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INSTITUTE OF PUBLIC AFFAIRS, The University of Iowa, Iowa City



Performance Evaluation

*Participant's
Training
Manual*



PERFORMANCE EVALUATION

Participant's
Training Manual

Zona Burke
March 7, 1977

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INTRODUCTION

WHAT IS THIS
TRAINING MANUAL
ABOUT?

It's about the use of the M-12 Form, the
Confidential Performance Evaluation.

IT GIVES YOU . . .

Information on the M-12, Performance Evaluation
form.

A brief review of responsibility statements.

Information and skill in writing standards.

A completed Section A for at least one
employee supervised (Responsibility Statements
and Standards).

Information on how to do a weighing, rating
and "comments" on this rating on Section B.

Information on Section C - strengths, weaknesses,
accomplishments, training plans, recommendations.

IT SUGGESTS HOW YOU MIGHT FOLLOW-UP TO THE STANDARDS
INTERVIEW AND RECOMMENDS THAT YOU . . .

--Think about on-going interviews with your
employees.

--Keep a brief data-based description of employee's
accomplishments, or failure to accomplish.

--Think about the on-going needs of your unit
and personnel.

PURPOSES OF PERFORMANCE PLANNING
AND EVALUATION:

To have an awareness of the JOB RESPONSIBILITIES
AND RESULTS EXPECTED IN EACH JOB.

- To gain understanding and skill in rating
employee performance.
- To gain understanding and skill in docu-
menting reasons for supervisory action.
- To gain understanding and skill in planning
for individual improvement and development.

PURPOSE OF TRAINING WORKSHOP:

- To gain working knowledge of the form M-12, Performance Evaluation Form.
- To gain understanding and skill in writing responsibility statements for those supervised. To learn how to weigh responsibilities.
- To gain understanding and skill in writing standards for those supervised.
- To complete Section A, Form M-12 of the Performance Evaluation Form and have ready for filing with my supervisor, at least one Section A, of Form M-12.

Outline of Instruction

Morning

- A. Introduction: Purpose of Performance Evaluation
and Training
Presentation of Forms
- B. Elements of Management
- C. Uses of Performance Evaluation Form
Responsibility Statements
Writing Responsibility Statements
- D. Critique of Responsibility Statements
- E. Weighing of Responsibilities
- F. Standards
 - *Characteristics of
 - *Film: "Standards of Performance"

Afternoon

- A. Writing and Critique of Standards
- B. Presentation of Section B and C
- C. Preparing for the Appraisal
Rating of Performance
- D. The Appraisal Interview
- E. Critique and Final Development of Standards for
Section A

STATE OF IOWA
INSTRUCTIONS

FOR USE OF THE PERFORMANCE EVALUATION FORM

Performance Evaluations may be useful for: merit reviews, probationary reviews, promotion, demotion, appraisal of training needs, improving job performance, disciplinary action, reduction in force, counseling and planning, job reallocations, revisions of class specifications, and insuring consistency in management planning.

Form #M-12 3/77 is to be used for reviewing Managers, Supervisors and Non-Supervisors. Form #M-14 R/76 is to be used for reviewing the Directors of Departments. If additional space is needed for writing duties, responsibilities, and expected results, Form #M-12S is to be used as a supplement.

GENERAL:

1. Markings and comments should be typed or written with ball point pen. The superior should review the material with the subordinate in a private interview. All signatures shall be in ink. Changes and corrections shall be initiated by the subordinate. If space for comments is inadequate, similarly dated and signed attachments may be made (either typewritten or in ink).

2. At the BEGINNING of the Evaluation Period fill in all the blanks in the HEADING on Section A and Section B at the same time. (Part 1 — 11.) Include name, social security number, merit classification, agency, division, unit, geographical location, pay-roll position number, and original employment date.

Note: Part 10, Period Covered by Evaluation: Performance Evaluation begins at the START of the review period, when responsibilities and expected results are discussed. The date at the END of the review period depends upon the REASON for the review. For example, if the purpose of the review is to consider a merit increase, the time frames between merit steps will be used for beginning and closing dates:

STEP A to STEP B — 6 months
STEP B to STEP C — 6 months
STEP C to STEP D — 1 year
STEP D to STEP E — 1 year
STEP E to STEP F — 1 year
STEP F to STEP G — yearly review
STEP G to STEP H — yearly review

If evaluation is for other reasons, time periods will vary. Probationary period is six months. See above for potential uses of Performance Evaluation.

3. Once this heading is completed, detach Section B and place in the Superior's file until the END of the Evaluation Period.
4. If additional space is needed on Section 4 for writing duties, responsibilities, and expected results, use the supplemental Form M-12S to attach to the M-12.
5. During the Evaluation Period, supervisory notations (good & bad), revisions, additions, etc. should be made, dated, and attached to the Superior's copy of Section A, with a duplicate of the memo given to the subordinate at the same time.

SECTION A: RESPONSIBILITIES AND RESULTS EXPECTED.

Part 12 — Major Responsibilities: Complete this section by listing the major segments or categories involved in performing the tasks/duties/assignments/objectives required of the job. Refer to Job Description and class specification, if such exist. Number each major responsibility in the left column. (Usually 8-10 responsibilities.) If more space is needed, Form M-12S may be used as a supplement.

Percentage Weight: Each major responsibility should be considered according to its importance or value within the total job. Determine which of all duties and responsibilities is the most important as to consequence and/or time. Give it the relatively greatest weight, in terms of the % of this responsibility in relation to others. Show it as a decimal, such as .50 for 50%. Sum total of all weighted responsibilities should be 100% or 1.00.

Part 13 — Standards and Results Expected: Determine what will constitute the conditions which will exist when the job is done satisfactorily (fully adequately). Several standards or expected results should be specified for each major responsibility. Write them

in short statements or phrases. Since this will become the base in measuring performance during the upcoming appraisal period, be sure that the expected results are attainable. (See examples in Handbook for Supervisors/Managers on Work Performance Standards and Evaluation.)

Part 14 — Signatures of Subordinate and Superior: Be sure that the responsibilities, weights, and expected results have been discussed with the subordinate and that they are thoroughly understood. Then both subordinate and superior sign and date their signatures on Section A, to indicate that the discussion has taken place. If subordinate refuses for any reason, superior signs and notes refusal by subordinate.

A copy of Section A is given to the subordinate to refer to during the Evaluation Period. Other copies are HELD by the Superior and attached to Section B until the END of the period.

SECTION B: PERFORMANCE REVIEW AND RATING —

To be completed at the END of the Evaluation Period.

General: Review the general directions on Section A of this form. If heading on Section B has not been filled in, do so at this time.

Part 15 — From Section A: Transfer the number of each responsibility listed, placing it at the same level as on Section A.

Percentage Weight: Each major responsibility should again be considered according to its importance or value within the total job. If the responsibilities have NOT changed measurably since the beginning of the Evaluation Period, transfer the same weight of each responsibility as shown on Section A. If the responsibilities have since been MODIFIED or REVISED, re-assess their importance in the total job and change the percentage on any responsibility that is different.

Part 16 — Mark "X" in the Appropriate Column: Indicate by an "X" your review rating of the level of accomplishment for EACH MAJOR RESPONSIBILITY listed. It is not necessary to rate each standard or expected result separately. The performance rating criteria are defined as follows:

Not Satisfactory: This rating indicates a level of performance that is unacceptable. Definite improvement in one or more critical factors is needed for continued employment. This rating must be substantiated by specific documentation and explanation of shortcomings.

Marginal: This rating indicates there are serious deficiencies and problem areas which make the performance barely acceptable. Some definite improvement is needed.

Generally Satisfactory: This rating indicates that the performance is fully adequate for job requirements. It meets, but not exceeds, the standards required to do the job.

Well Above Average: This rating indicates competence in all aspects of performance and generally exceeding job performance expectations. Very good.

Outstanding: This rating indicates superior performance far exceeding job requirements. Consistently performing responsibilities considerably above expectations in all aspects. Superior.

Special Considerations for Evaluating Probationary Employees.

1. The granting of permanent status to the employee is a critical decision for both the agency and the employee. The probationary, or working test, period is the final and most

important stage in the selection process of new employees. By the end of the probationary period, supervisors should have complete confidence that the probationary employee being evaluated is meeting performance standards in every important factor and is to be recommended for permanent status. Probationary employees do not have appeal rights on this decision.

2. The probationary period is also a time of change and learning for the new employee. Evaluations completed during this time should help to clarify the how and why of policies and procedures so the employee has a better understanding of assigned responsibilities, as well as a guide for successful performance in the new job.

Part 17 — Weighted Rating: Multiply the % (weighted value) of the responsibility times (X) the numerical rating. The result is the weighted rating for each major responsibility. Total all the weighted ratings at the bottom of the column. This figure indicates the overall performance level. Maximum possible total is 5.00 — outstanding and far exceeding job requirements in every responsibility.

Part 18 — Comments or Explanation: In this section, comment on the reasons or support for the particular rating which was checked. The comments should correspond directly to the evaluation on the level of performance. Here is an opportunity to give credence or validity to the appraisal, with comments on the degree of success (or lack of it) which the subordinate has shown in meeting each standard. The sum of these comments should justify the rating marked in Part 16 for the major responsibility. Consider any supervisory notations which have been attached to the file during the Evaluation Period. (See Section A, upper left corner.) These comments and explanation provide written documentation as to how the Superior sees the job being performed and a guide to the subordinate for future reference.

SECTION C: SUMMARY AND PLANNING —

This space provides an opportunity to plan for performance improvement and individual development. It enables the superior and the subordinate to talk about the FUTURE of terms of the individual's past performance, and upcoming plans of the unit or department. The objective is to have the subordinate leave the session with an understanding of how well he is doing and what should be done about it in the future.

Part 19 — Individual's Major Strong Points: Taking into account the ratings given on major responsibilities, plus other tasks and personal characteristics which together make up the overall performance of the individual in this particular job, give an overall summary of the major strong points. Use the space below to plan how these strengths can be more effectively used within the functional areas of the unit, division, or agency.

Part 20 — Individual's Major Weak Points: Review work habits and performance characteristics of the subordinate in light of how they may be adversely affecting desired accomplishments. These may include attendance, punctuality, cooperation, ability to relate to others, initiative, judgment, knowledge of job, etc. Use the space below to plan how these weak points can be strengthened.

Part 21 — Additional Comments: Recognize exceptional accomplishments as well as areas needing improvement. Make suggestions, set goals for accomplishment in the upcoming period.

Part 22 — Training or Developmental Plans: Determine if further in-service training is indicated for more successful accomplishment of desired results. Note in writing: a) What kind of in-service training within departmental budget is recommended, b) What kind of on-the-job development, such as special assignments and coaching by the superior, is needed to improve or enhance job performance and/or eligibility for promotion.

Part 23 — Recommendation: Indicate whether or not recommendation is made for permanent status, merit increase, job reallocation, promotion, disciplinary action, etc. This is the official determination made as a result of this Performance Evaluation.

Part 24 — Subordinate and Superior Signatures and Comments: The subordinate may offer any comments regarding the evaluation in writing if so desired. He should also sign that he has read the evaluation and that it has been discussed with him. This signature does not necessarily indicate agreement with the evaluation. An additional sheet for comments may be used if necessary.

PLEASE NOTE: At this time, FILL OUT A NEW SECTION "A", including any modifications or changes in responsibilities that have occurred during the Evaluation Period. This will be the base for the next evaluation.

Part 25 — Acknowledgement of Review: Space is provided for the signature of the next higher authority to indicate approval of the total evaluation. The purpose of this procedure is to provide continuity and communication in departmental planning.

DISTRIBUTION:

The Subordinate must receive a copy of the PART "A" Responsibilities and Results Expected, at the BEGINNING of the Evaluation Period, and a copy of Evaluation at the CLOSE of the period. If modifications have been made on upcoming Responsibilities and Results Expected, a copy of the revisions must be given to him also. This brings the Performance Evaluation process full circle and the participants are ready for the next Evaluation Period.

Copies: Completed Performance Evaluation, including Part A, B, C, and D go to Subordinate, to Superior, to Agency Personnel Office, and to Merit Employment Department (if this is a Merit position).

ELEMENTS OF MANAGEMENT

MANAGEMENT PHILOSOPHY

The following statements represent a management philosophy which grew out of an integration of unit objectives, with employee understanding, job expectation, and performance evaluation.

1. In everything we do we must provide the taxpayers with the best service at a reasonable cost. We must be diligent at all times in rendering the very best service possible. Decisions should not be made without first considering the effect upon our regulations and laws.

2. We should strive to provide a working climate within our Department where free expression, constructive candor and opportunity can flourish. Employees are encouraged to offer their recommendations, also their complaints and criticism. From this we can learn, improve, and do a better job for the taxpayers, our employees, and our Department.

3. One of the fundamental ingredients of success is a sense of direction. We believe in objective setting. We further believe we can achieve some unusual objectives by clearly and specifically defining them in writing, including a time schedule with deadlines, developing a definite plan of implementation and properly communicating our plans.

4. The employee should know and understand at all times to whom he is accountable, exactly what is expected of him and how he is doing.

5. All employees should be evaluated on the basis of results produced which contribute directly to their divisions, and then to the Department objectives. In appraising our employees, strengths should be emphasized with weaknesses pointed out as a means for the employee to improve. The attainment of meaningful divisional and Department objectives depends upon teamwork of the supervisors and employees.

6. Complete integrity is expected of our employees at all times and employees may expect complete integrity from us. The cultivation of self-discipline is essential and improves the individual's ability to work and achieve personal objectives.

7. Education is not a destination but a continuing journey. Good employee training and development programs will enable us to promote more from within the Department. Also, improved job performance leads to a greater sense of self-fulfillment.

Article by G.D. Bair, Director
Excerpted from Revenue Ramblings
V. 2, No. 6, November, 1976

SPECIAL FUNCTION OF PERFORMANCE EVALUATION

The usual functions of Planning, Organizing, Co-ordinating, Motivating, and Controlling of Managers are still important to every professional manager. The differences are simply ones of magnitude and frequency.

The table below simply represents what this range of differences might look like at different management levels.

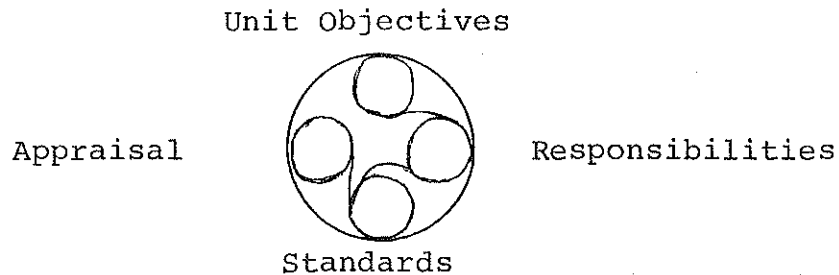
Top	P	O	C	M	C	P=Planning
Middle	P	O	C	M	C	O=Organizing
First-Line	P	O	C	M	C	C=Co-ordinating
						M=Motivating
						C=Controlling

As is apparent from the table, the biggest variation in proportionate effort is in the co-ordinating function.

The closer the manager is to production activity, the larger is the proportion of effort he is likely to devote to the co-ordinating function. Conversely the further away from production he gets, the less effort he should direct to co-ordinating and the more to the other functions.

The special function that demands the attention of managers at each level is that of Performance Evaluation of employees.

THE APPRAISAL PROCESS

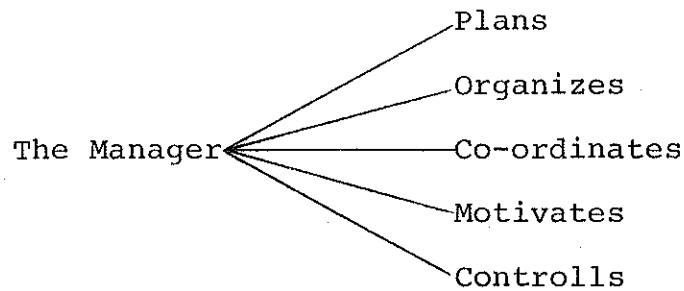


The above diagram illustrates how you as a manager or supervisor works from the objectives of your unit through the process of

- 1) setting the responsibilities and standards (results expected) for each employee who reports to you and
- 2) appraising the work of each employee periodically.

As you complete the cycle, you are doing two things: appraising the work of individual employees and appraising the work of your unit to see whether the unit's objectives are being accomplished.

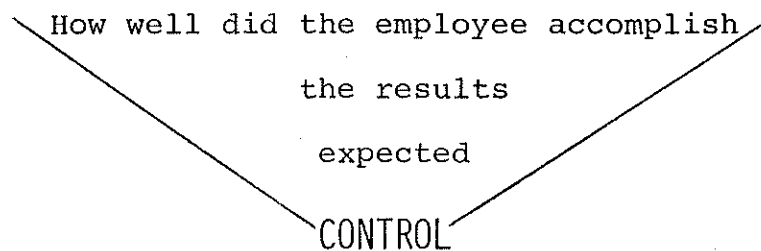
FROM PLANNING TO RESULTS



Planning begins with Unit Objectives

moves to co-ordinating with employees the
accomplishment of these objectives

and is completed with asking the question:



THE EVALUATION FORM - A MANAGEMENT TOOL

A Department Head's responsibility is to see that the unit's objectives are accomplished. At top levels of management it often happens that the standards written are the objectives.

When unit objectives have been shared from the top through the first line level of management managers will have standards of certain assigned responsibilities that will assist the Department Head in accomplishing the unit objectives.

If objectives have not been shared it may be necessary to develop responsibilities and standards from job descriptions.

The production level manager also has the responsibility to share objectives with those he supervises. He/she too has results he wants to accomplish.

The Evaluation Form is the tool which enables him to describe the results he wants.

If the production manager has not clearly written down his/her own objectives he/she may need to use the employees present job description to define the standards of the job to be evaluated.

QUESTIONS TO BE ASKED FOR EACH
CRITICAL AREA OF RESPONSIBILITY

If you have only the job description, or perhaps nothing to work from in the formulation of Responsibility Statements and Standards these 5 questions can be asked of each critical area of responsibility.

1. What does the employee do now?
2. What results did you achieve this past year?
3. What results do I expect next year of the employee?
4. What will he need to do (activities to accomplish these results)?
5. How will I be able to measure the accomplishment (what results will prevail if the End Results or standards are achieved)?

USES OF THE EVALUATION FORM

WHAT ARE THE USES FOR PERFORMANCE EVALUATION

Performance evaluation is an important and useful management tool of every manager and supervisor. He/she uses it to look at how well employees are achieving the work results expected of each of them.

In Iowa, at this state, performance evaluation has a second important use--to provide written support or documentation for any actions the supervisor may take.

These might include

- | | |
|------------------------------------|------------------------|
| --Merit Reviews | --Probationary Reviews |
| --Disciplinary Action | --Promotions |
| --Job Reallocation | --Reduction in Force |
| --Revision of Class Specifications | --Demotions |

A further use of the Evaluation Instrument is to assess the training needs of both the Individual and the Department, and determining what is needed to improve job performance of either.

GENERAL

General: (2)

WHEN DOES EVALUATION PERIOD START?

- at the START of the Review Period when Responsibilities and Expected Results are discussed.

- The date of the END of the Review Period depends upon the REASON for the Review. For example, if the purpose of the Review is to consider a merit increase, the time frames between merit steps will be used for beginning and closing dates:

Step A to Step B - 6 Months

Step B to Step C - 6 Months

Step C to Step D - 1 Year

Step D to Step E - 1 Year

Step E to Step F - 1 Year

Step F to Step G - Yearly Review

Step G to Step H - Yearly Review

If evaluation is for other reasons, time periods will vary.

These steps are also listed on the instructions sheet.

General: (2)

ACTION STEPS TO TAKE WITH SECTION A.

- At the Beginning of the Evaluation Period fill in all the blanks in the HEADING on Section A.
- Note period covered by evaluation (will be covered later).
- Section B is in a separate pad and is to be used at end of Evaluation Period.
- During Evaluation Period, supervisory notations should be made, dated and attached to the Superior's copy of Section A, with a duplicate of memo given to the employee at the same time.
- Now begin working to complete Section A: Responsibilities and Results Expected for each of the employees you supervise.

SECTION A
RESPONSIBILITIES

SECTION A: ACTION STEPS TO TAKE IN LISTING RESPONSIBILITIES

1. List the major segments or categories involved in performing the tasks/duties/assignments/objectives required of the job.

(If not sure of major responsibilities, refer to the job description and class specification.)

2. Number each responsibility in the left column. (Usually 8-10 responsibilities.) If more space is needed, Form M12S may be used as a supplement.

3. Consider each major responsibility according to its importance or value within the total job.* Determine which of all duties and responsibilities is the most important as to consequence and time. Give it the relatively greatest weight in terms of the % of this responsibility in relation to others. Show it as a decimal, such as .50 for 50%. Sum total of all weighted responsibilities must be 100% or 1.00.

Minor tasks may either be incorporated in standards of a major responsibility or if not significant enough to measure, may be ignored. (This is one of the chief differences between a performance evaluation plan and a job description.)

*Refer to page 32 for help on percentage weights.

A. Responsibility statement should describe

For the purposes of this form, a responsibility statement should be thought of as a statement of a general activity which must be performed in order to achieve a broad end result or objective. Both the activity and the end result must appear in each Principal Responsibility statement. (The general activities clauses will later be broken down into specific authorized actions, and the end results objectives clauses into measurable performance standards.) Excessive detail should be avoided. Begin each statement with "to" and a verb. Think, "It is my responsibility:" to . . .

Activity + END Result

so that

WHAT RESPONSIBILITY STATEMENTS ARE --

WHAT THEY ARE NOT

You are not to develop

a long laundry list that documents every
task the employee performs,

rather,

state in broad terms, 8 to 10 statements, those
critical areas for which the employee is
accountable.

Most of the tasks the employee performs,
should fit under these broad categorizations,
or can be incorporated in standards for the
major responsibility.

SAMPLES OF MAJOR RESPONSIBILITY STATEMENTS

STATE OF IOWA
CONFIDENTIAL PERFORMANCE EVALUATION
(Managers, Supervisors and Non-Supervisors)

SECTION A
RESPONSIBILITIES
AND
RESULTS EXPECTED

(Personnel information condensed)

3. MERIT CLASSIFICATION

U. I. Administrator

SAMPLES OF MAJOR RESPONSIBILITY STATEMENT

INSTRUCTIONS: Once the above information is completed, detach the section B, "Performance Rating," and place in the superior's personnel file, for the individual being reviewed, until the end of the evaluation period. During the evaluation period, attach notes, comments, revisions, etc. to this section as required. Section A is to be completed at the beginning of the evaluation period and discussed with, and signed by the individual being evaluated.

12. Responsibilities: From job description and classification specification or other.

13. Standards and Results Expected: (Conditions which will exist when the job is done satisfactorily. . . .)

No.	%*	MAJOR RESPONSIBILITIES	RESULTS EXPECTED
1.	62%	Administer activities of the Job Insurance Division in order to carry out the provisions of Chapter 96, Code of Iowa and various Federal Unemployment Insurance programs.	<p>A. Claims Department - to pay 72 percent of intrastate claims, 50 percent interstate claims, 70 percent UCFE claims, and 85 percent UCX claims within the 14 day time lapse period.</p> <p>B. Employer Liability Audit Department -</p> <p>(1) To have registered 86 percent of all newly covered employers within six months after date of liability.</p> <p>(2) To audit 15 percent of total employer accounts during the fiscal year.</p> <p>(3) To insure that the average net taxable wage total \$4,500 per audit from the audit program.</p> <p>C. Tax Functions Department -</p> <p>(1) To identify within an average of 14 working days 90 percent of the employers who are delinquent in filing contribution reports after the due date.</p> <p>(2) To obtain 75 percent of delinquent reports by the end of the reported quarter.</p> <p>(3) To assure that the percentage of the number of delinquent employers during the quarter does not exceed 2 percent of total employers.</p>
	100% TOTAL		

* NOTE: Weighted percentaged expressed as a decimal (importance of a responsibility compared to others. Total 100%)

STATE OF IOWA
CONFIDENTIAL PERFORMANCE EVALUATION
(Managers, Supervisors and Non-Supervisors)
SUPPLEMENTAL

SECTION A
RESPONSIBILITIES
AND
RESULTS EXPECTED

(Personnel information condensed)

3. MERIT CLASSIFICATION
U. I. Administrator

SAMPLES OF MAJOR RESPONSIBILITY STATEMENT

12. Responsibilities: From job description and classification specification or other.

13. Standards and Results Expected: (Conditions which will exist when the job is done satisfactorily. Several...)

No.	%*	MAJOR RESPONSIBILITIES	RESULTS EXPECTED
26			<p>(4) To initiate collection action in 95 percent of all cases on delinquent contributions within five work days of the establishment of the delinquency.</p> <p>D. Benefit Payment Control -</p> <p>(1) To insure that the time lapse between the date of offense and the date of determination of fraud shall be 12 months or less on 95 percent of the cases.</p> <p>(2) To insure that the time lapse between the date of offense and the date of detection should be 22 weeks or less.</p> <p>(3) To insure that the time lapse between the date of detection and the date of determination should be 4 weeks or less.</p> <p>(4) To insure that 65 percent of fraudulent overpayments and 71 percent of non-fraudulent overpayments are recovered.</p> <p>(5) To insure that the ration of UI benefit overpayments to total UI benefit payments are less than 1 percent.</p>
2.	3%	To direct the preparation of the annual budget request for the Job Insurance Division, including allocation of positions to supporting service departments.	To schedule meetings with supporting service departments and reach agreement on allocated personnel at least 30 days before deadline for submitting the budget to the Regional Office.
	100% TOTAL		

STATE OF IOWA
CONFIDENTIAL PERFORMANCE EVALUATION
(Managers, Supervisors and Non-Supervisors)
SUPPLEMENTAL

SECTION A
RESPONSIBILITIES
AND
RESULTS EXPECTED

3. MERIT CLASSIFICATION
U. I. Administrator

SAMPLES OF MAJOR RESPONSIBILITY STATEMENT

12. Responsibilities: From job description and classification specification or other.			13. Standards and Results Expected: (Conditions which will exist when the job is done satisfactorily. Several...)	
No.	%*	MAJOR RESPONSIBILITIES	RESULTS EXPECTED	
3.	10%	To coordinate the activities of the Job Insurance Departments and the activities of the Division with other Departments of the Agency where problems arise within the Division or cut across Department lines.	A. To call meetings with other Department heads on problems involving their Departments within one day of the date that the problem is brought to my attention. B. To advise the Director immediately of problems which may require a decision by the Director because such problems cross departmental lines. C. To resolve such problems within three days of occurrence, and commit the agreement reached, in writing within 2 days.	
4.	5%	Evaluate the effectiveness of Job Insurance operations through program specialists, field supervisors, local office managers, and agency supporting services in order to provide for sound organizational and effective staff relationships.	To require weekly, monthly or quarterly reports, as necessary, which will provide the information necessary for evaluating performance of the UI Departments in terms of standards and objectives.	
5.	8%	Represent the Director and the Agency in meetings with community groups and with other public and private organizations and agencies in order to provide community services and keep abreast of the economic developments.	A. To advise the Director immediately (within 1 day) of all requests from community organizations, employer groups, and labor groups, of requests for meetings to be conducted by, or participated in, by UI staff. To make arrangements specifically with the following organizations to discuss the implementation of Public Law 94-566 and its effect upon political sub-divisions after the enactment of mandatory conforming legislation by the General Assembly: Iowa Association of School Boards, Iowa State Association of Counties, League of	
	100% TOTAL			

STATE OF IOWA
CONFIDENTIAL PERFORMANCE EVALUATION
(Managers, Supervisors and Non-Supervisors)
SUPPLEMENTAL

SECTION A
RESPONSIBILITIES
AND
RESULTS EXPECTED

3. MERIT CLASSIFICATION
U.I. Administrator

SAMPLES OF MAJOR RESPONSIBILITY STATEMENT

12. Responsibilities: From job description and classification specification or other.			13. Standards and Results Expected: (Conditions which will exist when the job is done satisfactorily. Several...)
No.	%*	MAJOR RESPONSIBILITIES	RESULTS EXPECTED
6.	7%	To assist in the preparation of legislation necessary to implement mandatory and optional Federal UI laws.	<p>Iowa Municipalities, Iowa State Education Association, and Des Moines Education Association.</p> <p>B. To make such commitments as may be agreed upon and to notify the requesting organization within 3 days.</p> <p>C. To provide the Director, if requested, with a summary of the meeting within one week of the scheduled date of such meeting.</p>
7.	5%	To submit reports to the Director on critical issues and problems which may affect the Agency or reflect upon its public image.	<p>A. Upon instructions from the Director, and to the degree in which such responsibility has been delegated, to direct and coordinate the preparation of legislative changes which are required by the Director and the Advisory Council.</p> <p>B. Comply with such time limits which may be established by the appropriate legislative committees for submission of Agency recommendations.</p> <p>C. Keep Director advised by weekly written reports as to progress of such legislative activities.</p>
	100% TOTAL		<p>A. To advise the Director immediately when such problems or issues arise (the same day).</p> <p>B. To advise the Director, in writing if so instructed, at specified time periods, as to the progress of such problem or issue, and</p> <p>C. Report on the final solution of the issue or problem within 3 days and in writing if so instructed by Director.</p>

STATE OF IOWA
CONFIDENTIAL PERFORMANCE EVALUATION
(Managers, Supervisors and Non-Supervisors)

SECTION A
RESPONSIBILITIES
AND
RESULTS EXPECTED

(Personnel information condensed)

3. MERIT CLASSIFICATION
U. I. Manager I.

SAMPLES OF MAJOR RESPONSIBILITY STATEMENT

INSTRUCTIONS: Once the above information is completed, detach the section B, "Performance Rating," and place in the superior's personnel file, for the individual being reviewed, until the end of the evaluation period. During the evaluation period, attach notes, comments, revisions, etc. to this section as required. Section A is to be completed at the beginning of the evaluation period and discussed with, and signed by the individual being evaluated.

12. Responsibilities: From job description and classification specification or other.

13. Standards and Results Expected: (Conditions which will exist when the job is done satisfactorily. . . .)

No.	%*	MAJOR RESPONSIBILITIES	RESULTS EXPECTED
1.	50%	To supervise the operation of the Area Job Insurance Center so that the Center is operated in accordance with U.I. Law, Administrative policy and procedures.	<p>A. All new directives are inserted in operational manuals within two weeks.</p> <p>B. All initial claimants are given benefit rights at the time of filing the new claim.</p> <p>C. Complete one fact finding monitor report on each Claims Specialist per calendar quarter.</p> <p>D. One evaluation of mail claims per quarter with report completed.</p> <p>E. Perform one audit of claimstaking activity per quarter.</p> <p>F. Inspect itinerant office facilities quarterly in order to evaluate quality of service performed.</p>
2.	3%	Organize facility, supplies, equipment, so the staff can efficiently serve the public.	<p>A. Maintain 30 day supply inventory.</p> <p>B. Make sure all equipment is in operating order.</p> <p>C. Notify Administrative Office within 30 minutes of Video failure.</p>
3.	3%	Maintain a Public Relations program for employers, unions, and general public, so they will be advised of the job insurance program.	<p>A. No reasonable request for public information or appearance will be refused.</p> <p>B. Keep log of public relations activity.</p>
	100% TOTAL		

* NOTE: Weighted percentaged expressed as a decimal (importance of a responsibility compared to others. Total 100%)

STATE OF IOWA
CONFIDENTIAL PERFORMANCE EVALUATION
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SUPPLEMENTAL

SECTION A
RESPONSIBILITIES
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3. MERIT CLASSIFICATION

U. I. Manager I.

SAMPLES OF MAJOR RESPONSIBILITY STATEMENT

12. Responsibilities: From job description and classification specification or other.			13. Standards and Results Expected: (Conditions which will exist when the job is done satisfactorily. Several...)	
No.	%*	MAJOR RESPONSIBILITIES	RESULTS EXPECTED	
4.	20%	Hire sufficient staff so that work is completed on a timely basis.	A. Hire according to M.E.D. Regulations. B. Request appropriate register within 60 days of anticipated openings. C. Implement emergency hiring procedures when there are no available applicants on register.	
5.	2%	Coordinate known mass claimstaking arrangements so that claimants involved in large layoffs can be accommodated in the most efficient manner.	A. Within 24 hours after notification of a layoff both Employer and Union (if applicable) are contacted for arrangements for mass filing. B. Insure all arrangements are made within one week after layoff date with regard to facilities, supplies, manpower, and time and date of scheduling of claims for the mass layoff.	
6.	3%	Insure that Work Rules are enforced so that consistent Administration of discipline is Agency wide.	A. All Work Rules outlined by Director shall be followed. B. Discipline procedures will be implemented according to agency policy. C. Grievance procedure will be made available to all employees.	
7.	10%	Devising, coordinating, and implementing training systems so that employees are provided with a continual understanding of their designated job assignments.	A. Within 30 days of induction, new employees shall be referred to Staff Development Department for basic orientation. B. Provide intense, in-depth technical assistance to permanent staff within (during) first six months of employment.	
	100% TOTAL			

STATE OF IOWA
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3. MERIT CLASSIFICATION

U. I. Manager I.

SAMPLES OF MAJOR RESPONSIBILITY STATEMENT

12. Responsibilities: From job description and classification specification or other.			13. Standards and Results Expected: (Conditions which will exist when the job is done satisfactorily. Several...)
No.	%*	MAJOR RESPONSIBILITIES	RESULTS EXPECTED
8.	3%	To oversee the overpayment function so that overpayments are properly and timely processed.	C. Provide training to temporary employees in order that they can operate independently in a specialized classification within 3 weeks.
9.	3%	Prepare and submit Management Reports so that Administrative support personnel are kept informed of Local Office operations.	A. 80% of overpayment investigations should be scheduled within 60 days of receipt. A. All reports will be completed and transmitted at scheduled times.
10.	3%	Supervise periodic interview function so that benefit entitlement standards are met by the claimant.	A. One week per quarter preview (25) P.I. Forms to insure P.I. forms are being investigated properly for potentially disqualifying issues. B. Insure that Work Search investigations are conducted in accordance with Administrative Directives.
	100% TOTAL		

STATE OF IOWA
CONFIDENTIAL PERFORMANCE EVALUATION
(Managers, Supervisors and Non-Supervisors)

SECTION A
RESPONSIBILITIES
AND
RESULTS EXPECTED

(Personnel information condensed)

3. MERIT CLASSIFICATION
Claims Specialist VI

SAMPLES OF MAJOR RESPONSIBILITY STATEMENT

INSTRUCTIONS: Once the above information is completed, detach the section B, "Performance Rating," and place in the superior's personnel file, for the individual being reviewed, until the end of the evaluation period. During the evaluation period, attach notes, comments, revisions, etc. to this section as required. Section A is to be completed at the beginning of the evaluation period and discussed with, and signed by the individual being evaluated.

12. Responsibilities: From job description and classification specification or other.

13. Standards and Results Expected: (Conditions which will exist when the job is done satisfactorily. . . .)

No.	%*	MAJOR RESPONSIBILITIES	RESULTS EXPECTED
1.	15%	To administer the determination of eligibility of claimants for unemployment insurance payments under the Iowa Employment Security Law and Federal programs so that timely payments are made when due in conformance with Federal Standards.	<p>A. Strive to come as close to the Secretary of Labor Standard as possible on time lapse.</p> <p>B. Attain the U. I. Directors standards to pay 72% on intrastate claims, 50% on interstate claims, 85% on UCX claims and 70% on UCFE claims.</p> <p>C. The only way that A and/or B above will be accomplished since the waiting period has been eliminated is to install a computerized Program to convert protests on claims to Special Investigation Reports. By automating the protests, investigations may be started from one to seven days sooner. This system will be operational by early summer.</p>
2.	25%	To review the Federal Employment Security Manual Transmittals, Congressional legislation, Unemployment Insurance Program Letters and correspondence from the Regional and National Office of the Department of Labor so that the changes can be implemented in the most efficient and expeditious manner.	<p>A. Publish Unnumbered Letters pertaining to Law and Administrative Rules for purposes of clarification.</p> <p>B. Cause to be prepared numbered Job Insurance Letters for the Job Insurance Director pertaining to law changes, Rule changes, court case precedents, etc.</p> <p>C. Have the Administrative and Area Claims Office operating manuals updated annually, review the update and publish the manuals.</p>
	100% TOTAL		

* NOTE: Weighted percentaged expressed as a decimal (importance of a responsibility compared to others. Total 100%)

STATE OF IOWA
CONFIDENTIAL PERFORMANCE EVALUATION
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SUPPLEMENTAL

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RESULTS EXPECTED

3. MERIT CLASSIFICATION
Claims Specialist VI

SAMPLES OF MAJOR RESPONSIBILITY STATEMENT

12. Responsibilities: From job description and classification specification or other.			13. Standards and Results Expected: (Conditions which will exist when the job is done satisfactorily. Several...)
No.	%*	MAJOR RESPONSIBILITIES	RESULTS EXPECTED
3.	12%	To coordinate Claims Department activities with other Divisions and Agencies so that problems can be resolved as expeditiously as possible.	<p>D. Change the Automated Non-Monetary Decision System (ANDS) manual as necessary but not less than once per year.</p> <p>A. Administrative Services Division - pertaining to budget, equipment, travel, and other costs.</p> <p>B. Methods & Planning Department - pertaining to design and improvement in design of forms and flow of inter-departmental work.</p> <p>C. Data Processing Department - pertaining to improvement in Data Processing in the claims system.</p> <p>D. Job Placement Division - pertaining to space and flow of work in outlying local office.</p> <p>E. Informational Services Department - pertaining to review of all releases which are made that pertain to the technical aspect of the U. I. Law.</p> <p>F. Staff Development Department (training) - pertaining to the basic, intermediate and advanced training of professional claims personnel in the skills of conducting interviews, taking statements, etc.</p> <p>G. State Treasurer - pertaining to lost, stolen, and forged warrants.</p> <p>H. State Appeal Board - pertaining to outdated warrants for reissuance or denial to the claimant.</p>
	100% TOTAL		

STATE OF IOWA
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SECTION A
RESPONSIBILITIES
AND
RESULTS EXPECTED

3. MERIT CLASSIFICATION
Claims Specialist VI

SAMPLES OF MAJOR RESPONSIBILITY STATEMENT

12. Responsibilities: From job description and classification specification or other.			13. Standards and Results Expected: (Conditions which will exist when the job is done satisfactorily. Several...)
No.	%*	MAJOR RESPONSIBILITIES	RESULTS EXPECTED
4.	10%	To assist the Agency Legislative Committee in proposing law changes so that recommendations can be made to the Advisory Council.	I. Merit Employment Department - pertaining to new and modified questions pertaining to U. I. questions in the Claims Specialist series tests. A. Be alert to problem areas in the law for both employers and claimants and make recommendations. B. Assist the U. I. Legal Counsel in his preparation of mandatory legislation. C. Be aware of methods used by other States which may be an improvement over our methods.
5.	5%	To submit reports to the U. I. Director concerning weekly operational problems and other issues which may have a potential impact on the interpretation of the Law and Rules so that proper action can be taken.	A. Submit a weekly report to the U. I. Director concerning matters and problems of general interest to keep him informed. B. Prepare special Reports to the U. I. Director as dictated by need to arrive at solutions of specific problems.
6.	12%	To assure that the Area Claims Offices operation is functioning properly by reviewing supervisory reports so that the efficient operation of the field operation is assured.	A. Conduct Area Claims manager meeting as often as necessary to assure that management is properly trained but not less than once per year. B. Personally visit each Area Claims Office at least once annually. C. Conduct periodic Administrative staff conferences for the purpose of improving claim records and controls, flow of work, modifications in procedure, etc.
	100% TOTAL		

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3. MERIT CLASSIFICATION
Claims Specialist VI

SAMPLES OF MAJOR RESPONSIBILITY STATEMENT

12. Responsibilities: From job description and classification specification or other.			13. Standards and Results Expected: (Conditions which will exist when the job is done satisfactorily. Several...)	
No.	%*	MAJOR RESPONSIBILITIES	RESULTS EXPECTED	
7.	6%	To review labor dispute and other problem cases of a complex nature so that the law and rules are applied properly.	A. Assure that there is a continuity of operation. B. Be alert to needs for additions and changes to the Administrative Rules.	
8.	5%	To monitor budget and staffing in the Claims operation continuously so that preparation of budget and changes in staffing can be made each year as necessitated by need.	A. Review equipment inventory at least annually and whenever an Area Office is to be moved to assure that adequate equipment in sufficient quantity is available for the operation. B. Review the workload per position each year to make adjustments in base staff. The goal is to have a base staff at 90-95% of the low quarter workload. C. Prepare supplemental budgets for funds needed to take care of sudden or unforeseen problems.	
9.	5%	To conduct a public relations program so that all segments of the public maybe better informed.	A. Maintain a liaison with the Governors Office on individual cases by furnishing and explaining necessary information and to follow up with phone calls and letters to persons making inquiries as required. B. Respond by phone and letter to Legislative and Congressional inquiries concerning claims and application of law and Administration Rules. C. Be available to address employer, union, governmental, educational, and other public groups as a speaker.	
	100%	TOTAL		

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Claims Specialist VI

SAMPLES OF MAJOR RESPONSIBILITY STATEMENT

12. Responsibilities: From job description and classification specification or other.			13. Standards and Results Expected: (Conditions which will exist when the job is done satisfactorily. Several...)	
No.	%*	MAJOR RESPONSIBILITIES	RESULTS EXPECTED	
10.	3%	To insure that the Work Rules established by IDJS are properly enforced so that consistent administration of disciplinary action is followed in the Claims Department.	A. All Work Rules enumerated in Administrative Letter 16-76 will be enforced by myself and supervisors. B. Procedures for Disciplinary Actions enumerated in Administrative Letter 9-76 will be enforced by myself and supervisors. C. I will act on all grievances received within five (5) days. D. Grievance procedures will be made available to the Claims Department and to all Area Office employees.	
11.	2%	To administer the payments made under the Trade Act of 1974, the Disaster Unemployment Assistance (DUA) Program, and the comprehensive Employment and Training Act (CETA) so that payments are made on a timely basis.	A. Assign the primary responsibility for the Trade Act and DUA to one individual Claims Specialist IV and to the other Claim Specialist IV's as a secondary duty. B. Assign the Federal Unit in the Claims Department the responsibility for CETA payments.	
	100% TOTAL			

ACTIVITY

Check those major responsibilities which are written with results clauses.

_____ Code and verify coding of criminal listing records so that records may be converted to computer form.

_____ Act in advisory capacity only for the edit sub-system.

_____ To order and verify data with an Inforex Key station so that coded material can be placed accurately on computer tape.

_____ Attend all scheduled schools.

_____ Report in writing progress being made on all assigned tasks.

_____ Maintain knowledge of and adherence to administrative procedures so that office functions within established guidelines.

WORKSHEETS FOR WRITING RESPONSIBILITY STATEMENTS

Following are four copies

Section A.

Write 8 to 10 Responsibility Statements
for one employee you supervise.

SECTION A
RESPONSIBILITIES
AND
RESULTS EXPECTED

3. MERIT CLASSIFICATION

INSTRUCTIONS: Once the above information is completed, detach the section B, "Performance Rating," and place in the superior's personnel file, for the individual being reviewed, until the end of the evaluation period. During the evaluation period, attach notes, comments, revisions, etc. to this section as required. Section A is to be completed at the beginning of the evaluation period and discussed with, and signed by the individual being evaluated.

13. Standards and Results Expected: (Conditions which will exist when the job is done satisfactorily. . . .)
--

100%
TOTAL

(Signature information deleted
for space purposes.)

SECTION A
RESPONSIBILITIES
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RESULTS EXPECTED

3. MERIT CLASSIFICATION

INSTRUCTIONS: Once the above information is completed, detach the section B, "Performance Rating," and place in the superior's personnel file, for the individual being reviewed, until the end of the evaluation period. During the evaluation period, attach notes, comments, revisions, etc. to this section as required. Section A is to be completed at the beginning of the evaluation period and discussed with, and signed by the individual being evaluated.

13. Standards and Results Expected: (Conditions which will exist when the job is done satisfactorily. . . .)
--

* NOTE: Weighted percentage expressed as a decimal (importance of a responsibility compared to others. Total 100%)

(Signature information deleted
for space purposes.)

SECTION A
RESPONSIBILITIES
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3. MERIT CLASSIFICATION

INSTRUCTIONS: Once the above information is completed, detach the section B, "Performance Rating," and place in the superior's personnel file, for the individual being reviewed, until the end of the evaluation period. During the evaluation period, attach notes, comments, revisions, etc. to this section as required. Section A is to be completed at the beginning of the evaluation period and discussed with, and signed by the individual being evaluated.

13. Standards and Results Expected: (Conditions which will exist when the job is done satisfactorily. . . .)
--

100%
TOTAL

(Signature information deleted
for space purposes.)

SECTION A
RESPONSIBILITIES
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3. MERIT CLASSIFICATION

INSTRUCTIONS: Once the above information is completed, detach the section B, "Performance Rating," and place in the superior's personnel file, for the individual being reviewed, until the end of the evaluation period. During the evaluation period, attach notes, comments, revisions, etc. to this section as required. Section A is to be completed at the beginning of the evaluation period and discussed with, and signed by the individual being evaluated.

13. Standards and Results Expected: (Conditions which will exist when the job is done satisfactorily. . . .)

100%
TOTAL

(Signature information deleted
for space purposes.)

PERCENTAGE WEIGHTS

Examine the Percentage Weights on Section A of the preceeding pages 24-36.

Evaluate the assigned percentage weights.

Would you be comfortable with these as a manger? Why or why not?

Percentage Weight - The % Column

Each major responsibility should be considered according to its importance to the total job. Here you are to first rank the major responsibilities in relationship to each other.

1. Ranking your major responsibilities involves determining two factors:

- Time spent.
- Importance or consequence of error.

Consequence can include possible financial loss to the agency, physical injury, lost confidence on the part of a client, time required to correct the error, broken equipment, or psychological impact on stress on others.

Time simply refers to the number of hours involved in carrying out the particular responsibility. The two factors often go hand-in-hand, so the ranking is the result of a combined factoring. Use the following as a guide:

<u>Time</u>	<u>Importance or Consequence</u>
1) 0-5% of the time or 0 - 2 hours per week	1) Virtually no damage
2) 6-15% of the time or 2.5 - 6 hours per week	2) Very little damage
3) 16-25% of the time or 6.5 - 10 hours per week	3) Moderate damage
4) 26-50% of the time or 10.5 - 20 hours per week	4) Considerable damage
5) 50% + of the time or 20 + hours per week	5) Extreme damage

A major responsibility could require only 3 hours per week time (2), but have the potential of causing considerable damage if an error is made (4) and would therefore have a combined factor ranking of ~~eight~~ (8).
31x (6)

When all the major responsibilities have been factored, then rank them on the Work Sheet with the highest ranked responsibility at the top and the lowest at the bottom.

When all the major responsibilities have been factored, then rank them on your Work Sheet by placing numbers alongside each major responsibility with the number (1) assigned the highest ranked responsibility. When transferring your major responsibilities to the final copy, simply place them in numbered order (1, 2, 3, etc.).

The heaviest percent weight responsibility will automatically be in the number one position.

STANDARDS
(Results Expected)

Section A:

STANDARDS AND RESULTS EXPECTED

- Determine what conditions will exist when the job is done satisfactorily.
- Several standards or results should be written for each major responsibility.
- These should be written in short statements or phrases, that are measurable.
- Be sure that the results are attainable.

CRITERIA FOR WRITING A STANDARD

- a result, not an activity
- specific
- measurable
- related to time
- attainable

Objective Standards

<u>Types</u>	<u>Ways to express</u>
Engineered	Positive
Historical	Negative
Comparative	Zero

Subjective Standards

Personal preference, bias, prejudice, etc.
Intangible criticisms

The following pages give definitions and examples.

Kinds of Standards or Results Expected

There are two kinds of standards: Objective and Subjective standards.

Objective Standards

Objective standards fall into three major categories or types and each of these types can be expressed in a way which best measures results expected.

There are Historical standards which relate one period in time with another. For example: relating the upcoming years gross earnings in relation to the previous year.

There are Engineered standards which deal with numbers of things in specified time frames. For example: Forty-two (42) widgets made in one half hour.

There are Comparative standards which measure expected results in terms of a norm, for an industry, similar work unit, or employee performing the same duties. For example: The turnover rate among keypunch operators has been X percent. How does this compare with other employers in Iowa?

To provide even greater clarity and flexibility, each of these Objective type of standards can be expressed in three different ways. The three ways of writing them are;

Positive terms

Negative terms

Zero terms

For illustration three different expressions of each type of Objective standard follow:

Historical (Positive) - This year's gross revenues recovered from delinquent accounts will exceed last year's total by 4%.

(Negative) - There will be no more than a 1% increase in the number of complaints received this year.

(Zero) - There will be no increase in the hours dedicated to travel this year over last year.

Engineered (Positive) - The number of claims audited will be at least forty-two (42) each day.

(Negative) - No more than three (3) claims will be returned to you for a computation error in any week.

(Zero) - No client complaints about discourteous service will be received.

Comparative (Positive) - The average number of audits completed this year will be at least 50% of that of other field units.

(Negative) - The number of hours of down time for your equipment will not exceed the department average by more than 1%.

(Zero) - No audit of either state or federal accounts will fail to meet published accounting guidelines of the State or Federal government.

As you can see, there are several ways of expressing objective desired results. Simply ask the question: "You will have completed this task when . . ."

Subjective Standards or Results Expected

Generally speaking, standards should be objective and they should be related to RESULTS EXPECTED. It is important to note that people with exactly the same positions but reporting to different supervisors will tend to have different standards of performance.

There may be an occasion or case when the manager needs to use a subjective standard. Subjective standards reflect a personal bias and do not relate to measurable job performance. If you feel the need to use one, the employee needs to understand what the subjective standard is and upon what he will be evaluated.

Subjective standards should be used minimally or not at all.

WRITING STANDARDS ON RESULTS EXPECTED

Standards (Results expected) are at the heart of the Appraisal Process.

They are related to:

PLANNING

ORGANIZING

CONTROL

They build in the control which brings about the accomplishment of the unit objectives and pinpoint areas in which employees could benefit from a development plan.

A standard (Results Expected) is a measurable statement of a specific condition which will prevail, at a designated time in the future, (day, week, month) if a responsibility is carried out.

EXAMPLE OF STANDARD

Example of a Standard (End Result Statement):

MINUTES OF MONTHLY DEPARTMENTAL MEETINGS WILL
CONVEY STATEMENTS OF OFFICIAL POLICIES.

This is an expected result. It provides a method of determining whether or not a desired result is achieved within a required time frame.

The end result statement is a measurable statement of the Responsibility Statement. Example below shows the Responsibility Statement which is being measured:

Example of a responsibility statement:

TO REPRESENT ADMINISTRATIVE SERVICES DIVISIONS
AT ALL DEPARTMENTAL FUNCTIONS SO THAT OFFICIAL
POLICY IS CONVEYED.

The above is a responsibility statement. The underlined portion is the End Result clause.

SECTION B - GENERAL DIRECTIVES

GENERAL DIRECTIVES

- Complete at end of Evaluation Period.
- Review general directions on Section A of form.
- Fill out heading of B.
- Transfer the number of each responsibility listed, placing it at the same level as on Section A.

PERCENTAGE WEIGHT

- Consider each responsibility again according to its importance or value within the total job.
- Transfer the same weight of each responsibility as shown on Section A.
If responsibilities have been modified or revised, re-assess their importance in the total job and change the percentage on any responsibility that is different.

Performance Rating

- Indicate by an "X" your review rating of the level of accomplishment of each MAJOR RESPONSIBILITY listed.

It is not necessary to rate each standard or expected result separately.

- Performance rating criteria are defined as follows:

- 1) Not Satisfactory: This rating indicates a level of performance that is unacceptable. Definite improvement in one or more critical factors is needed for continued employment. This rating must be substantiated by specific documentation and explanation of shortcomings.
- 2) Marginal: This rating indicates there are serious deficiencies and problem areas which make the performance barely acceptable. Some definite improvement is needed.
- 3) Generally Satisfactory: This rating indicates that the performance is fully adequate for job requirements. It meets, but not exceeds, the standards required to do the job.
- 4) Well Above Average: This rating indicates competence in all aspects of performance and generally exceeding job performance expectations. Very good.
- 5) Outstanding: This rating indicates superior performance far exceeding job requirements. Consistently performing responsibilities considerably above expectations in all aspects. Superior.

- Special Considerations for Evaluating Probationary Employees:

1. The granting of permanent status to the employee is a critical decision for both the agency and the employee. The probationary, or working test, period is the final and most important stage in the selection process of new employees. By the end of the probationary period, supervisors should have complete confidence that the probationary employee being evaluated is meeting performance standards in every important factor and is to be recommended for permanent status. Probationary employees do not have appeal rights on this decision.
2. The probationary period is also a time of change and learning for the new employee. Evaluations completed during this time should help to clarify the how and why of policies and procedures so the employee has a better understanding of assigned responsibilities, as well as a guide for successful performance in the new job.

WEIGHTED RATING:

- Multiply the % (weighted value) of the Responsibility times (X) the numerical rating.

- Total all the weighted ratings at the bottom of the column. (This is the over-all performance level.) Maximum possible total is 5.00.

- Overall performance level is interpreted thus:

0.0 - 1.4	Not Satisfactory
1.5 - 2.4	Needs Improvement
2.5 - 3.4	Generally Satisfactory
3.5 - 4.4	Above Average
4.5 - 5.0	Outstanding

Part 18 -

- Comment on reasons or support for the particular rating which was checked.

- The sum of these comments must justify the overall performance level.

- Importance of documentation

(In writing these comments, consider any supervisory notations which have been attached to the file during the Evaluation Period.)

CONFIDENTIAL PERFORMANCE EVALUATION
(Managers, Supervisors, and Non-Supervisors)

PERFORMANCE
RATING

NOTE: Please Type or Print

(Personnel information condensed)


3. MERIT CLASSIFICATION

INSTRUCTIONS: At the end of the reviewing period the performance is to be reviewed against the responsibilities and expected results established on section A. The number and weighted percentage of the responsibilities for section B should correspond with those on section A.

EXPLANATION OF RATINGS:

- 1 - Not satisfactory (does not meet minimum rqmts)
- 2 - Marginal (needs some improvement)
- 3 - Generally satisfactory (meets job requirements)
- 4 - Well above average (exceeds job requirements)
- 5 - Outstanding (far exceeds job requirements)

15. FROM SECTION A		16. RATING X THE APPROPRIATE COLUMN					17. WEIGHTED RATING % time rating	18. COMMENTS OR EXPLANATION (FOR EACH STANDARD OR RESULTS EXPECTED FROM SECTION A)
No.	%	1	2	3	4	5		
1	.20			X			.60	Has become familiar with organizations and classes assigned.
2	.10			X			.30	Conducted professionally; no negative feedback; occasional need for recall to obtain additional information.
3	.10					X	.50	For time in grade exceptional reports are written. Has the "Wilson Killer" instinct to get down to the "nitty-gritty."
4	.15			X			.45	Forms processed normally without undue delay. Filled out correctly; conclusions generally sound.
5	.01			X			.03	This has not been assigned this rating period.
6	.01				X		.04	No problems encountered with the assigned surveys. Done very independently with little need for corrections.
7	.06			X			.18	Has not been assigned or conducted a class study.
8	.06			X			.18	Has made satisfactory progress on specs assigned. Needs to think through ramifications of proposed MQ's before submitting for review.
9	.06			X			.18	None assigned or written.
10	.01			X			.03	Has not needed to attend any hearings for this rating period.


OVERALL PERFORMANCE LEVEL
 (Total of rating(s) (Maximum Total Allowed 5.00))
 (Totals are listed on the second page.)

CONFIDENTIAL PERFORMANCE EVALUATION
(Managers, Supervisors, and Non-Supervisors)

PERFORMANCE
RATING

SUPPLEMENTAL

NOTE: Please Type or Print

(Personnel information condensed)

3. MERIT CLASSIFICATION

INSTRUCTIONS: At the end of the reviewing period the performance is to be reviewed against the responsibilities and expected results established on section A. The number and weighted percentage of the responsibilities for section B should correspond with those on section A.

EXPLANATION OF RATINGS:

- 1 - Not satisfactory (does not meet minimum rqmts)
- 2 - Marginal (needs some improvement)
- 3 - Generally satisfactory (meets job requirements)
- 4 - Well above average (exceeds job requirements)
- 5 - Outstanding (far exceeds job requirements)

15. FROM SECTION A		16. RATING X THE APPROPRIATE COLUMN					17. WEIGHTED RATING % time rating	18. COMMENTS OR EXPLANATION (FOR EACH STANDARD OR RESULTS EXPECTED FROM SECTION A)
No.	%	1	2	3	4	5		
11	.10			X			.30	For time in grade has made satisfactory progress in learning the many things that are required in order to answer the questions; about normal need for reliance on supervisor. No negative feedback has been received. Has established good rapport with agency P.O.'s.
12	.01			X			.03	Promptly responds. No negative feedback received.
13	.06				X		.24	Processed promptly; shows keen insight into problems and inconsistencies; suggests solutions.
14	.07				X		.28	Very well written; has a "way with words." Occasionally writes above the level of the intended reader.
100% TOTAL							3.34	

SUMMARY AND PLANNING

SECTION C: SUMMARY AND PLANNING

This section provides an opportunity to plan for performance improvement and individual development.

It enables manager and employee to talk about the future in terms of the individual's past performance and the plans of the unit or department.

You want the employee to leave the session with an understanding of how well he/she is doing or not doing and what should be done about it in the future.

STRONG POINTS AND WEAK POINTS

Individual's Major Strong Points

- Give an over-all summary of the major strong points, taking into account the ratings given on major responsibilities, plus other tasks and personal characteristics which make up the over-all performance.

Individual's Major Weak Points

- Review work habits and performance characteristics of the employee in the light of how these may be adversely affecting desired results.

Additional Comments

- Recognize exceptional accomplishments as well as areas that need improvement.
- Set goals for accomplishment in the upcoming period.

TRAINING OR DEVELOPMENT PLANS

- Determine if further in-service training is indicated for more successful accomplishment of desired results.
- Make note in writing of:
 - 1) In-service training that lies within departmental budget.
 - 2) On-the-job development, such as special assignments, coaching by the supervisor, which is needed to improve job performance or eligibility for promotion.

RECOMMENDATION

- Indicate whether recommendation is made for permanent status, merit increase, job reallocation, promotion, disciplinary action.

SUPERVISOR AND EMPLOYEE SIGNATURES AND COMMENTS

- The employee may offer comments in writing if he/she desires.
- The employee should sign the evaluation to indicate he/she has read the evaluation and it has been discussed. The signature does not necessarily indicate agreement with the evaluation. An additional sheet for comments may be used if necessary.

SOME FINAL REMARKS ON THE FORM

Please note:

- Fill out a new Section "A," to include any modifications or changes in responsibilities that have occurred during the Evaluation Period. This will be the base for the next Evaluation Period.

Acknowledgement of Review

- Get approval of the total evaluation from the next higher authority. The purpose of this procedure is to provide continuity and communication in departmental planning.

Distribution

Completed Performance Evaluation, INCLUDING "Section A," ATTACHED to "Section B and Section C," (opposite sides of same sheet) are distributed thus:

White: Employee's copy - given immediately
Canary: Supervisor's Copy
Pink: Merit copy - attached to M-3, if pay action is involved
Goldenrod: Agency copy

SAMPLE

WORK SHEET
SUMMARY AND PLANNING

SECTION C

19. INDIVIDUAL'S MAJOR STRONG POINTS ARE:

1. Writing ability.
2. Ability to analyze jobs.
3. Dedication and desire to do a thorough job.

THESE CAN BE USED MORE EFFECTIVELY BY DOING THE FOLLOWING

Attention should be paid to the lengthiness of
written products and to the level of the intended
reader.

20. INDIVIDUAL'S MAJOR WEAK POINTS ARE:

1. Tendency to be thorough tends to hamper production to a certain degree.
2. _____
3. Needs to think out possible ramifications of proposed changes.

THESE CAN BE STRENGTHENED BY DOING THE FOLLOWING

Experience on the job should hopefully correct both of
the above points.

21. ADDITIONAL COMMENTS -- EXCEPTIONAL ACCOMPLISHMENTS -- SUGGESTIONS -- GOALS
_____ is developing into a fine analyst. The future looks bright. Major goal is to wrap up remaining MQ revisions on CDW, MHW and to start reviewing others where problems may exist.

22. TRAINING OR DEVELOPMENTAL PLANS
To complete familiarization process with agencies, classes, rules, policies, and functions of Merit.

(THE ABOVE INFORMATION SHOULD BE USED IN ESTABLISHING RESPONSIBILITIES AND STANDARDS FOR THE NEXT REVIEW PERIOD)

23. RECOMMENDATION: Based on the foregoing evaluation the following action is recommended (med increase, perm. status, promotion, demotion, e.m.s., etc.)
To grant permanent status and a Merit increase.

24. Signatures (Condensed for space purposes)

SUBORDINATE'S COMMENTS: (ATTACH ADDITIONAL SHEETS, IF NECESSARY)

25. ACKNOWLEDGEMENT OF REVIEW (Comments if appropriate)

APPENDIX

READINGS

You may wish to build your own list of readings that you find helpful to you in the area of Performance Appraisal. For starters you may wish to consider:

Management by Objectives and Results, By George L. Morrissey

This book offers a professional approach to management by objectives, stressing the "how-to" aspects of planning and controlling, identification of work to be performed, results to be achieved, and the means of assuring their accomplishment.

Appraisal and Development Through Objectives and Results, by George L. Morrissey

This book presents a systematic and workable approach to implementing an appraisal and development program. Using the concepts and approaches developed in Management by Objectives and Results, it deals with such issues as the relationship of objective to subjective measures, the use of a tailored rather than a universal approach, the emphasis on performance appraisal rather than the all-purpose evaluation, and the need for joint action and commitment.

Management by Objectives, by George S. Odiorne

In this book the author gives a step-by-step description of how manager can jointly identify organization goal and define each executive's major responsibilities in terms of the results expected of him. With Management by Objectives, accountability is established and a team effort that does not eliminate individual risk-taking becomes possible.

RESOURCES FOR INDIVIDUAL TRAINING AND DEVELOPMENT

Planned experience: within the present job framework can include performance of tasks of increasing complexity or responsibility as well as tasks with sufficient variety to give a broadening perspective.

Job rotation: can include temporary movement of an employee to a different position within the work unit, to another field office, or to the central office.

Special assignment: can include a temporary shift to a job in another governmental jurisdiction or another department.

Independent reading: a planned program of reading related to a total development plan and its objectives.

Training courses arranged or offered within the department: for example, orientation, cross training in taxes, auditing, report writing.

Training courses offered inter-departmentally: Institute of Public Affairs supervisory and management courses and courses offered by other departments but open to outside persons.

Organizations: participation in skill building, professional or service organizations or volunteer groups which can provide organizational and leadership experiences.

Adult Education at local schools or colleges: for example, adult education courses and Manpower Development Training Act skill building courses.

Correspondence courses at educational institutions: can include resident or correspondent enrollment in courses; for example, courses in accounting to fulfill requirement for auditor position.

Professional and Technical Societies: for example, professional memberships which will update activity.

Programmed learning: which would include Program Texts available through training officer, reading or teaching machines provided through departments.

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