor example for responding appropriately, accurately and professionally; may treat constituents appearing to be "more important" better than those not considered at the same level.

### Meets Expectations

Sets acceptable standards for customer service delivery; consistently responds to all constituents (internal/external/leadership/staff, etc.) in a timely and responsive manner; ensures follow-up on promises; answers e-mail and telephone calls within established guidelines; constituents express satisfaction with customer service provided; understands the connection between timely/accurate responses and ASU's reputation.

**Exceeds Expectations**

Sets high standards for customer service delivery and fosters these behaviors; responds to all constituents (internal/external/leadership/staff, etc.) in a timely and responsive manner; ensures follow-up on promises; answers e-mail and telephone calls within established guidelines; constituents consistently comment on the exceptional customer service they received; ensures all employees attend “Exceptional Customer Service Training” to enhance their customer service knowledge, skills and abilities; sets an example by demonstrating a high level of customer service to all constituents in all situations (internal and external; at every level of all organizations); well respected by constituents.

*Supervisor Comments: Provide comments supporting the above rating.*

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**SUPERVISOR’S OVERALL COMMENTS**

Summarize the performance appraisal.

- Does Not Meet Expectations
- Requires Improvement
- Meets Expectations
- Exceeds Expectations

**INDIVIDUAL PERFORMANCE DEVELOPMENT**

What development action(s) are appropriate to maintain or improve current job performance?

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**EMPLOYEE'S COMMENTS**

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Supervisor Signature

Date

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Department Head Signature

Date

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VP Signature

Date

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Employee Signature

Date

*Supervisor must meet with and obtain signatures of the department head and/or VP prior to reviewing the performance appraisal with the employee. Return completed form to the Office Human Resources, maintain a copy for your records and provide the employee with a copy.*