
University of Guam Administrator Evaluation Reporting System

Procedures Manual



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SECTION 1

I. Purpose

The Comprehensive Administrator Evaluation System is meant to foster self-reflection and improvement, communications, and administrative effectiveness. It is a support tool to administrative improvement.

The information developed by this evaluation system will be used for three purposes: 1) it will help identify effective leadership characteristics and management practices; 2) it will identify areas of performance which may need improvement or further examination; 3) it will assist the University in developing a written, long-range plan for addressing leadership, managerial development and remediation needs, and in making decisions about retention, promotion, tenure, salary increment, and meritorious bonuses.

When an area of performance is identified as deficient, it is the obligation of the person being evaluated and his/her immediate supervisor to develop and implement a written plan for improvement. The individual evaluated is expected to work energetically toward improvement while the supervisor is expected to provide guidance, counseling and support. Adverse actions will not be taken against any administrator in relation to performance without an adequate opportunity for improvement.

All administrator evaluations, including but not limited to increments, continuing employment and promotion shall be conducted by the process outlined in this document.

This Standard Operating Procedure (SOP) sets policies and procedures for the Administrator Evaluation Reporting System (AERS). It gives instructions for preparing, processing, and using the Administrator Evaluation Report (AER) and the Administrator Evaluation Support Form.

II. Administrator Evaluation Reporting System Policy

- a. It is the policy of the University of Guam that all administrators are evaluated annually on his or her performance and potential.
- b. The Administrator Evaluation Report System identifies administrators who are best qualified for promotion and assignment to promotion of higher responsibility. It also identifies administrators who should be kept on employment status, and those whose employment at UOG should be terminated.
 - 1) The Administrator Evaluation Report System ensures that an administrator's training, education, and experience are considered along with the specialty requirements of his or her position when he or she is evaluated.
 - 2) The emphasis on senior/subordinate communication is intended to focus attention on constructive problem solving and the importance of sound working relationships.
- c. The Administrator Evaluation Report System's basic structure:
 - 1) Allows the rater to give shape and direction to the rated administrator's performance.

- 2) Provides a chain-of-command evaluation of an administrator's performance and potential.
- 3) Allows the entire evaluation reporting process to be viewed.

III. Objectives

- a. The primary function of the Administrator Evaluation Report (AER) is to provide information to the President and the Vice Presidents for use in making personnel management decisions.
 - 1) The information provided on the AER, combined with the University's needs and individual administrator's qualifications, is used as a basis for personnel actions such as promotion, termination, reduction in force, training selection, and assignment to positions of higher responsibility.
 - 2) To ensure that sound personnel management decisions can be made and that an administrator's potential can be fully developed, evaluation reports must be as accurate and complete as the situation allows. Each report must be a comprehensive appraisal of an administrator's abilities, weaknesses, and potential. Reports that are either incomplete or fail to provide a realistic and objective evaluation make it difficult to determine an administrator's true potential.
- b. The secondary function of the AER is to encourage administrator professional development and enhance mission accomplishment.
 - 1) The AER stresses the importance of sound senior/subordinate relationships. It also stresses the importance of setting standards and giving direction to the performance of subordinate administrators. Properly used, the AER can be a powerful leadership and management tool for the rating chain.
 - 2) The key to the system's secondary function is effective communication. The AER encourages continual two-way communication between senior and subordinate administrator. On the one hand, such communication makes the rated administrator aware of what his or her duties are and allows the administrator to take part in the organization's planning. On the other hand, such communication lets the rater guide and develop his or her subordinates, keeps the rater constantly aware of what the organization is achieving, and enables the rater to plan for mission accomplishment.
 - 3) Senior/subordinate communication also makes career development information, advice, and guidance more available to the rated administrator. This enables the rated administrator to take advantage of his or her superior's experience when making decisions that affect his or her career.

SECTION 2

I. The Evaluation Reporting Process

- a. The Administrator Evaluation Report System process is designed to:
 - 1) Set objectives for the rated administrator that support the organization's mission.
 - 2) Review the rated administrator's objectives and update them to meet current needs.
 - 3) Promote performance-related discussions or counseling to develop subordinates and better accomplish the organization's mission.
 - 4) Evaluate the rated administrator's performance.
 - 5) Assess the rated administrator's potential.
 - 6) Ensure a review of the entire process.
- b. In the evaluation process, the Administrator Evaluation Form and Administrator Evaluation Support Form are used by the organizational rating chain.

II. The Beginning of the Rating Period

- a. The evaluation process starts at the beginning of the rating period. At that time, the rated administrator and rater have a face-to-face discussion of duties and objectives. An Administrator Evaluation Support Form will be used as a worksheet to record this discussion.
- b. The first face-to-face discussion will be held within 30 working days after the beginning of the rating period. Its purpose is to develop a duty description for the rated administrator and major performance objectives for him or her to accomplish during the rating period.
- c. It should also be used to guide the rated performance during the early part of the rating period.

III. During the Rating Period

- a. Throughout the rating period, both rater and rated administrator should continually assess whether the duty description and performance objectives are adequate. If not, they will be revised, and the Administrator Evaluation Support Form should be updated by the rated administrator.
- b. During these discussions about the rated administrator's duties and objectives, the rater should coach the rated administrator on his or her personal and professional development.

IV. The End of the Rating Period

- a. At the end of the rating period, the rated administrator receives an Administrator Evaluation Form from the Human Resources Office. Referring to his or her performance, experience, and discussions with the rater, the rated administrator completes his or her portion of the

Administrator Evaluation Support Form. The rated administrator then verifies the administrative data on the Administrator Evaluation Form, signs, and forwards the forms through the rater to his or her dean or director, as applicable. If the rated administrator is not available, the rater will enter and ensure the accuracy of the administrative data on the Administrator Evaluation Form.

- b. The Human Resources Office will notify the rater that the Administrator Evaluation Form has been initiated. The rater will also be told the date the Administrator Evaluation form was sent to the rated administrator and the due date for returning the completed report to the Human Resources Office.
- c. The rater and senior rater will complete their portions of the Administrator Evaluation Support Form. They also evaluate the performance and potential of the administrator on the Administrator Evaluation Form.

SECTION 3

I. Responsibilities of a Rated Administrator

The rated administrator will:

- a. Perform each assigned or implied duty to the best of his or her ability, trying always to improve on the accomplishment of the organization's mission. To do this, the rated administrator must periodically evaluate his or her own performance and, when in doubt, seek the advice of his or her superiors in the rating chain.
- b. Begin a discussion of his or her duty description and performance objectives with his or her rater. This must be done within 30 working days after the beginning of each rating period.
- c. Assess throughout the rating period the validity of his or her objectives. This may result in having to revise and update both objectives and duty description as the situation changes. The rated administrator may also have to develop new objectives with the rater.
- d. Describe accurately his or her duties, objectives, and significant contributions on the Administrator Evaluation Support Form at the end of the rating period. When doing this, the rated administrator may express his or her own views; the rated administrator may not be forced to alter those views. This does not prevent the rated administrator and rater from discussing the entries to ensure that they are clear, concise, and accurate. Nor does it prohibit changes of the entries when the rated administrator agrees with the changes.

II. The Rater

- a. The rater is the person in the rating chain who:
 - 1) Is most familiar with the day-to-day performance of the rated administrator.
 - 2) Most directly guides the rated administrator's participation in the organization's mission.
- b. Normally, to evaluate an administrator, the rater must be designated and serve in that capacity for at least 120 calendar days.

III. Responsibilities of the Rater

The rater will:

- a. Discuss the scope of the rated administrator's duties with him or her within 30 working days after the beginning of the rating period. This discussion will include, as a minimum, the rated administrator's duty description and the performance objectives he or she should attain. The discussion may also include the relationship of the duty description and objectives with the organization's mission, problems, priorities, and similar matters.
 - 1) If the rated administrator has been recently assigned to the organization, the rater may use the discussion to outline a duty description and performance objectives. This discussion gives the rated administrator a guide for performance while he or she learns new duties and responsibilities.

- 2) If the rater has been recently assigned, he or she might use this first discussion to ask the rated administrator what he or she thinks the duty description and objectives should be. By doing this, the rater is given a quick assessment of the rated administrator and the work situation. It will also help the rater develop the best duty description and permanent objectives for that administrator.
- b. Counsel the rated administrator throughout the rating period. The Administrator Evaluation Support Form assists in this communication.
 - c. Advise the rated administrator as to changes in his or her duty description and performance objectives, when needed, during the rating period.
 - d. Assess the performance of the rated administrator, using all reasonable means. These include:
 - 1) Personal contact
 - 2) Records and reports
 - 3) The information provided by the rated administrator on the Administrator Evaluation Support Form.
 - e. Review the Administrator Evaluation Support Form at the end of the rating period and, if appropriate, use it to provide more information about the job description or performance objectives to the intermediate rater and senior rater. The Administrator Evaluation Support Form is not the place for a performance evaluation.
 - f. Provide an objective and comprehensive evaluation of the rated administrator's performance and potential on the Administrator Evaluation Form.

IV. The Senior Rater

- a. The senior rater is the senior rating official in the rating chain. The senior rater uses his or her position and experience to evaluate the rated administrator from a broad organizational perspective. His or her evaluation is the link between the day-to-day observation of the rated administrator's performance by the rater and the longer-term evaluation of the rated administrator's potential.
- b. In addition to evaluating the rated administrator, the senior rater normally performs the final rating-chain review.

V. Responsibilities of the Senior Rater

The senior rater will:

- a. Use all reasonable means to become familiar with the rated administrator's performance. When practical, the following means should be used:
 - 1) Personal contact
 - 2) Records and reports

- 3) The rater's evaluations of the rated administrator given on the Administrator Evaluation Form.
 - 4) The information given by the rated administrator and the rater on the Administrator Evaluation Support Form.
- b. Assess the ability of the rated administrator. This involves placing his or her performance in perspective by considering:
- 1) The rated administrator's experience.
 - 2) The relative risk associated with the performance.
 - 3) The difficulty of the organization's mission.
 - 4) The adequacy of resources.
 - 5) The overall efficiency of the organization.
- c. Ensure that rating administrators counsel the rated administrator throughout the rating period on meeting his or her objectives and complying with the professional standards.
- d. Consider the information on the Administrator Evaluation Support Form when evaluating the rated administrator.
- e. Evaluate the rated administrator's potential relative to his or her contemporaries.
- f. Ensure that all reports both the senior and his or her subordinates write are complete and provide a realistic evaluation.

SECTION 4

I. HRO Responsibilities

a. All HRO officials will ensure that:

- 1) The rating chains are correct.
- 2) The evaluations rendered by rating officials are examined and discrepancies are clarified or resolved.
- 3) All members of the rating chain have complied with this procedures manual.
- 4) All evaluation reports are submitted on time.
- 5) The communication process between the rater and rated administrator has taken place as described in this manual.
- 6) The Administrator Evaluation Support Form has been properly executed.
- 7) Any comments by the rater on the Administrator Evaluation Support Form are consistent with the evaluation they rendered on the Administrator Evaluation Form.
- 8) The Administrator Evaluation Support Form is returned to the rated administrator after the senior rater has completed his or her evaluation.

b. In addition to the above, reviewers will:

- 1) Ensure that the narrative portions of the Administrator Evaluation Report contain factual information that fully explains and justifies the reason for the termination.
- 2) Verify that any derogatory information on the Administrator Evaluation Report is correct.
- 3) Ensure that the Administrator Evaluation Report is prepared as prescribed by this manual.
- 4) Ensure that the Administrator Evaluation Report has been returned to the rated administrator for comment.
- 5) Review relieved administrator's referral comments if submitted.

II. Evaluation Principles

A. Role of the Rating Official

The specific responsibilities of rating administrators are described earlier, and detailed instructions for completing evaluations are set forth in Section 2 through Section 5 of the Procedures Manual. Outlined below are the general principles that apply to the role of rating administrators in the evaluation process.

- 1) Rating administrators greatly affect a rated administrator's performance and professional development. Thus, these administrators must ensure that the rated administrator thoroughly understands the organization, its mission, his or her role in support of the mission, and all of the standards by which his or her performance will be judged.
- 2) To render an objective evaluation, rating administrators must use all opportunities to observe and gather information on the rated administrator's performance.
- 3) Rating administrators must prepare reports which are accurate and as complete as possible within the space limitations of the form. This responsibility is vital to the long-range success of the University's mission. With due regard for the administrator's current grade, experience, and military schooling, evaluations should cover failures as well as achievements. However, evaluations will normally not be based on a few isolated minor incidents.
- 4) Rating administrators have a responsibility to balance their obligations to the rated administrator with their obligations to the university. Rating administrators must make honest and fair evaluations of the administrators under their supervision. On the one hand, this evaluation must give full credit to the rated administrator for his or her achievements and potential.

B. Performance and Potential Evaluations

Procedures for completing evaluations of performance and potential are set forth in Section 2 through Section 5 of the Procedures Manual. Outlined below are the general principles to be used when making evaluations.

- 1) Performance evaluations are judgments on how well the rated administrator met his or her duty requirements and adhered to the professional standards. That is, performance is evaluated by considering the results achieved, how they were achieved, and how well the administrator complied with professional values.
 - a. "Results achieved" consists of the degree to which the rated administrator fulfills the duties and objectives that are assigned to him or her or implied by the duty position. Due regard is given to:
 - 1) The efforts made by the rated administrator.
 - 2) The results that could reasonably be expected given the time and resources available.
 - b. "How results are achieved" consists of:
 - 1) The means used by the rated administrator to achieve each of his or her objectives.
 - 2) His or her use of available resources (e.g., personnel, equipment, money, and time).

- c. How well the rated administrator complied with professional values is assessed by comparing his or her professional ethic and competence with the standards that apply to all administrators.
- 2) Evaluations of potential are assessments of the rated administrator's ability, compared with that of his or her contemporaries to perform in positions of greater responsibility.

SECTION 5

I. Administrator Evaluation Support Form

A. Purpose and Use

- 1) The Administrator Evaluation Support Form is used by the rated administrator and rating chain. The purpose of this form is to encourage the communication process between rater and rated administrator and to permit the rated administrator to describe his or her principal duties, objectives, and significant contributions. It may also include comments by the rater. It is not the place to evaluate the rated administrator. The Administrator Evaluation Support Form will be used by all rating administrators. When an administrator is serving under dual supervision, an Administrator Evaluation Support Form will be prepared for each chain of supervision.
- 2) At the beginning of the evaluation period the rater and the rated administrator will have a face-to-face discussion to develop a working copy of the rated Administrator Evaluation Support Form. The discussion will cover the rated administrator's duties, responsibilities and objectives and will result in an initial working copy of the Administrator Evaluation Support Form. The working copy will contain the initial of both the rated administrator and rater indicating the date of the initial discussion as well as the duty description and performance objectives. The significant duties and performance objectives may be prepared either by the rated administrator or rater. This choice should depend on which of the two administrators is more familiar with the local situation and specific mission requirements.
- 3) Throughout the evaluation period, the rated administrator will maintain the working copy of the Administrator Evaluation Report. The working copy will contain the initials of both rated administrator and rater indicating the date of the initial discussion as well as the latest duty description and performance objectives. The rated administrator will update the working copy to reflect the changes in duties and objectives as they occur.
- 4) At the end of the evaluation period, the rated administrator will use the working copy to prepare a final Administrator Evaluation Support Form for use by the rating administrators in making their evaluations. The rated administrator should look back over the entire evaluation period to determine the most significant objectives and contribution in the preparation of the final Administrator Evaluation Support Form.

B. The Communication Process

- a. The face-to-face communication process between the rater and the rated administrator assists in developing the elements of the rated administrator's duty description, responsibilities and performance objectives. This process is used to achieve the purposes of the Administrator Evaluation Support Form.
- b. Through the communication process, the rated administrator is made aware of the specific nature of his or her duty and may influence the decision on what should be accomplished. The rater is better able to:
 - 1) Direct his or her subordinates.
 - 2) Plan for attaining the mission.

- 3) Gain valuable information about the organization.
 - 4) Find better ways to accomplish the mission.
- c. Using performance objectives enables the rater and rated administrator to identify the rated administrator's most important tasks, priorities, and major areas of concern and responsibility. There are many categories of objectives to be used. The following examples are to suggest some of the alternatives to be considered.
- 1) *Routine*. Objectives that deal with repetitive duties. These duties do not ordinarily produce visible results; but if they are not properly done, there could be serious consequences. (Example: Carry out a program that ensures on-time responses.)
 - 2) *Problem solving*. Objectives that deal with problem situations. These objectives should allow time for dealing with problems without disrupting other objectives.
 - 3) *Innovative*. Objectives that create new or improved methods of operation. These may involve a degree of risk because they are untried ideas. (Example: Create and carry out a new property accountability system; develop and test a new maintenance program.)
 - 4) *Personal development*. Objectives that further the professional growth of the rated administrator or his or her subordinates. These objectives should be oriented toward skills that will help either the rated administrator or his or her subordinates in their careers or their job performance.
- d. The fact that the rated administrator and rater will initiate an Administrator Evaluation Support Form at the beginning of the rating period provides impetus for the communication process. Natural encouragement is given to both rater and rated administrator to discuss the rated administrator's input during the rating period because the rated administrator is required to maintain a working copy of the Administrator Evaluation Support Form during the period. This will ensure that entries will fall within guidance and fit reality. The ultimate objective is to improve duty performance by providing the rated administrator with a better understanding of his or her duties and requirements. The process seeks to resolve, early in the rating period, any misunderstanding or ambiguity.
- e. If the communication process has been properly executed, the Administrator Evaluation Support Form can assist the rating chain in completing the AER. Since the Administrator Evaluation Support Form accompanies the AER to the senior rater, it provides significant information from the rated administrator's point of view to the entire rating chain. To emphasize the importance of this form in the evaluation process the rated administrator and rater will verify their initial face-to-face discussion. The rater and senior rater must also review and sign the form before completing an AER.
- f. The communication process should be adjusted to the local situation. The process is determined by the nature of the mission, the style and personality of the rater, and the experience of the rated administrator. If the rated administrator is the more recently assigned to the organization, the rater may, after discussing the organization's mission, outline a preliminary duty description and major performance objectives for future

performance. If the rater is the more recently assigned, he or she might use the initial discussion to request suggestions from the rated administrator on the appropriate duty description and objectives. If the rater and rated administrator arrive in the organization at the same time, the duties and objectives may be jointly developed. The process, as described in this manual does not attempt to force any specific type of leadership style on the rating chain. It is meant only to encourage and take advantage of increased mission-related communications.

- g. The Administrator Evaluation Support Form provides an opportunity for the rated administrator and the rater to communicate with the senior rater.

II. Rated Administrator's Responsibilities

- a. Within the first 30 work days of the evaluation period, the rated administrator will have a face-to-face discussion with the rater concerning duties, responsibilities, and performance objectives. As a result of this discussion the rated administrator will maintain a working copy of the Administrator Evaluation Support Form with principal duties and objectives. Submitting written performance objectives for approval at the beginning of the rating period without a follow-up face-to-face discussion is an unacceptable shortcut. Rated administrators serving under dual supervision rated administrator will verify the face-to-face discussion by dating and initialing Part III of the working copy of the Administrator Evaluation Support Form.
- b. The rated administrator will maintain a working copy of the Administrator Evaluation Support Form with duties and objectives throughout the rating period. The rated administrator will make additions or deletions to his or her duties and objectives on the working copy as changes occur. Rated administrators serving under dual supervision will develop and maintain separate working copies of their Administrator Evaluation Support Form.
- c. The rated administrator will prepare the final Administrator Evaluation Support Form at the end of the rating period. The rating administrator will enter the date of the original face-to-face discussion and reenter his or her initials. The final Administrator Evaluation Support Form will be considered by the rating administrators in preparing the Administrator Evaluation Support Form Rated officers serving under dual supervision will prepare a final Support Form for both supervisors.
 - 1) The rated administrator will enter the duty title and position code in Part IVa that most accurately describe the principal duty performed. The description of the duty must be clear and concise. The rated administrator should describe the normal requirements of the duty position rather than changing tasks associated with the position. The rated administrator should be specific and emphasize the required functions, conditions peculiar to the assignment and the scope of responsibility to include, where applicable, dollars, facilities, people and types and amount of equipment.
 - 2) The rated administrator may enter all or only the most significant of the assigned objectives for the evaluation period at Part IVb.
 - 3) The rated administrator may enter all, or only the most significant of his or her contributions for the evaluation period at Part IVc.

III. Rater's Responsibilities

- a. The rater will have a face-to-face discussion with the rated administrator concerning duties, responsibilities and performance objectives. This discussion will be held within the first 30 days of the rating period. This is a shared responsibility with the rated administrator. Simply requiring the rated administrator to submit written performance objectives at the beginning of the rating period and approving them without follow-up discussion is an unacceptable shortcut of this provision. This discussion will enable the rated administrator to identify his or her principal duties and objectives. The rater will verify the face-to-face discussion by initialing Part III of the working copy of the Support Form. The rater will forward a copy of the draft Support Form to the senior rater.
- b. The rater will identify the rated administrator's complete rating chain at the beginning of the rating period. The rater will notify the rated administrator of changes to the rating chain.
- c. The rater will ensure that a rated administrator serving under dual supervision is notified of the additional chain of supervision. An administrator acting as the additional rating administrator in a dual supervision situation will also assume the appropriate responsibilities of rater in developing the separate Support Form.
- d. Throughout the rating period, the rater will discuss new or altered duties and objectives with the rated administrator. This should be accomplished during periodic coaching and counseling.
- e. The rater will review the final Support Form when he or she is preparing the Administrator's Evaluation Support Form. The duty description at Part a of the Administrator's Evaluation Support Form, may include information from the rated administrator's final Administrator's Evaluation Support Form. However, the choice of what to enter on the AER is the rater's.
- f. The rater will reenter his or her initials at Part III of the final Administrator's Evaluation Support Form to verify the date of the original face-to-face discussion. The rater will sign and date Part V of the final Administrator's Evaluation Support Form acknowledging he or she has reviewed it. Comments are optional, except to explain the delay or absence of the initial face-to-face discussion.
- g. This is not the place to evaluate the rated administrator but is an appropriate place to address the accuracy of the rated administrator's duty description, performance objectives and contributions for the senior rater.

IV. Senior Rater Responsibilities

The senior rater will review the draft Administrator's Evaluation Support Form to be familiar with the rated administrator's responsibilities and objectives. The senior rater will review the completed Administrator's Evaluation Support Form at the time he or she is preparing the AER.