

UNIVERSITY OF GUAM

**WORK PLANNING &  
PERFORMANCE EVALUATION**  
SUPERVISOR'S INSTRUCTION HANDBOOK

JULY 1, 2001



**UNIVERSITY OF GUAM  
PERFORMANCE APPRAISAL SYSTEM**

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## SECTION A – INTRODUCTION

This handbook is intended to assist you in using the University of Guam's Work Planning and Performance Evaluation Form.

The Personnel Rules and Regulations for classified service employees require supervisors to prepare annual performance ratings of employees for use in granting of pay increments, determining order of layoffs, and for rating an employee's suitability for promotion. An outstanding or satisfactory rating shall be necessary for the granting of a salary increment. An unsatisfactory rating shall be basis for denial of a salary increment.

The new performance evaluation system involves both supervisor and subordinate in determining the work plan and establishing the standards of performance. The appraisal is based on the employee's work performance and not on his or her personality. Discussions should be job-centered and factors and criteria to be rated should be related to the job.

As a supervisor, it is your direct responsibility to evaluate employee performance. With proper application of this appraisal system, employees will have a better understanding of their job, will know what is expected of them and how they are progressing, and may be motivated to be better performers.

### **Discrimination in Performance Appraisal**

Title VII of the Civil Rights Act prohibits discrimination in employment practices based on gender, race, color, religion or national origin. The Pregnancy Discrimination Act of 1978 makes it illegal to discriminate because of pregnancy, childbirth or related conditions, and the Age Discrimination in Employment Act prohibits discrimination on the basis of age.

## SECTION B – APPRAISAL SYSTEM

The appraisal system consists of four (4) basic steps:

- I. Work Planning
- II. Work Progress Reviews
- III. Formal Performance Evaluation
- IV. Performance Evaluation Interview

### I. WORK PLANNING

#### A. Know the Job

The first step in work planning is for you and your employee to review his/her position description and the job specification for that position. ~~Make a thorough review of what the employee is doing based on the job specification. You should not expect more or less of an employee's performance than what is required for the job.~~ If there is a difference between what you expect of the employee, the job specification and the Position Description, rewrite and update the Position Description. You need a well written, accurate Position Description because performance standards are developed and/or written from the particular job responsibilities or duties on the Position Description.

Make sure you and the employee clearly understand each duty listed. Clarify those which are confusing. Pay particular attention to the major duties of the job. One important thing to remember is that both you and the employee see the job in the same way.

#### B. Identifying Job Factors

Job factors are determined by both you and the employee through a discussion and agreement on the major duties of the job. To determine job factors with your employee, perform the following steps:

1. Using the employee's complete position description (or job specification if employee is new), identify the major, specific, continuing, and significant duties—the doing part of the job, by underlining all the verbs and object of the verbs. See example, Figure 1.

**A. Major Duties**

I serve as personal assistant to Executive Assistant to the Regional Director.

- I take dictation or transcribe from machine. I type variety of narrative or other materials. I perform all clerical duties including filing.
- I arrange travel for Executive Assistant; make his/her appointment, sometimes on own initiative; determine what mail will be referred to him; prepare for his/her signature letters for which he/she has necessary information and background.
- I attend meetings of Regional Advisory Committee or similar bodies; record proceedings in shorthand, transcribe notes, and prepare minutes. From daily incoming correspondence, I select materials for periodic mailing to committee members. I keep records on members of Regional Committee and park commissions, maintaining contact with parks as indicated. I make arrangements for committee meetings.
- I maintain fiscal records for External Affairs, prepare annual budget material, keep time cards. I keep fiscal records on Historic site and on other affiliated areas as indicated.
- I conduct some research and otherwise assist Executive Assistant in preparation of publications for use in state coordinator or advisory body programs.

*FIGURE 1. Sample Position Description – SECRETARY*

2. After underlining all the verbs and objects of the verbs, list the duty statements on a separate sheet of paper. See example, Figure 2. Avoid minor duties and general statements of responsibilities. For example, a clerk typist in a personnel office may have statements in the position description like:

All of these duties involve the same task, which is typing. In reviewing the duty statements, ask yourself “What is the employee doing?” Avoid a too detailed statement of duties. Some statements may be grouped together or really involve the same process as in the typing example. Another example, instead of listing:

- Opens incoming mail
- Time stamps incoming mail
- Sort incoming mail
- Distributes incoming mail

Write: Opens, time stamps, sorts, and distributes incoming mail.

1. Takes dictation from machine and at meetings
2. Transcribes from machine and from notes
3. Types variety of narrative/other material
4. Arranges travel for Executive Assistant
5. Makes appointment for Executive Assistant
6. Determines mail to be referred to Executive Assistant
7. Prepares letters for signature of Executive Assistant
8. Attends meetings of committees
9. Prepares minutes
10. Selects materials for periodic mailing to committee members
11. Maintains committee records
12. Makes arrangements for committee meetings
13. Maintains fiscal records for External Affairs and for Historic Sites
14. Prepares annual budget material
15. Keeps time cards
16. Conducts publications research
17. Assists Executive Assistant in preparing publications
18. Files memos, letters, reports, and other correspondence

*FIGURE 2. Sample List of Duties – SECRETARY*

3. Review the completed list of duty statements with your employee and group those major duty statements together which have something in common having like results or like products. After grouping all the duties, you and your employee should give a one or two work description of the group of duties. See example, Figure 3.

DUTY (GROUPING)				DESCRIPTION OF GROUP (JOB FACTOR)
1.	2.	3.	9.	..... Dictation & Typing ..... I
18.	15.	11.	5.	..... Clerical..... II
13.	14.			..... Fiscal Work ..... III
16.	17.			..... Publications ..... IV
4.	12.			..... Makes Arrangements..... V
6.	7.	10.		..... Correspondence..... VI

*FIGURE 3. Sample Grouping of Duties – SECRETARY*

4. After listing the job factors and their respective duties, identify the critical job factors of the position by placing an asterisk (\*) next to the job factor being identified. See Figure 4. The critical job factors are those major duties which an individual spends a great deal of time performing on the job and which must be performed satisfactorily in order to be successful in the position. Keep in mind the following checklist for identifying critical job factors:

- a. AT LEAST ONE FOR EACH POSITION – A critical job factor is the only basis for workforce discipline due to poor performance.
- b. WILLING TO TAKE ACTION FOR FAILURE TO PERFORM – Are you able to support reassignment, demotion or removal of an employee for failure to meet the minimum performance standard?
- c. DEMONSTRABLE EFFECT ON ORGANIZATIONAL EFFECTIVENESS – Will substandard performance on this job factor really harm programmatic accomplishment?
- d. ACCOUNTABILITY IN PROPORTION TO AUTHORITY – Is accomplishment within the power delegated to the position?

### **C. Establish Performance Standards**

For each duty under the job factors, you and subordinates will now establish the performance standards or criteria to be met. A performance standard is “A statement of the conditions that will exist and will measure when a job is satisfactorily performed”. It is a statement of how well the employee must perform each aspect of the duties of his/her position in order to be considered satisfactory. It is a requirement which the employee must meet (how much work, how accurately, in what manner) so that performance is considered satisfactory. It is a yardstick against which you measure the quantity, quality, and manner of performance of a particular employee on a particular duty.

The setting of standards should be a joint effort between supervisor and employee. Why? Because involvement of the employee may result in more realistic, thorough standards and should develop employee commitment to those standards. It has been suggested that the employee should make the first attempt at the standards. Why? Because some employees will be hesitant to suggest changes to the supervisor’s recommendations. Generally, the standards set by subordinates will be higher than those of the supervisor. If the employee has no suggestions to offer, then of course the supervisor will have to set and explain the responsibility or your authority by involving the employee. The supervisor retains the responsibility and the right to make the final decisions. Likewise, if the employee is new on the job, you have the responsibility to set some temporary standards to let the employee know what is expected.

#### **1. Converting Requirements into Performance Standards:**

Probably the biggest difficulty we all have when initially trying to write performance standards is that of mistakenly stating our standards in terms of requirements. For example, you have already determined a duty of a clerk-typist position to be “Types letters in final form” or the like. Invariably, we will write our first performance standard for quality something like, “No errors . . . correct format . . . free of visible smudges . . . no misspelled words.” Or in setting standards for a file clerk based on the duty concerning correct maintenance of the files, we might initially say, “Files are maintained in

accordance with the provisions of office file policies.” These are perfectly legitimate requirements, however, they will not meet the test of objectivity required by law of all performance standards. There is absolutely nothing wrong with a supervisor wanting letters to be in proper format or desiring that files be maintained in accordance with applicable regulations. However, in the case of the clerk-typist who types out letters in final form incorrect format, are we really going to demote them the first time that they type a letter in the wrong format? Or in the case of the file clerk, are we actually going to fire the first file clerk found guilty of misfiling a letter? Or even more serious, what about the file clerk who staples together a two-page document instead of using paper clips—technically a violation of that particular policy which requires that staples are allowed only for documents exceeding two pages.

Obviously we would not take such drastic action but would send the letter back to the typist for retyping (remember this) and simply direct the file clerk to remove the offending staple and become concerned only if the action were repeated several times or if it were a deficiency combined with numerous others.

Thus, what we would do to solve this dilemma and translate the requirement into a standard would be to write the typist standard to be something like, “During the rating period, no more than two of ten letters will be returned for retyping because of incorrect format”. This gives us a perfectly objective and reliable index (performance standard) of that individual’s performance in the duty of typing letters in final form. Additionally, what we have done is to guarantee that all letters will be in correct format (our requirement) simply by measuring the number of retyping it took.

With the file clerk, we would follow similar reasoning and communicate our standard perhaps in such terms as “Quarterly inspection reveals no more than ten minor deficiencies and three major violations” or “Spot checks of files reveal no more than x minor violations of the regulation.”

We can continue with examples from different occupations with duties drawn up at random in which we see how to convert a requirement or desire into an actual performance standard.

## CONVERTING REQUIREMENTS INTO PERFORMANCE STANDARDS

### *Position: Employee Development Specialist*

<u>Duty</u>	<u>Requirement</u>	<u>Performance Standard</u>
Develops new course designs in response to new and changing needs of agency.	All new courses accurately reflect current latest developments in the field.	No more than two major revisions required by inadequate preparation.

***Position: Writer/Editor***

<u>Duty</u>	<u>Requirement</u>	<u>Performance Standard</u>
Prepares drafts of agency-wide regulations on a variety of matters.	Work is completed in a timely manner.	90% of assignments are completed within the time frames established by the supervisor.

***Position: Supervisor***

<u>Duty</u>	<u>Requirement</u>	<u>Performance Standard</u>
Equal Employment Opportunity.	Demonstrates awareness of the principles of equal employment opportunity.	No more than one valid complaint of discrimination per rating period.

***Position: Nuclear Physicist***

<u>Duty</u>	<u>Requirement</u>	<u>Performance Standard</u>
Prepares research papers for presentation to peer groups and professional societies.	Papers are well received and show knowledge of the latest developments in the field.	At least two papers per year are published in professional journals.

***Position: Electronic Mechanic***

<u>Duty</u>	<u>Requirement</u>	<u>Performance Standard</u>
Tests and repairs a variety of electronic equipment.	Quality of completed work in conformance with specifications manual.	No more than 5% of parts rejected by quality control inspectors.

***Position: Custodian***

<u>Duty</u>	<u>Requirement</u>	<u>Performance Standard</u>
Cleans employees' cafeteria during non-peak hours to prepare area for lunch and breaks.	Tables clean, floor swept, ashtrays emptied, meets health standards.	No more than 4 occasions per rating period requiring rework after supervisory spotcheck.

## 2. Measurement:

It is simply not enough to express wishful thinking or broad statements. We must tie our performance standard to some type of tracking or monitoring system which already monitors quantity, quality, cost effectiveness, timeliness, etc.. In fact, in many cases, it is sometimes easier to define a performance standard after asking ourselves what monitoring systems (measurements) already exist to review the employees' productivity, quality, etc.

Take the case of the janitor whose duty is to clean the cafeteria. We know what we want (or do not want) but it might be simpler to just ask ourselves who already reviews this person's work for quality. If the supervisor happens to do spotchecks each day before lunch and breaks, then why not base our standard on this and say something like, "No more than x occasions (or percent) in which area fails to meet supervisor inspection standards" (assuming, of course, that the supervisor had in advance communicated to the employees exactly what he was looking for, or did not want to see). Or, there might conceivably be a health inspection conducted periodically in which case we could legitimately write another standard like, "weekly health inspection reveals no more than x minor deficiencies." Additionally, we all know that the user of the cafeteria reviews the janitor's work for quality and given this, we could write a standard which says, "No more than x valid complaints from the public concerning cleanliness."

In all three cases what we have done is to ask ourselves who are already reviewing the work for quality and when we realized that it was already being reviewed by the supervisor, the health inspectors, and the users, we based our standards on the degree of acceptance by either or all three of those parties.

In summary, we can see that it is perfectly legitimate for us to have requirements and expectations, and there is nothing in performance standards which take away from supervisors' prerogative. However, when we actually write our performance standards in accordance with the Civil Service Reform Act, we are going to take our requirement, ask ourselves who already reviews the work for quantity, quality, etc., and then write our standard based upon that review. In line with this, remember one of the cardinal rules about setting performance standards: Do not write any standard which requires extra monitoring by the supervisor but take advantage of those tracking systems that already exist.

## 3. Types of Standards:

The outline below describes the different types of standards which can be written. Remember, not all types of standards will apply to all duties. Use

those which fit. Maybe one duty will need both quality and quantity. Another duty will only need a manner of performance.

- a. Quantity: (how much) expressed by
- Amounts (definite number or range or unit)
  - When (within what time frame; by deadline, priority order; by a time to avoid undesirable results)
  - It is usually necessary to show both amount and when.

Example:

Bad

- types correspondence
- prepares periodic and special reports

Good

- types 25-35 letters per day
- completes all reports within 2 days of receiving basic information or meets all deadlines 85-95 of the time

- b. Quality: (how well) expressed by

- Appearance of final product
- Results achieved
- Accuracy
- Phrases such as: so that, in order that, as shown by, etc.

Example:

Bad

- Computes supply requirements for clothing items
- Types letters and reports in final form

Good

- Makes not more than 3-5 errors in computation of 100 items
- 90-95% of all finished work free from visible strike overs, erasures, and or smudges

- c. Manner of Performance:

- Methods or work procedures—whenever a specific procedure is required and anything else is unacceptable, in accordance with SOP, FPS, etc.

- d. Another Way to Express Standards:

- Positive: when we know what we want
- Negative: when we don't know what we want, but we do know what we don't want. When what we don't want doesn't exist or

- come into being, we accept what remains as satisfactory performance
- Zero: when we don't want something to happen at all

#### 4. Criteria for Fair Performance Standards:

- a. The standard should be at that level which will get the job done adequately. Standards describe satisfactory performance, not perfect performance. They should not be so high that no one can be rated outstanding. In other words, there has to be room to exceed the standard. On the other hand, they should not be so low that everyone can be rated outstanding. They should be something for the employee to strive for—a challenge.
- b. The standard is based on the job requirements, not on the performance of a present or particular incumbent. It should be what could be expected of any basically qualified person assigned to that job. If the supervisor bases the standard on the employee's performance, there are chances that the standard will end up either too high or too low. If the current employee is doing an outstanding job, he/she will be penalized by making it appear that he/she is doing just a standard job.

Also, a future employee with less competence may be penalized by making their performance appear inadequate, while it is really meeting satisfactory standards. Likewise, if the current employee is unsatisfactory and that performance is taken as the standard, the agency is penalized and the employee's performance is over-rated.

- c. The standard is current. Don't put off writing standards until you feel you have the time and skill to write completely valid standards. Make a start now and do the best you can. The first attempt will probably be, if not unsuccessful, at least not totally inadequate. It takes time and effort to pin down the results we want and to state them clearly. But we need to make a start. Standards also are not permanent. They are subject to change when working conditions, duty assignments, and any other factors affecting the position change. Standards should be reviewed, evaluated, and revised periodically.
- d. Standards are developed by consulting with employees. The standards should be understood and accepted as reasonable by both parties. Involvement of employees helps insure commitment and understanding.
- e. The standard has requirements that the supervisor can check on fairly and accurately. They are measurable. This is necessary to

The point to remember in rating overall performance is that you should consider the ratings on the job factors both collectively and individually on the basis of its importance and criticality to successful job performance.

When rating employees, consider these important points:

- Rate the employee on his/her typical performance during the rating period. Consider observations made during the entire appraisal period.
- Raters can evaluate employee's performance on only those factors which the rater has regularly and directly observed.
- Ratings should be based on facts so that you can explain the ratings. This is necessary for above or below average ratings.
- Don't be influenced by any previous ratings. Above all, don't refer back to previous evaluation forms.
- When you rate an employee on a job factor, try to disregard the ratings you have given him/her on the other job factors.
- Rate the employee's performance on the job, not the employee as a person in the abstract. Do not evaluate any of the following eight factors.

aptitude  
personality  
interest  
intelligence

general mental ability  
general knowledge  
number of years of experience  
number of years of education

When rating employees, avoid these common rating pitfalls:

- Leniency: the tendency for raters to put a greater proportion of their ratings in categories above the average than in those below.
- Severity: the tendency of their ratings to put a greater proportion of their ratings in categories below the average than in those above.
- Halo Effect: the tendency to rate an individual high or low in many job factors because of a general, overall impression—whether favorable or unfavorable.
- Central Tendency: the tendency to rate a majority of the employee as average.
- Unreliability: inconsistency, lack of repeatability and undependability of a rater's judgement.

#### IV. PERFORMANCE EVALUATION INTERVIEW

Set a specific time and place to meet with employee to discuss the ratings you have given the employee based on his/her performance measured against the established performance standards.

With the employee, review the job factors and performance standards set at the beginning of the

rating period. Then discuss the ratings for each job factor. Encourage the employee to comment on the appraisal and answer any questions which he/she may have.

As a supervisor, you should avoid any unnecessary criticism, and should not dwell on the employee's weaknesses during the discussion. If you have been conducting periodic work reviews, the employee will already have an idea of his/her strengths and weaknesses and may have already taken action to correct any problems.

Conclude the discussion by informing the employee of the recommendation you have given on his/her salary increment and any other action which you may take such as meritorious salary increase, training, etc.

After the discussion, both you and employee should sign the appraisal form. Give a copy to the employee. You may keep a copy for your files. Forward the original to your supervisor and to the appropriate administrator for their review and signature.

The original Work Planning and Performance Evaluation Form should then be forwarded to the Human Resources Office, University of Guam, to be filed in the employee's personnel folder.

If the employee is to be given a salary increment, then the appropriate personnel action will be processed in accordance with the Personnel Rules and Regulations for classified personnel.

### SECTION C - FORMS

University of Guam

### WORK PLANNING AND PERFORMANCE EVALUATION FORM

Name of Employee:	Position Title:
Evaluation Period: FROM: _____ TO: _____	How many months in this position?
Name of Supervisor:	Department:
Position Title:	Division:

SUPERVISOR: I HAVE BEEN OBSERVING THE ABOVE EMPLOYEE'S WORK PERFORMANCE AGAINST THE JOB FACTORS IDENTIFIED BELOW FROM \_\_\_\_\_ TO \_\_\_\_\_.

#### WORK PLANNING

JOB FACTOR	PERFORMANCE STANDARD	MEASUREMENT

Employee: I AGREE TO THE JOB FACTORS AND PERFORMANCE STANDARDS IDENTIFIED ABOVE.

Supervisor: I CERTIFY THAT THE ABOVE ADEQUATELY REFLECTS THE DUTIES AND RESPONSIBILITIES TO BE PERFORMED DURING THE RATING PERIOD.

\_\_\_\_\_  
EMPLOYEE'S SIGNATURE                      DATE

\_\_\_\_\_  
SUPERVISOR'S SIGNATURE                      DATE



PERFORMANCE EVALUATION INTERVIEW

EMPLOYEE: My signature below indicates that I have read this completed Work Planning and Performance Evaluation Form, discussed this evaluation with the rater on \_\_\_\_\_ and received a copy of this evaluation.

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

RATER: My signature below indicates that I have discussed this evaluation with the employee, given a copy of this evaluation to the employee, regularly and directly observed the performance of the employee on the job factors which I have evaluated, and read and understood the Work Planning and Performance Evaluation instructions.

\_\_\_\_\_  
Rater's Signature Date

RATER'S SUPERVISOR: My signature below indicates that I have reviewed this completed evaluation and the ratings appear to be appropriately justified.

\_\_\_\_\_  
Raters' Supervisor's Signature Date

DEPARTMENT HEAD: My signature below indicates I concur with the supervisory rating evaluation of the employee and approve the recommended rating.

\_\_\_\_\_  
President/Vice President/Dean/Director's Signature Date

/ / FUNDS AVAILABLE / / NO FUNDS AVAILABLE

\_\_\_\_\_  
Certifying Officer Date

TRAINING NEEDS ANALYSIS

SUPERVISOR: During the Performance Evaluation discussion with the employee, I recommended the following training(s) for improving performance:

\_\_\_\_\_  
\_\_\_\_\_

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

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

**HUMAN RESOURCES OFFICE**  
**(FOR HRO USE ONLY)**

Received By: \_\_\_\_\_ Date: \_\_\_\_\_

Salary Increment Increase Effective On: \_\_\_\_\_  
Date

\_\_\_\_\_  
Personnel Specialist's Signature Date

## SECTION D – FORMAL PERFORMANCE EVALUATION

### A. Evaluate Employee Performance on Each Job Factor

To assist you in determining whether or not an employee exceeds, meets, or is below work performance standards for a particular job factor, the following steps are provided:

1. First, just as it was important to identify the critical job factors, you should also identify the critical duties under each job factor. This can be done by writing in (c) after each duty (Refer back to FIGURE 4, page 15).
2. In order to determine the final rating for the job factors (exceeds, meets, or below), you should rate employees on each duty under the job factors using the following rating scale:

**HIGHLY SATISFACTORY:** Performance exceeds the established performance standard(s) for the particular duty. All critical duties under a particular job factor should have a rating of “highly satisfactory” in order for the job factor to get a final rating of “Exceeds Work Performance Standards”:

**SATISFACTORY:** Performance meets established performance standard(s) for the particular duty. A final rating of “Meets Work Performance Standards” for a particular job factor is justified if one or more critical duties under the job factor receives a rating of “satisfactory” with no “marginal” rating.

**MARGINAL:** Performance is below established performance standard(s) for the particular duty. A final rating of “Below Work Performance Standards” for a particular job factor is justified if one or more critical duties under the job factor receives a rating of “marginal”.

### B. Evaluate Employee’s Overall Performance

To assist you in evaluation an employee’s overall performance, remember these important points regarding the critical job factors:

**OUTSTANDING:** An employee should be given an “outstanding” overall rating if it has been determined that the employee “exceeds” work performance standards for all critical job factors.

**SATISFACTORY:** An employee should be given a “satisfactory” overall rating if it has been determined that the employee “meets” work performance standards for one or more critical job factors with no “below” work performance standard ratings.

**UNSATISFACTORY:** An employee should be given an “unsatisfactory” overall rating if it has been determined that the employee is “below” work performance standards for one or more critical job factors. If this happens, you should give the employee a period of time to improve and then do another appraisal before any adverse action is taken.

## **SECTION E – APPEAL PROCEDURE FOR RE-DETERMINATION OF PERFORMANCE RATING**

### **Purpose**

This procedure outlines the responsibilities and procedures to be followed by management and employees in handling performance rating appeals.

### **Coverage**

Employees covered in this procedure are those employees who have satisfactorily completed their probationary period and have attained permanent status. Such employee who believes he was unjustly rated may request for re-determination of his performance rating. Original probationary period performance ratings are not appealable under this procedure.

### **Representation**

An employee has the right to present an appeal with or without representation. He also has the right to be accompanied, represented, and advised by a representative of his choice at any step of the appeal proceedings.

### **Freedom from Reprisal or Interference**

An employee and his representative shall be free to appeal a performance rating without restraint, interference, coercion, discrimination, or reprisal.

### **Management's Responsibility for Timely Action**

Management shall expedite the processing of an appeal and shall abide by the allotted time. Failure to render a decision within the allotted time at any step constitutes denial, and the employee may then proceed to the next step of the appeal procedure. The employee and the appropriate management official may by mutual agreement extend the time period if doing so urges the parties to conclude the performance evaluation issues.

### **Informal Appeal Procedure – Division Head**

- A. The employee who believes he was unjustly rated shall bring the matter to the attention of his immediate supervisor not later than five work days after he was notified of his performance evaluation rating by his supervisor. The employee may present his informal appeal either orally or in writing to the division head or his representative.
- B. A review of the rating shall be afforded the employee by the rater and/or higher level supervisor. Settlement of aggrieved matters is encouraged at the lowest possible administrative level and in the shortest possible time. The employee shall be notified of

the decision not later than five work days after presentation of his informal appeal to his division head or his representative.

- C. If the employee's concerns are not resolved, or that a decision is not issued within five work days, the employee may file a formal appeal to the President.

#### **Formal Appeal Procedure – President – Performance Rating Board of Review**

- A. When the decision of the division head fails to satisfy the employee, the employee may file a formal appeal to the Performance Rating Board of Review via the President. The appeal shall be in writing to the President and filed within five work days after the appellant receives the division head's decision.
- B. The Board shall be appointed by the President and shall consist of three members, who are permanent employees of which one shall be at the same position level as the appellant, one shall be at the managerial level, and staff from the Human Resources Office or designated official who will serve as the hearing officer. Board members shall not be from the same division where appellant is assigned. The President shall appoint the Board members within five work days of receipt of the written appeal.
- C. The Board shall conduct its first hearing within five work days of its appointment. The Board shall complete the investigation and conduct the final hearing not later than ten work days from the date the Board convened. The Board shall give notice of hearings and shall provide all pertinent documents related to the appeal to the appellant, his representative, the rater, and all other parties concerned.

The conduct of the hearing shall be consistent with the opportunity to present all information necessary to decide the merits of the appeal. Both oral and written information which the Board considers pertinent may be given, as well as any other information the Board requests concerning the appeal.

- D. The hearing officer shall preside and rule on all questions and conduct of the hearing during the proceedings. Board members shall consider the case and vote objectively. They shall give consideration to the merits of the case and secure all necessary information. They shall encourage a harmonious relationship between employees and supervisors during proceedings before the Board. All members of the Board shall be present at all times during hearings and shall participate in decisions. Hearings shall be recorded and summarized in writing.
- E. When all pertinent information in an appeal has been presented to the Board, the Board shall render a decision by majority vote. The Board may either amend the performance rating, or sustain the rating without change. When an amendment is made by the Board, to the performance rating, that amended rating shall not be lower than the original rating.

The Board shall make its decision within five work days of the final hearing. The Board's decision shall be in writing with the hearing officer's signature. The decision

shall contain a brief summary of the facts on which the Board based its decision. The written decision shall be sent immediately to the appellant and signed copies forwarded to the division head and the President.

- F. When the division head receives a Board decision amending the employee's rating, the division head shall immediately substitute the original rating for the amended rating. The division head must reconsider administrative actions based on the original rating and redetermine and adjust those administrative actions to conform to the amended rating.

**Appeal to the Civil Service Commission**

- A. An employee may appeal his performance evaluation to the Civil Service Commission, if:
  - 1. he has completed the appeal procedures at the College level;
  - 2. the appeal is not satisfactorily resolved by the Performance Rating Board of Review;
  - 3. the Performance Rating Board of Review failed to render a decision within the prescribed period;
  - 4. the procedural rights of the employee filing the complaint as outlined have been disregarded;
  - 5. the decision of the supervisor, division head, or the Performance Rating Board of Review has been unjust, inequitable or not in accord with the facts; and
  - 6. the President fails to act on the Performance Rating Board of Review's decision.
- B. An appellant must submit his appeal to the Civil Service Commission within five (5) work days after the receipt of the decision from the Performance Rating Board of Review or after the decision was due.

## SECTION F – COMMON RATING ERRORS IN PERFORMANCE APPRAISAL

- **Halo effect.** A halo effect may occur when an employee is extremely competent in one area and is therefore rated high in all categories. For example, if a mechanic is customer-service-oriented and well-liked by customers, the rater may give the employee high ratings in other areas too.
- **Horn effect.** The horn effect may occur when an employee receives low ratings in every category because of one performance area that is below standard.
- **Recency.** This error occurs when an appraiser gives more weight to recent occurrences and discounts the employee's earlier performance during the appraisal period.
- **Bias.** When an appraiser's values, beliefs, or prejudices distort ratings, the error is due to bias. National origin, age, religion, gender, appearance, seniority, or other arbitrary factors may influence the rater to distort appraisal information.
- **Strictness.** Some appraisers may be reluctant to give high ratings. Appraisers who believe standards are too low may inflate the standards in an effort to make the standards meaningful in their eyes. These appraisers have higher expectations than appraisers of the same performance in other departments. So although the employees of the strict appraiser may be performing better than employees in other departments, their ratings may be lower.
- **Leniency.** Leniency errors are the result of appraisers who don't want to give low scores. All employees in this care are given high scores.
- **Central tendency.** These errors occur when an appraiser rates all employees within a narrow range, regardless of differences in actual performance. For example, the appraiser may act like a teacher who gives most students Cs even though large differences exist in performance.
- **Holding a Grudge.** Some managers never let go and never forget a previous negative behavior. Imagine yourself a victim in this situation—paying forever for something you did years ago.
- **Prejudice.** Especially on legal factors such as race, national origin, sex, religion, age, veteran status, or disability. This is a serious pitfall. Some people also harbor prejudices against hair color, weight, height, etc.
- **Favoritism.** Overlooking the poor performance of "nice" employees. They could perform better, they're easy to get along with and everyone likes them.

- **Sunflower Effect.** Rating everyone high to make yourself look good. If all of your employees are exceptional performers, you must also be exceptional. Do you have the results to prove this? In all likelihood you are not expecting enough.
- **Contrast.** The contrast error occurs when an employee's rating is based on how his or her performance compares to that of another employee instead of on objective performance standards.

## SECTION G – FREQUENTLY ASKED QUESTIONS BY RATING SUPERVISORS

### 1. Why or When are Performance Evaluations Conducted?

- **Probationary Report:** Pursuant to Personnel Rules and Regulations, all employees must serve a 6 month probationary period with a satisfactory or better performance before being classified as a permanent status employee. **When is the report due to the employee? One month prior to the end of the probationary period.**
- **Salary Increment:** Pursuant to the Personnel Rules and Regulations, eligible employees may be given the applicable 12 months, 18 months or 24 months salary increment in accordance with the pay schedule. **When is the report due to the employee? 15 days prior to their effective date of salary increment.**
- **Promotions:** Employees who are promoted to a different position no longer serve another probationary period of six (6) months.

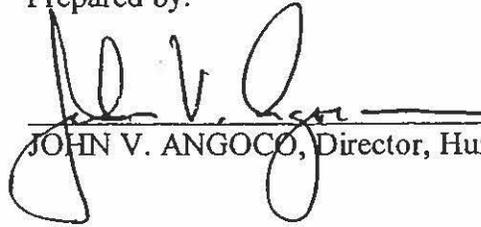
### 2. Can I extend the evaluations and for what reasons?

- The evaluation for probationary reviews may be extended up to six (6) months and with no additional extensions. The evaluations for salary increment reviews may be extended for a period of 30, 60 or 90 days. With extensions, the rating supervisor should complete the Work Improvement Plan Form and submit a copy to Human Resources Office.
- Extensions may be granted if the supervisor did not meet the ninety (90) days supervision requirement.
- Extensions may be granted if the supervisor feels the employee's performance is marginally passing. Or if it is the opinion of the supervisor that an extension may improve the employee's rating level on one or more performance factors.

### 3. What qualifies a rating supervisor?

- Must have supervised the employee for not less than ninety (90) calendar days during any single rating period. If this criteria is not met, then the previous supervisor will be required to evaluate the employee's duties.

Prepared by:

  
\_\_\_\_\_  
JOHN V. ANGOCO, Director, Human Resources

Date: July 1, 2001

Approved by:

  
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DR. ROY J. TSUDA, Acting President

Date: July 1, 2001

