

Report of Performance Form Instructions

I. CENTRAL STAFF AND AGENCY EMPLOYEES

Central Staff and Agency employees are currently on a merit freeze – Increases will be awarded when the merit freeze is lifted and will be based on established Report of Performance guidelines. It is important to complete Reports of Performance when they are due to ensure timely processing.

Merit Pay Increases – Recommended increases will be applied to the employee's salary after funding availability is confirmed as long as no merit freeze applies. A 5% merit increase should be recommended when the employee consistently meets or exceeds the job requirements established for his or her position.

A 10% increase may be made for exceptional performance. The supervisor must document specific occurrences of superior performance and attach the documentation to the Report of Performance form along with the proper signatures.

If the employee's current rate of pay and position top rate of pay are the same, this indicates that the employee is at the top of the salary range for his or her classification. This should be noted in Section F of the evaluation.

Classification – If you indicate on the Report of Performance that the employee is not properly classified, the information below is required and an audit of the position will be scheduled upon receipt of this information.

- Job Description
- Organization Chart
- Memo detailing the change in duties and responsibilities

II. BEFORE YOU BEGIN THE EVALUATION – (Do this each time a rating is to be made.)

Familiarize yourself with the contents of the evaluation form. Be objective in your review, eliminate personal prejudice, bias, or favoritism. For example, don't allow your own personal likes or dislikes of certain mannerisms or aspects of personal appearance cause you to rate the more important measures of competency or effectiveness less than objectively.

Don't assume that excellence in one factor implies excellence in all factors. Observe and analyze the employee's performance objectively in terms of *each* factor listed on the rating form.

Base your judgment on demonstrated performance – not on anticipated performance. The evaluation is to be based on what *has* happened, not what *might* develop.

Evaluate on the experience of the entire rating period – it is better not to consider only single accomplishments or failures, or the most recent performance. Neither should important single instances of faulty or brilliant performance be ignored. They should be considered in context with the total performance for the period.

“Seniority” is not a part of a performance rating. Although length of time in a position *should* affect performance, it may not. Only as the employee *improves* in proportion to time spent in a position should it be considered as a part of a performance rating.

Consider the requirements in terms of the level of the position – a junior clerk may very well be meeting the requirements of his/her position more effectively than someone else does in his/her position in a higher classification.

III. HINTS ON HOW TO PROCEED

A. GENERAL

Choose a quiet place where you can work without interruption for a period of time, and where unauthorized persons will not see the forms.

Mark lightly in pencil each factor in Section A. You may later agree to changes after conferring with the department head. However, the report should be typed or written in ink before the employee interview, and any changes, corrections, or deletions on the report should be initialed by the employee.

NOTE: *Raters who are department heads, or project directors are not expected to submit evaluations to a higher level for review.*

Be generous but honest in rating the best of the employee’s qualities, but also be strictly honest in rating weaknesses. Don’t create over-confidence in an employee when improvements are really needed.

Use the spaces for comments – thoughtful comments give the most complete picture of the employee’s performance. Use attachments if you find there is insufficient space for your comments.

Consider unusual circumstances such as employees you have observed who have done poorly as a result of temporary ill-health or other unavoidable conditions. In all unusual circumstances, evaluate the actual work *performance*, but comment fully to indicate reasons.

The summary evaluation is the entire report condensed into one of five performance levels – read and understand the definitions of the Summary Evaluations levels on the back of the form before you evaluate the employee’s overall performance. Your own balanced judgment is the determinant in the summary evaluation, and not the result of applying a mathematical formula. While your summary evaluation should logically *reflect* performance levels indicated by your checks in Section A, it should not be *dictated* by factors which may vary in degrees of importance between different jobs and job levels. Ask yourself how well the employee measures up to the standards of acceptable job performance for his/her position.

The Foundation is an “at will” employer. However, before an employee is normally released for reasons of unsatisfactory performance there is documentation outlining specific performance problems or deficiencies with suggestions concerning possible actions for the employee to take to improve. Performance Evaluation Reports should provide a written record of any specified deficiencies during and/or at the close of the rating period in which any deficiencies were observed.

Special, unscheduled reports – In some cases, and particularly for regular employees, *additional* warnings in the form of unscheduled reports may be needed before recommendations for demotion or termination are made. All warnings or other reports should be dated and signed by both rater and employee. If employee refuses to sign, the Human Resources Office will assist in recording and filing of properly certified records of the rating or report.

Special, unscheduled reports should not be used only in pre-release circumstances. They are an *ideal method of commending* outstanding employee performance in meritorious circumstances, and are a valuable asset to a deserving employee’s candidacy for *promotions*.

B. EVALUATING THE SUPERVISOR

There are various levels and types of supervisory activity within the Foundation. It is important, when rating a supervisor, to understand how and to what degree each of the factors applies to that person.

Who is to be rated as a supervisor? For evaluation purposes, a supervisor is one to whom the responsibility has been delegated to evaluate other employees. This definition will necessarily eliminate a number of persons who, while they may direct some activities or provide a degree of technical supervision over other employees, have little or no authority to exercise control over other employees or direct responsibility for the results of their work. For the purposes of this report, an employee who is not delegated the responsibility to complete and sign evaluation reports on other classified employees should not be evaluated as a “supervisor.”

C. RESPONSIBILITIES OF THE DEPARTMENT HEAD OR PROJECT DIRECTOR

Keeping uniformity in the application of standards by the raters under his/her direction.

Securing corrective action when bias or a misinterpretation of rating standards is evidenced in ratings.

Making sure reports are thoroughly and promptly prepared.

Discussing the report with the Rater or employee when requested, or otherwise appropriate.

Checking the statements made in support of ratings of Unacceptable or Outstanding to see that the reasons are specific, substantial and accurate.

The Head of the Department or Project Director should discuss a report with the Rater and employee, *but he/she should not change the report*. If the Head of the Department or Project Director recommends changes with which the Rater agrees, the Rater either makes the changes or prepares a new report. The changes are not valid unless the employee is notified and the changes are recorded on the employee's copy of the report.

The official report as finally effective must be signed by at least two persons who have been designated officially as the "Rater" and "Head of the Department," and who agree on all statements and ratings made in the report. Unless the rater is the Department Head, then only his/her signature is required.

All reports signed by the Department Head/Project Director are then transmitted to the Foundation Human Resources Office for review and inclusion in the employees personnel file.

IV. THE EVALUATION INTERVIEW

Review your initial evaluation of the employee's performance, and consider why you evaluated that person's work as you did.

Determine what you want to accomplish in the interview and plan your discussion accordingly. You should have as your main objectives an improvement in the employee's performance and *will to work*. If these are already superior, the objective shifts to one of commendation and maintenance of excellence.

Plan to meet in private. If this is the employee's first evaluation interview, anticipate curiosity, tension, or anxiety, and be prepared to minimize these.

Create the impression that *you* have time for the interview and that you consider it highly important.

Make the employee feel that the interview is a constructive, cooperative one, by placing primary interest upon his/her development and growth. Avoid implication that the meeting was arranged for warning or reprimanding the employee.

Be open minded to the opinions and facts presented by the employee. Be willing to learn about him/her. Don't dominate or cross-examine. Avoid argument. Remember that the employee must do most of the talking at some points of the interview:

- a. In bringing the employee's opinions and feelings to the surface and to your attention.
- b. In gaining a better understanding of himself or herself.
- c. In identifying the employee's own areas of needed or potential improvement and in making plans for their accomplishment.

Pick the right day, time, and place. Don't conduct the interview too soon after a disciplinary action or reprimand. Pick a time when you're in a good mood and when you have reason to believe the employee feels the same.

Talk about the employee's strengths first, covering each point in some detail. Remember that the aim is to encourage or sustain high quality performance, not to discourage the employee.

While building upon the employee's strengths, *do not fail* to discuss his/her weaknesses or failures and *how that person can prevent or curtail them in the future*. Here, ask for the employee's ideas and introduce your suggestions for a specific improvement program.

Always reassure the employee of your interest in his/her progress, and indicate willingness to take up the discussion again at any time. However, close the interview when whatever points you intended to cover have been made clear and are *mutually* understood;

- a. When the employee has had an opportunity to review his/her problems and release any emotional tensions that may exist;
- b. When plans of action have been *cooperatively* developed;
- c. When you and the employee are at a natural stopping point.

FACTOR DEFINITIONS AND GUIDES FOR USE

NOTE: *On the first four factors in Section A, Columns “d” and “e” (Exceeds Standards) have been blocked out. These factors are considered absolutes – an employee either meets required standards or he/she does not. Column “f” (Does Not Apply) has been blocked out on the first three factors. All three factors apply to all employees, and therefore no option is provided.*

1. **Observance of Work Hours:** Refers to punctuality in reporting to or leaving a workstation in accordance with the prescribed schedule of working hours, and breaks. Can the employee be relied upon to be working when and where he/she is supposed to be?
2. **Attendance:** Reflects absences from work for any reason. This factor introduces the opportunity for necessary or desirable counseling of an employee regarding that person’s improper or excessive use of leave privileges, especially if his/her attendance has become unreliable. If sick leave use has been greater than the norm, should the employee seek medical care? Is there a Friday-Monday or holiday pattern of sick leave use? Have continued absences been costly to the department or harmful to the morale of co-workers who may have been required to carry extra loads?
3. **Grooming and Dress:** An appropriate type of dress and standard of good grooming is required in every position. Does the employee meet the standards of dress commensurate with the degree of public, employee, or student contacts he/she makes? Is appearance consistently clean, neat, and appropriate?
4. **Safety Practices:** Nearly all employees, even those who do not work under physically hazardous circumstances, must comply with reasonable safety practices. Does the employee endanger his/her own safety or the safety of others by his/her actions?
5. **Public Contacts:** Refers to all public contact made through personal or telephone conversation, correspondence, and day-to-day appearances before the public. Is the employee courteous and discreet in all public contacts and behavior? *Is he/she aware of the necessity to present a consistently good appearance to the public?* Is there an awareness that the image projected is not only an individual one, but also that of the Department/Project/Foundation?

6. **Employee Contacts:** Reflects only those contacts which either improve or reduce the *effectiveness* of the employees involved. It does not apply to an employee's personal popularity or lack of it. Does the employee mind his/her own business, but at the same time have a proper concern for the problems of other employees whose jobs touch his/hers? Is the employee a disruptive influence? Does the employee bother or embarrass others with his/her personal beliefs or problems? Is the employee a positive influence on the morale of others?
7. **Communication:** How well does this employee communicate ideas to others? Does the employee organize and express thoughts clearly and concisely? Are his/her diction and grammar usually clear and correct?
8. **Knowledge of Work:** This factor should not be confused with, or restricted to, the technical knowledge an employee is required to bring to a specialized job class. (See Job Skill Level, factor 11 below.) It is much broader and includes particularly the range of pertinent policies, regulations, and procedures relating to his/her assignment. Has the employee acquired an acceptable working level of job knowledge? Is the employee keeping up to date with changed policies and procedures and with technological advances in his/her occupational field?
9. **Work Judgments:** Every employee makes decisions depending upon the degree of responsibility assigned in his/her position. Does the employee make a minimum of poor judgments in the course of his work? Is the employee consistent and reliable in his/her judgments?
10. **Planning and Organizing:** Consider the manner and method in which an employee approaches his/her assigned duties, and how successful that person's planning and organizing are in achieving desired *results*.
11. **Job Skill Level:** This factor relates particularly to the mental and/or manual skills required in a given position. Consider the skills required for this position and the level of proficiency exhibited by the employee.
12. **Quality of Work:** The degree of excellence of the work performed over the entire rating period is measured here. Is the employee's work neat, accurate, thorough, and acceptable? Must the work be redone, thus reducing the potential volume of acceptable work that could have been produced? Do errors in the employee's work affect the efforts of others? Does poor work too often reflect adversely upon the project, department, or Foundation?

13. **Volume of Acceptable Work:** Refers to the amount of work required to meet job standards. Does the employee produce *enough* work so that he/she is clearly a net asset? Supervisors should not make *undue* allowances for such reasons as the employee's poor health, home problems, age, or length of service. While short-term exceptions to the volume standard can sometimes be made, care should be exercised to see that proper warnings are issued when indicated.
14. **Meeting Deadlines:** If work schedules are important enough to set reasonable deadlines, were these deadlines met? If the employee could not meet deadlines, did he/she give advance notice? Did the employee show an honest attempt to meet deadlines?
15. **Accepts Responsibility:** Refers to the degree of willingness an employee exhibits when given responsibility and the manner in which the responsibility is carried out. Does the employee readily accept responsibility or does he/she avoid it? Does the employee deny his/her responsibility when things go wrong? Or is the employee quick to own up to his/her failures? Does the employee consistently act in a responsible manner?
16. **Accepts Direction:** The word "direction" as used here is synonymous with such words as supervision, training, and instruction. Does the employee demonstrate that he/she has accepted the direction by carrying out the direction to the best of his/her ability? Does the employee chronically challenge supervision, or instruction? Does the employee meekly or passively accept directions he/she thinks may be faulty? Does the employee blindly or maliciously carry out such directions? Is the employee resentful of direction or supervision? Does the employee accept direction, but complain about it to fellow employees?
17. **Accepts Change:** Use this factor to evaluate the traits of adaptability and flexibility. Does the employee accept change willingly? Does the employee slow down progress or cause inefficiencies by resistance to change? Does the employee adapt satisfactorily to new work surroundings, new equipment, new procedures, new supervisors?
18. **Effectiveness Under Stress:** There are some positions where pace, pressure, and tempo are consistently demanding. Is the employee capable of meeting rapidly changing deadlines? Can the employee produce an acceptable volume and quality of work in an emergency? Is the employee's work generally organized well enough to meet unforeseen contingencies? Before marking this factor, consider whether stress is inherent in the position or results from the employee's failure to properly plan and organize his/her work.

19. **Appearance of Work Station:** Refers to the neatness and efficient arrangement of work areas. Does the appearance of the employee's work station affect the quality of work conducted there? Does the appearance of the work station contribute to a desirable work atmosphere or a proper public image?
20. **Operation and Care of Equipment:** Reflects the employee's concern for safe, responsible, and reasonable operation or use of equipment. Does the employee use equipment in a safe and reasonable manner? Does the employee request appropriate maintenance and repair of equipment when necessary?
21. **Work Coordination:** Measures specifically the necessary coordination of work that directly or indirectly involves other employees, sections, schools, colleges, projects, departments, or divisions. Characteristics of this factor include pre-planning, timing, and a consistent excellence of work judgments. In situations where work coordination is applicable, does the employee consistently maintain a smooth flow of work materials?
22. **Initiative:** Refers to initiation of action by the employee. While initiative shows up in the form of suggestions and constructive criticism, it is most obvious when the employee acts to produce more efficient, productive, or economical methods and procedures. Does the employee show self-reliant enterprise? Does the employee take opportunities to exercise initiative or must he/she be prodded into action? Is the employee alert to operating efficiency and cost-cutting? Is the employee inventive? Does the employee offer practical constructive criticism?
23. **Learning Ability:** Speed and thoroughness in learning new tasks, procedures and other details; alertness and perseverance.

Spaces 24 – 29 have been left blank for additional factors the rater may consider necessary in achieving a view of the employee's total job effectiveness. Unless a direct relationship can be demonstrated, intangible qualities such as integrity, patience, and courage, should be avoided as evaluation factors since they refer to character or personality traits, not to an employee's performance.

If the employee does not qualify to be evaluated as a supervisor (see "Evaluating Supervisor") but does give work direction, field supervision, or is responsible for performing tasks which of necessity include some of the supervisor factors, the blank spaces provided for additional factors might be utilized to evaluate the employee to this end.

SUPERVISORY FACTORS: (For those who supervise and *evaluate* the work of others.)

30. **Planning and Organizing:** Knowledge, talent, and mental effort are required in planning and organizing the work of subordinates. Does the supervisor constantly keep alert to possibilities of work simplification? How well does the supervisor analyze and then put into effect improved and more efficient work processes? Does the supervisor plan improvements or changes and communicate them in a logical and systematic manner?
31. **Scheduling and Coordinating:** Does the supervisor provide the necessary scheduling or rescheduling of work? Does the supervisor provide the necessary personal coordination of the work, not only among his/her subordinates, but, more importantly, between other work sections, departments, and divisions? When schedules are changed in some work areas, does the supervisor provide for the maintenance or adjustment of related work schedules elsewhere?
32. **Training and Instructing:** Does the supervisor plan and carry out a program of orientation and training for new employees? Does the supervisor provide for the correction of any technical skill deficiencies in new employees? Does the supervisor provide training for employees in new methods and procedures? Does the supervisor assist employees in self-development programs?
33. **Productivity:** This factor is designed to measure the results achieved by the supervisor and his/her subordinates. Are assigned functions accomplished? Completely? On time? Is the quality of work produced by the supervisor and his/her staff up to standard? Does the supervisor find ways to accomplish the “impossible”? Does the supervisor improvise and find other ways to make up for the failures of others? Does the supervisor anticipate work schedule problems, or is he/she surprised and “caught short” when these occur? Does the supervisor offer excuses instead of reasons? Does the supervisor keep *his/her* supervisor informed of problems and delays, or does he/she wait until these may be discovered, or until it is too late for other planning adjustments? Is he/she unwilling to adjust or revise schedules once they are set, even though they develop impracticalities or impose undue hardship on others?
34. **Evaluating Subordinates:** Measures the accuracy and manner in which the supervisor approaches and completes the formal evaluation of his/her subordinates. Does the supervisor exhibit a good balance of constructive criticism and praise in evaluating employees? Does the supervisor indicate *how* an employee’s work may be improved, when improvement is needed? Are the supervisor’s evaluations positive contributions to employee development? Are the supervisor’s evaluations consistently objective, fair, and accurate?

35. **Judgments and Decisions:** Refers to the practical exercise of authority and responsibility by the supervisor. Does the supervisor exhibit firmness and fairness in judgments affecting employees? Is the supervisor accurate in making judgments affecting functional goals? Does the supervisor cause resentment or other adverse reactions to his/her decisions because of poor timing or the *manner* in which he/she states them? Are the supervisor's judgments always in accord with the best interests of the department or project? Does he/she balance employee and departmental/project interests when these are not fully compatible?
36. **Leadership:** Does the supervisor spur subordinates to their best efforts through example and force of personality rather than by relying on the authority of his/her position? Does the supervisor mold them into a group or team whose cooperative and willing endeavors surpass their individual performances collectively? Does the supervisor's intelligent exercise of leadership create an atmosphere in which employee attitudes are optimistic and positive, in which production potentials are consistently realized, and in which the goals of the organization are consistently met or exceeded?
37. **Operational Economy:** Refers to the conservation of time and material. Is the supervisor truly budget conscious? Does the supervisor live within his budgets? Does the supervisor make careful and accurate budget estimates? Does the supervisor know, or periodically calculate, operational costs for units or phases of his/her operational responsibilities? Is the supervisor able to identify uneconomical procedures, methods, tools, or equipment? Does the supervisor recommend changed policies or procedures which might effect dollar economies?
38. **Supervisor Control:** Refers to the maintenance of order in all areas of supervisory jurisdiction. Do the supervisor's employees perform their duties and functions in an orderly and disciplined manner which is in harmony with the environment and which promotes work objectives? Do the employees have a clear understanding of behavior and performance standards which are expected? Does the supervisor enforce these standards consistently? Is the supervisor "accepted" by his/her subordinates and in full control at all times? Is the discipline and control *too* oppressive?

Spaces 39 – 41 have been left blank for any additional supervisory factors the rater feels should be included as determinates of supervisory effectiveness necessary to the position of the employee being evaluated. These may come under the heading of particular qualities or skills, without which effective supervision cannot be achieved. Intangible qualities and references to character or personality traits should, however, be avoided.