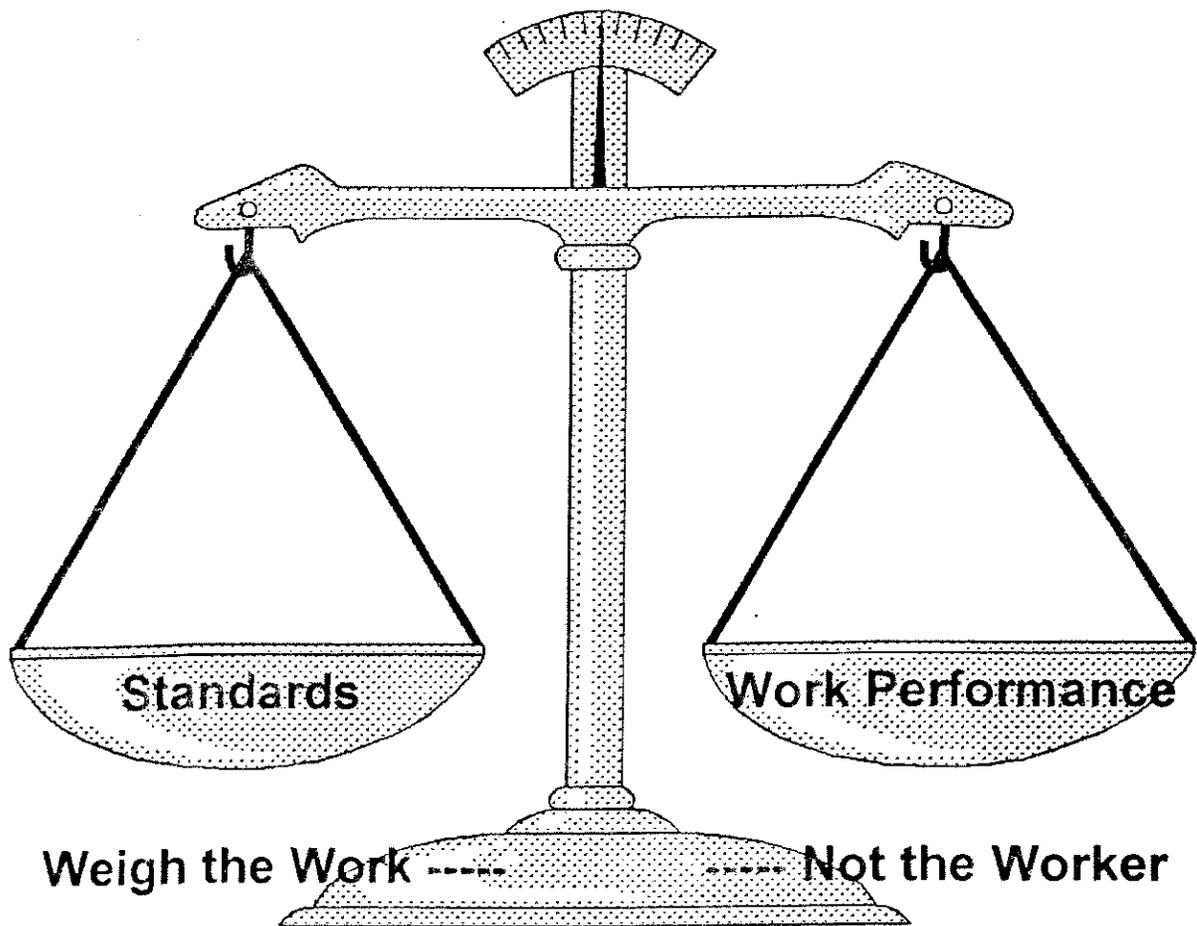


Government of Guam  
Department of Administration

**SUPERVISOR'S INSTRUCTION HANDBOOK**

**WORK PLANNING  
&  
PERFORMANCE EVALUATION  
SYSTEM**

Continuous Improvement



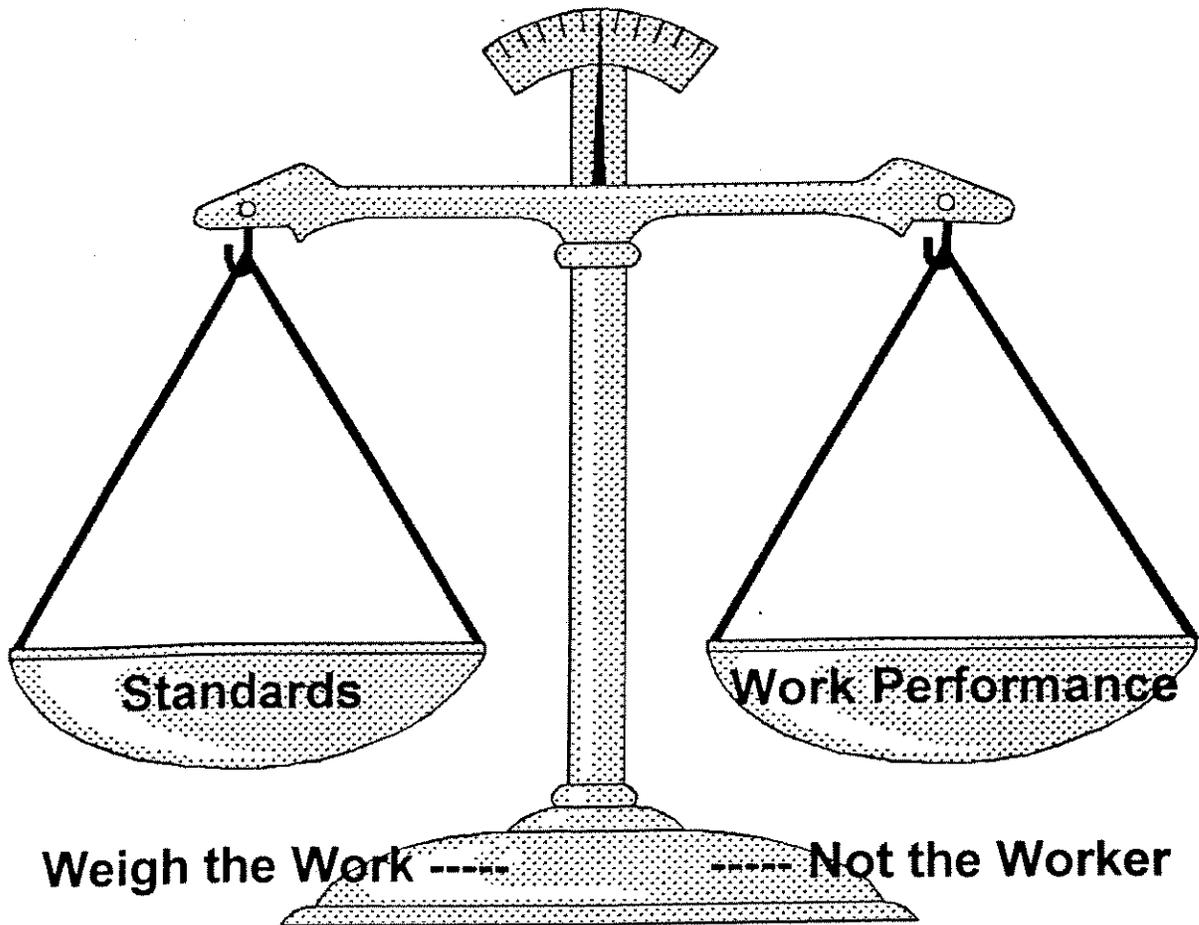
*Commit to Quality*

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Department of Administration

## SUPERVISOR'S INSTRUCTION HANDBOOK

# WORK PLANNING & PERFORMANCE EVALUATION SYSTEM

Continuous Improvement



*Commit to Quality*

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# INTRODUCTION

This revised handbook will assist you in understanding and using the Department of Administration's Work Planning and Performance Evaluation System (WPPES). Employee performance reports are required in accordance with Chapter 10 of the Department of Administration's Personnel Rules and Regulations.

This handbook is revised to provide you with clear and concise step-by-step instructions on how to complete the Work Planning and Performance Evaluation Form. The major changes to WPPES that are incorporated in this handbook include the following:

- Redesign of the Work Planning and Performance Evaluation form to help the supervisor follow the various stages of WPPES and to make it easier for the supervisor to document changes and attach comments to the form;
- Addition of a mid-period performance advisory rating stage to stress the importance of conducting work progress reviews, and of documenting the work performance of employees during the rating period; and
- Change from a 3-point rating scale to a 5-point rating scale during the advisory rating stage to allow supervisors to make distinctions between above average and barely average performers so that employee training needs can be better assessed and truly outstanding employees can be recognized.

It is hoped that the changes to the WPPES that are incorporated in this handbook will help you make work planning and performance evaluations a routine part of your supervisory responsibilities.

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# ASSIGNMENT OF RESPONSIBILITY

## DIRECTOR OF ADMINISTRATION:

The overall responsibility of establishing and maintaining a performance evaluation system for classified employees of the government is vested in the Director of Administration. The Director of Administration is responsible for scheduling periodic training for all levels of management concerning the government's performance evaluation system. The Director of Administration is also responsible for maintaining all original WPPES forms and for processing salary increments for employees recommended by their appointing authority. More specifically, the Director of Administration shall:

1. Review all WPPES forms received from appointing authorities for completeness and compliance with WPPES procedures. Return all WPPES forms to the appointing authority which are incomplete, or which do not comply with WPPES procedures.
2. Process salary increases for those employees recommended and who have submitted properly completed WPPES forms, and monitor those cases in which an employee is not recommended for a salary increment to ensure appropriateness, fairness, and overall compliance with WPPES procedures.
3. File and maintain WPPES forms in employee's official personnel jacket for use in future personnel decisions.

## APPOINTING AUTHORITY:

The Appointing Authority is responsible for implementing the government's performance evaluation system within his department or agency and for approving recommended employee performance evaluation ratings. More specifically, the appointing authority shall:

1. Ensure that all managers and supervisors from the department receive training in the government's performance evaluation system.
2. Ensure that managers and supervisors comply with rules and regulations governing employee performance reports and WPPES procedures by assigning administrative staff (Administrative Services Officer, Administrative Officer, or Personnel Officer) as "WPPES Monitors", to maintain and review all WPPES forms for completeness and compliance with rules and WPPES procedures prior to transmittal to the Director of Administration.

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3. Ensure that employee performance evaluations are conducted and transmitted to the Director of Administration on a timely basis whether or not an employee is recommended for a salary increase.

### **MANAGERS AND SUPERVISORS:**

Managers and supervisors are responsible for using the WPPES as a management tool for improving employee effectiveness and productivity. More specifically, managers and supervisors shall:

1. Adhere to WPPES procedures and employee performance report rules and regulations.
2. Evaluate employee performance regularly, objectively and on a timely basis.

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# DEFINITIONS FOR WPPES

**ADVISORY RATINGS:** The mid-period ratings are called advisory ratings. These ratings are not final ratings. They just let the employee know how he or she is doing so far during the rating period. The final rating comes at the end of the rating period.

**APPOINTING AUTHORITY:** The department head who has final authority over the approval of employee performance ratings and recommendations for salary increases.

**CONDUCT ISSUE:** As used in this appraisal system, a conduct issue is any action of an employee which is of a personal nature not related to the employee's ability to perform the job, but which constitutes a violation of regulations governing expected employee conduct on the job.

**FINAL RATING:** At the end of the rating period, the supervisor and the employee meet to discuss and rate the employee's work performance over the entire rating period. The final rating for job tasks is known as the "Formal Job Task Rating". The final overall rating is known as the "Overall Performance Rating." The overall rating may be used as the basis for personnel decisions.

**INDIVIDUAL DEVELOPMENT PLAN:** A plan outlining a course of action which can lead an employee to learn new job skills which can be used for the present job, for future job goals, or for general career development.

**PERFORMANCE IMPROVEMENT PLAN (PIP):** A developmental plan designed for the employee to meet specific performance standards within 60 calendar days of the PIP date. The PIP is to be used only when the employee is not meeting the established standards and must be issued 60 days before the formal performance evaluation is due, or when conducting the mid-term performance evaluation with the employee.

**PERFORMANCE ISSUE:** A performance issue is the failure of an employee to perform assigned job tasks and/or meet established performance standards due to the employee's non-effort or inability.

**PERFORMANCE STANDARDS:** Criteria or expectations established by management which determines level of satisfactory performance based on the quality, quantity, timeliness, and manner of performance of job tasks.

**PERIOD OF SUPERVISION:** This is the actual timeframe in which the supervisor has directly observed the work performance of the employee. A supervisor may evaluate any permanent employee's performance whom they have supervised for ninety (90) or more calendar days during any single rating period.

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**PRIMARY JOB TASKS:** Job tasks describe the "what", "how", and "why" of work assignments. The primary job tasks are those tasks which are most frequently done and are most critical for the rating period.

**PURPOSE STATEMENT:** A purpose statement defines the purpose of a position. The statement includes the means by which the job is done, the beneficiary of the job being done, and the overall good effect that is produced when the job is done well. The purpose statement of a position can be used to derive job task statements for that position.

**RATING PERIOD:** This is the official timeframe in which an employee is to be observed and evaluated for work performance. The rating period can be six months or one year for probationary employees and one year, 18 months, or 24 months for classified permanent employees.

**REVIEWER:** The reviewer is the rater's supervisor. He or she is responsible for ensuring that WPPES procedures are applied consistently and fairly by raters among all employees within the unit.

**SUPERVISOR (RATER):** The supervisor or rater is the individual who oversees, reviews and checks the daily work performance of the employee being rated, or is the supervisor who is most closely acquainted with the employee's daily work performance.

**WORK PROGRESS REVIEW:**

**INFORMAL:** Informal progress reviews are short meetings held regularly with the employee to look at what is being done right and where there are problems in getting the work done.

**FORMAL:** One formal progress review prior to final evaluation is required by WPPES. This review is called the Mid-Period Performance Advisory. The primary purpose of this meeting is to document work progress and to help the employee to look at how to do the work successfully or how to continue to work successfully. The supervisor goes over the work with the employee, rates performance on each job task and rates overall work performance for the first half of the rating period.

**WORK PERFORMANCE:** An employee's accomplishment of assigned work as specified by the tasks of the employee's position and based on established standards.

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# WORK PLANNING AND PERFORMANCE EVALUATION SYSTEM

## PURPOSE:

WPPES was designed to assist the supervisor in:

- Communicating organizational goals and objectives;
- Identifying individual accountability;
- Improving individual effectiveness; and
- Determining employee performance status as it pertains to pay increments, merit bonus award, order of layoffs and suitability for promotion.

## STAGES OF WORK PLANNING AND PERFORMANCE EVALUATION:

The five stages of WPPES are:

- I. **WORK PLANNING** - The supervisor meets with the employee to identify job tasks and develop performance standards. This stage takes place at the beginning of the rating period.
- II. **WORK PROGRESS REVIEW** - The supervisor meets with the employee to review the employee's work progress. This stage may take place at anytime during the rating period when requested by either the supervisor or the employee.
- III. **MID-PERIOD PERFORMANCE ADVISORY** - The supervisor meets with the employee and assigns an advisory rating on the employee's work progress for the first half of the rating period. This stage takes place within one month before or after the approximate mid-point of the rating period.
- IV. **FORMAL PERFORMANCE EVALUATION** - The supervisor rates the employee's overall performance against the established performance standards for the rating period. This stage takes place approximately one month prior to the end of the rating period.
- V. **PERFORMANCE EVALUATION INTERVIEW** - This is the final stage of the evaluation process. The supervisor meets with the employee to discuss the employee's final performance rating for the rating period.

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## STAGE I. WORK PLANNING

### PURPOSE:

To communicate organizational goals and objectives and identify individual accountability for the performance of certain job tasks.

### STEPS IN WORK PLANNING:

- I-1. Discuss and write down job tasks.
- I-2. Discuss and write down performance standards for each task.
- I-3. Sign the WPPES form and get signatures.

#### STEP I-1: Discuss and Write Down Job Tasks

- a) The proper method for writing job task statements may be found on page A-1, Appendix A.
- b) Job tasks may be derived by reviewing the employee's Position Description (CSC Form 002) and/or Class Specification for the employee's position title.
- c) Job tasks may also be derived by writing what are called purpose statements. See Appendix B, page B-1, for tips on identifying job tasks using purpose statements.
- d) You and the employee should identify the tasks which are most frequently done and most critical for the rating period. Write these tasks on the back of the WPPES form, one task in each box. If the employee has more than 3 main tasks, make a copy of the back page for additional tasks and staple it to the WPPES form.

See examples of "job tasks" on the back of the completed WPPES form, Appendix C, C-2.

#### STEP I-2: Discuss and Write Down Performance Standards for Each Task

- a) Take each task and think about what you mean by doing it right. Are you most interested in a physical work product, or in the actions of the employee? How will you describe what you expect?
  - o the quality of work performance
  - o the amount of work to be performed

- 
- the time frame in which the work is done
  - the cost of the work

The work actions could be described by:

- the way the employee works with others
- the procedures used to do the job

See Appendix D, page D-1, for examples of performance standards. There are usually 2-4 standards for each job task. The standards should be:

- Observable
- Clear and specific
- Realistic
- Easy to follow over the rating period
- Similar for Employees who are doing the same work

- b) As a general rule, develop and use only standards which you can observe and easily follow over the rating period.
  - Ask yourself if it is relatively easy to identify money amounts, percentages, numbers, units, etc. If so, then write standards accordingly. If not, then **DO NOT** attempt to write a standard for a task that you are not willing (or that is difficult) to monitor or keep track of.
  - Are there routine tracking measures? Try to develop standards around tracking measures which already exist.
- c) As a general rule, you should develop similar standards for employees who are doing the same work. This will help the employees feel that they are being treated fairly. However, there are no absolute requirements that the standards be the same. If the positions operate differently in any way, such as different volumes of work, or different projects during the rating period, or identical work with different consequences for failure, there is a basis for different expectations of performance. If there is a basis for different expectations, then there is a basis for different performance standards.
- d) Discuss the standards with the employee. Try to reach an agreement on the standards for each task. If you cannot reach agreement, at least reach understanding.
- e) Write the standards for the job task in the box under the task on the back of the WPPES form.

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See examples of "Performance Standards" on the back of the completed WPPES form, Appendix C, page C-2.

- f) You and the employee may agree to look at the standards again in a couple of months or so to see if they are workable, or if they need to be revised.

### **STEP I-3: Sign the WPPES Form and Get Signatures**

- a) Get the required signatures in Section I of the WPPES form. Explain to the employee what signing this section means.
- The employee's signature means that the employee understands the job tasks and performance standards for each task, even if he or she does not agree to them.
  - Your signature means that what is written on the back of the WPPES form is what you will use to judge performance for the employee for the rating period.

See example of "Signatures" under Section I of the completed WPPES form, Appendix C, page C-1.

- b) Let the employee know that you and the employee may write and attach comments to the WPPES form at this point.
- c) After the form is signed, give a copy to the employee and transmit a copy to your Personnel Officer or WPPES Monitor. You keep the original.

Before you end your meeting, you should prepare the employee for Stage II, Work Progress Review, by telling the employee to ask for an informal review session anytime, especially if there is a problem. Suggest that the employee keep notes on things that are going particularly well or any problem areas about the job. You should also keep regular notes about what you see the employee doing well or poorly on the job.

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## STAGE II. WORK PROGRESS REVIEW

### PURPOSE:

To improve employee effectiveness by providing adequate feedback and/or constructive criticism so that the employee is motivated to meet or exceed the established performance standards.

### STEPS IN WORK PLANNING:

- II-1. Meet informally with the employee to discuss and write down ways to improve performance if necessary.
- II-2. Update tasks and standards if necessary.

### STEP II-1: Meet Informally with the Employee to Discuss and Write Down Ways to Improve Performance if Necessary

- a) When you have completed the Work Planning Stage, set a date to meet with the employee within a couple of months or so. This will give you an opportunity to find out how the employee is progressing and to solve any problems which may have developed.
  - Ask the employee for recommendations on any changes which you or he/she believes may be necessary.
  - Be sure to write down any changes or additions directly on the back of the WPPES form under work progress review comments or on a separate blank form or sheet of paper you attach to the original WPPES form.
- b) Work Progress Reviews should be held at any time during the rating period and as often as necessary.
  - Ask if the employee is satisfied with his or her job performance.
  - Tell the employee whether or not you are satisfied with performance on a task. If performance was not successful, try to find out why. Consider the following questions:
    - Is anything getting in the way of job performance which you can help correct?

- 
- Are there other problems keeping the employee from getting the work done right?
  - Was there more work to do than you and the employee expected?
  - Was the work harder than either of you expected?
  - Has the employee ever done the job task right? If so, why isn't it done right more often?
  - Is there some skill or information the employee needs to learn to do the job better?
- Ask the employee if there is anything you can do to help.
  - If improved performance is needed, you might talk about how you and the employee will work to change performance on the task. Write down ways you agree on to improve job performance. This may be written directly under the work progress review comments on the back of the WPPES form or on a separate blank form or piece of paper you attach to the WPPES form.

Do not hesitate to provide immediate feedback or constructive criticism on the employee's work performance. Anytime you see the employee doing something very well, let him or her know you have noticed. And, if a problem comes up which needs attention, you or the employee should meet right away to discuss it. Be sure to let the reviewer know how things are going with the employee.

## **STEP II-2: Update the Tasks and Standards**

- a) Make sure the tasks listed on the WPPES form are still the most important for the rest of the year.
  - If a task should be added, write it on the back page of the WPPES form or on a separate blank copy of that page and attach it to the original WPPES form along with any comments.
  - If a task is no longer performed, or is no longer important, write on the form: "*No longer part of WPPES*" with your initials and date.
- b) Make sure the standards for each task are still the most useful.
  - The standards may have to change during the year. This is the most

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true when first learning to use WPPES, when the duties are new or when people using WPPES have not worked together before.

- Be careful not to lower the standards just because the employee is not performing the job right. Think about the performance of all your employees. For example, if all the employees are having trouble doing something, they may need training or you may need to change the way the job is done.
- If you change the standards, document the change on the back of the WPPES form or on a separate sheet of paper or blank form and attach it to the original WPPES form along with any comments.

The WPPES form must be kept up-to-date. As a supervisor, it is your responsibility to ensure that the tasks and standards reflect the job actually performed by the employee.

Changes to the WPPES form should not occur frequently. Tasks may change in some jobs, especially when the demands of the work unit change. However, changes in standards should be expected less frequently, especially when the standards for the job have been in use for several years.

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## STAGE III. MID-PERIOD PERFORMANCE ADVISORY

### PURPOSE:

To prepare the employee for the final performance evaluation rating by advising the employee of his/her current work progress.

### STEPS IN MID-PERIOD PERFORMANCE ADVISORY:

- III-1. Discuss and assign an advisory rating for employee performance on each job task.
- III-2. Discuss and assign an advisory rating for overall employee performance.
- III-3. Sign the WPPES form and get signatures.

### STEP III-1: Discuss and Assign an Advisory Rating for Employee Performance on Each Job Task

- a) Review the WPPES rating scale with the employee.  
See Appendix E, page E-1, for definitions of the WPPES Rating Scale.
  - b) Turn to the back of the WPPES form and review and discuss each job task:
    - Ask the employee how he or she has been doing.
    - Ask for details of job performance.
    - Ask if there are any problems in doing the job task.
    - Explain how you see the employee performing a task. Be as specific as possible.
    - Talk about specific job performance, not personalities.
    - Talk about how you and the employee agree and disagree. Keep to the important parts of the job, not unimportant details.
  - c) Make an advisory rating for each task based on how well you think the employee has done so far during the rating period. Record your advisory rating on the back of the WPPES form:
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- 
- Choose the rating you think is best for the task you are rating.
  - Under the "Advisory Job Task Rating" section for each task, place a check mark next to "Exceeds", "Highly Meets", "Meets", "Barely Meets", or "Below" Work Performance Standards.
  - You must explain a rating of "Exceeds", "Highly Meets", "Barely Meets", or "Below" Work Performance Standards.
  - If the task or standard has changed since the WPPES form was written, you should note the change and the reason for the change on the form. Rate the employee's performance up until the change. If this is not possible, explain why on the back of the WPPES form.

### **STEP III-2: Discuss and Assign an Advisory Rating for Overall Employee Performance**

- a) Ask the employee to think about how he or she performed all of the job tasks for the position thus far. Then ask how the employee would rate his or her job performance overall.
- b) Ask the employee if he or she did important work that may not yet be written on the WPPES form. You should make the overall rating for the employee even if some tasks have not been added or if some tasks or standards have recently changed.
- c) Tell the employee how you feel he or she did overall. Discuss how you agree or disagree. You may remind the employee that the mid-period advisory rating is only meant to be advisory. Since the rating is only advisory, it is not appealable.
- d) Make your advisory rating of the employee's overall job performance so far this rating period.
  - Review the rating scale definitions before making this rating.
  - On the front of the WPPES form under Section III, "Mid-Period Performance Advisory", make the overall advisory rating you wish to assign by placing a check mark next to "Outstanding", "Highly Satisfactory", "Satisfactory", "Marginal", or "Unsatisfactory".
  - You must explain a rating of "Outstanding", "Highly Satisfactory", "Marginal", or "Unsatisfactory".

See example of "Overall Advisory Rating" under Section III of the completed WPPES form, Appendix C, page C-1.

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- e) If the employee still needs to improve work performance, you might talk about how you and the employee will work to change performance on the job task in question for the remainder of the rating period.
- Be prepared to inform the employee of the necessary action he or she must take in order to improve work performance to an acceptable level. Prepare Performance Improvement Plan (PIP) attached), outlining the corrective training needed so that the employee can learn to meet the performance standards for the job. An employee must be given at least 60 days to improve work performance. Be specific about what or how the employee can improve performance. Identify specific training the employee may need to correct deficiency. Ask the employee if he is encountering problems and what you can do to assist. This may be written in the comments space under work progress review for each job task on the back of the WPPES form, or on a separate sheet of paper you attach to the form.
  - Issue a formal letter of warning to the employee that failure to improve will ultimately result in an "unsatisfactory" rating for the rating period. This letter must be accompanied by a Performance Improvement Plan within 60 days before the end of the rating period.
  - At the end of the 60 days, the supervisor and employee must meet to discuss the employee's performance based on the PIP. If performance has improved to the level of meeting the established standards, notify the employee that the PIP is canceled effective that date. If performance has not improved, the supervisor must take one of two options: (1) Extend the PIP period a maximum of 60 days, or (2) Inform the employee of a possible "unsatisfactory" performance rating at the end of the employees formal rating period, which may result in demotion, reassignment, etc..

### **STEP III-3: Sign the WPPES Form and Get Signatures**

- a) Get the required signatures in Section III. Explain to the employee what it means to sign this part of the form.
- Your signature means that you have done the advisory ratings and discussed them with the employee.
  - The employee's signature means the employee understands the evaluation and the comments written on the WPPES form. If the employee does not agree with your ratings, he or she should attach comments to the form, and then sign the form. The employee should

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circle "Yes" under the comments section that he or she has attached comments.

- The reviewer's signature means that the reviewer has read your advisory ratings and comments you or the employee wrote, and agrees with the ratings. If the reviewer disagrees, he or she will attach comments to the form.
- If the employee does not want to sign the form, try to find out why. Make a note of this on the form.

See example of "Signatures" under Section III of the completed WPPES form Appendix C, page C-1.

- b) After the form is signed, give a copy to the employee. You keep the original.
- Anytime you make changes to the form, be sure to send a copy to your Personnel Officer or WPPES Monitor so that he can attach it to his copy.

The fourth stage in this appraisal system is the Formal Performance Evaluation session. This evaluation session takes place at the end of the rating period. For purposes of expediency, you should evaluate the employee's performance at least one month prior to his or her anniversary date and submit the form to the Department of Administration, Division of Personnel Management no later than two weeks prior to the anniversary date.

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## STAGE IV. FORMAL PERFORMANCE EVALUATION

### PURPOSE:

To assign the employee a performance rating which may be used in making personnel decisions (i.e., pay increments, merit bonus award, order of layoffs and suitability for promotion).

### STEPS IN FORMAL PERFORMANCE EVALUATION:

- IV-1. Evaluate employee performance on each job task.
- IV-2. Evaluate employee's overall job performance.

### STEP IV-1: Evaluate Employee Performance on each Job Task

- a) Review the WPPES rating scale (Appendix E, page E-1).
- b) Review the employee's performance on each job task and any notes you may have. Compare the information you have with the tasks and standards on the WPPES form. Evaluate an employee's performance on only those job tasks which you have regularly and directly observed.
- c) Using a pencil, tentatively rate the employee for each job task on the back of the WPPES form under "Formal Job Task Rating".
  - If the employee is performing a task at a level which is clearly outstanding and exceeds the established performance standards, then check "Exceeds Work Performance Standards".
  - If the employee is performing at a level which is satisfactory and meets the requirements of the standards, then check "Meets Work Performance Standards".
  - If the employee performs unsatisfactory or below the performance standards established for that job task, then check "Below Work Performance Standards".

See example of "Formal Job Task Rating" on the back of the completed WPPES form, Appendix C, page C-2.

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- d) When you rate an employee on a job task, try to disregard the ratings you have given him or her on the other job tasks.
  - e) Do not make any final decisions on the ratings until you have met with the employee and discussed his or her performance. Keep an open mind and listen to what the employee has to say before making your final rating.
  - f) Remember, all ratings other than "Meets Work Performance Standards", must be justified. Be prepared to write your comments or justification for such ratings under the appropriate space for each task.

#### **STEP IV-2: Evaluate Employee's Overall Job Performance**

- a) Review the rating scale definitions before making this rating.
- b) Using a pencil, tentatively rate the employee's overall performance on the front of the WPPES form under Section IV, "Formal Performance Evaluation/Interview". Again, you should remain "open minded" and wait until you have met with the employee before making your final rating. When rating employees, consider these important points.
  - The overall performance rating usually reflects those ratings assigned an employee for each job task. Some tasks may be more important than others or done more frequently. You should consider the ratings on the job tasks both individually and collectively on the basis of their frequency and importance to successful job performance. Use your best judgement.
  - Rate the employee on his or her typical performance during the rating period based on those standards you and the employee agreed to at the beginning of the rating period. Consider observations made during the rating period. Consider observations made during the entire appraisal period.
  - Ratings should be based on facts so that you can justify the ratings. This is necessary for above or below average ratings.
  - Don't be influenced by any previous ratings from other rating periods. Above all, don't refer back to previous evaluation forms.
  - To give an overall rating of "Outstanding," ALL job tasks, which are considered by the supervisor to be most important and most frequently performed, must be rated "Exceeds Work Performance Standards".
  - For an overall rating of "Unsatisfactory," at least ONE job task, which

is considered by the supervisor to be most important and most frequently performed, is rated "Below Work Performance Standards".

- Be aware of the difference between "conduct issues" and "performance issues" (See Appendix F, page F-1). Rate the employee's performance on the job, not his or her personality or misconduct. Do not evaluate any of the following factors:

general mental ability	aptitude
general knowledge	personality
years of experience	interest
years of education	intelligence
general misconduct	

- c) Overall ratings of "Outstanding", or "Unsatisfactory" must be justified.
- For an employee who has received an "Unsatisfactory" overall rating, it is your responsibility and the appointing authority's to initiate disciplinary or adverse action proceedings or identify training requirements. Corrective action must be taken at least 60 days before the final rating of "unsatisfactory" is given.
- d) In pencil, indicate on the front of the WPPES form under Section IV if the employee is "recommended" or "not recommended" for a salary increase:
- An overall performance rating of "Outstanding", or "Satisfactory" shall be necessary for the granting of a pay increment.
  - An overall performance rating of "Unsatisfactory" shall be the basis for denial of a salary increment and the basis for initiation of disciplinary or adverse action proceedings.
  - Take note that the GovGuam Personnel Rules and Regulations also outlines the employee's overall performance rating with respect to other personnel decisions such as "suitability for promotions", "merit bonus award", and "order of layoffs".

See example of "salary increment" under Section IV of the completed WPPES form, Appendix C, page C-1.

After making your ratings on the WPPES form, set a specific time and place to meet with the employee to discuss the ratings you have given the employee based on his or her performance measured against the established performance standards.

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## **STAGE V. PERFORMANCE EVALUATION INTERVIEW**

### **PURPOSE:**

To communicate to the employee how well he or she met the objectives of the organization.

### **STEPS IN PERFORMANCE EVALUATION INTERVIEW:**

- V-1. Discuss performance on each task and assign final ratings.**
- V-2. Discuss overall job performance and assign a final rating.**
- V-3. Sign the WPPES form and get signatures.**
- V-4. Discuss and write down an individual development plan.**

### **STEP V-1: Discuss Performance on Each Task and Assign Final Ratings**

- a) Go over the WPPES rating scale and ask the employee if he or she understands the rating definitions.
- b) Discuss each task separately:
  - Go over the job task and the standard for that task. Ask the employee how he or she has been doing on this job task. Ask for details about job performance.
  - Explain your view of how the employee has performed that task. Be as specific as possible.
  - If you need time to get more information, you may need another meeting.
- c) Talk about specific job performance, not personalities.
  - Focus on the positive. This will help the employee know exactly what he or she has done right.
  - Do not dwell on the employee's weaknesses. If you have been conducting periodic work reviews, the employee will already have an idea of his strengths and weaknesses and may have already taken action to correct any problems.

- 
- Do not address conduct problem, unless a nexus exists to show that the specific conduct adversely affects the employee's performance.
  - Encourage the employee to comment on the appraisal and answer any questions which he or she may have.
- d) Choose the rating you think is best for each task:
- For each task on the back of the WPPEs form, under "Formal Job Task Rating", be sure you place a mark in the appropriate box next to the final rating you wish to assign.
  - You may comment on any rating. However, you must explain a rating of "Exceeds", or "Below Work Performance Standards" in the appropriate space for each task.

### **STEP V-2: Discuss Overall Job Performance and Assign a Final Rating**

- a) Ask the employee to think about how he or she has performed overall on the job for the past rating period. Then ask the employee to let you know what he or she thinks about his or her overall job performance.
- b) Ask the employee if he or she did important work which is not written on the WPPEs form. If so, you might describe this work in the comments section on the front of the WPPEs form, under Supervisor's Comments, Section IV.
- c) Tell the employee how you feel he or she has performed overall. Encourage the employee to comment. Discuss how you agree or disagree.
- d) Assign your final rating on the employee's overall job performance:
- Be sure to mark the appropriate box next to the final overall rating you wish to assign under Section IV, "Overall Performance Rating" on the front of the WPPEs form.
  - You may comment on any rating. However, an overall rating of "Outstanding" or "Unsatisfactory" must be justified.
- See example of "Supervisor's Comments" under Section IV of the completed WPPEs form, Appendix C, page C-1.
- e) Advise an employee whom you assign an overall rating of "Unsatisfactory" what training you will recommend or what disciplinary or adverse action you and the appointing authority are going to take as a result of the employee's unsatisfactory work performance.

- 
- f) Make your final recommendation on the employee's salary increment:
- Explain to the employee that a "Satisfactory" or better overall rating is necessary to be "recommended" for a salary increase.
  - Explain that an "Unsatisfactory" overall rating is the basis for denial of a salary increment

### **STEP V-3: Sign the WPPES Form and Get Signatures**

- a) Explain to the employee what it means to sign this part of the form.
- Your signature means that you have done the ratings and discussed them with the employee.
  - The employee's signature means the employee understands the evaluation and the comments written on the WPPES form. If the employee does not agree with your ratings, he or she should make comments in the space marked "employee comments" and then sign the form. If the employee refuses to sign the form, note this in your comments and submit the form for review by your supervisor.
  - Your supervisor's signature means that he or she has reviewed your evaluation and any comments attached to the form and agrees that your ratings are appropriately justified.
  - The appointing authority's signature means that he or she concurs with your supervisor's evaluation of the employee and approves of the recommended rating.
- b) Get the required signatures in Section IV.
- If the employee asks for time to think about comments, allow the employee two or three work days to do this.
  - If your supervisor (the reviewer) does not find your ratings appropriately justified, you should meet with him or her to find out why and to discuss the issue. Your supervisor should make note of this under the comments section on the front of the WPPES form and submit the form for review and final approval by the appointing authority.
  - If the appointing authority does not concur with your evaluation of the employee and does not approve the recommended rating, you should
-

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meet with your supervisor and the appointing authority to discuss the issue. If you, your supervisor and the appointing authority do not come to an agreement, then the appointing authority's decision is final. If the employee does not agree with the appointing authority's decision or with your performance evaluation rating, the employee may appeal using the "Appeal Procedure for Redetermination of Performance Rating" (Appendix G, page G-1; RE: Chapter 10., Personnel Rules and Regulations).

- If an employee is recommended a salary increase and the appointing authority concurs, the appointing authority's signature also certifies availability of funds for the salary increase.

See example of "Signatures" under Section IV of the completed WPPES form, Appendix C, page C-1.

- c) After the form is signed, keep a copy and give a copy to the employee. The original should be sent to the Department of Administration via your WPPES Monitor or Personnel Officer and your Appointing Authority. The WPPES Monitor or Personnel Officer is responsible for reviewing all WPPES forms for completeness and compliance with the WPPES procedures. At the latest, completed WPPES forms should be submitted to the Department of Administration no later than two weeks after the employee's anniversary date.

Before obtaining signatures, you should ask the employee if he or she would like to talk about an Individual Development plan. An Individual Development plan is a written plan formulated by you and the employee. The plan outlines a course of action which can lead an employee to learn new job skills which can be used for the present job, for future job goals, or for general career development. It is important to note that this individual development plan is not the same as the corrective training plan mentioned earlier. The purpose of the corrective training plan is to correct or to bring performance to satisfactory levels. The purpose of employee development is to assist the employee to learn new skills.

#### **STEP V-4: Discuss and Write Down an Individual Development Plan**

- a) Only the employee may decide to write a development plan. It is the employee's choice. Ask the employee if this is something he or she is interested in doing. Talk about the advantages of preparing such a plan.
- b) If an employee wants a development plan, together you and the employee should:
- Talk about the different kinds of development activities available to

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the employee, especially those your agency can provide. Be sure that you only offer development activities that you can actually provide.

- Discuss which of the development options might best meet the employee's needs.
  - Emphasize that the plan should lead to growth in the current job or prepare the employee for future job responsibility.
- c) Remind the employee that any training or development program should be consistent with the policies of the agency.
- d) On the Individual Development Form, or on a separate sheet of paper, you and the employee should write down the plan, including the possible timetable for the activities.
- e) You, the employee, and your supervisor should all sign and date the plan. Be sure you keep a copy of the Individual Development plan and attach it to the employee's new WPPES Form when it is developed in Stage I of the new rating period.

See Appendix I, page I-1, for an example of a completed Individual Development Plan.

Before you end the performance evaluation interview, set a date to meet with the employee to begin Stage I, Work Planning, for the new rating period. The meeting should be held no later than two weeks after the employee's anniversary date. An example of a blank Work Planning & Performance Evaluation Form can be found on page J-1, Appendix J.

**NOTE: GENERAL PROCEDURES FOUND IN THIS HANDBOOK MAY BE FOLLOWED FOR PROBATIONARY EMPLOYEES, HOWEVER, THE PERFORMANCE REPORT FORM USED IS DIFFERENT. AN EXAMPLE OF THE PERFORMANCE REPORT FORM FOR PROBATIONARY EMPLOYEES CAN BE FOUND ON PAGE K-1, APPENDIX K.**

## GUIDELINES FOR WRITING JOB TASK STATEMENTS

A task statement has the "what", "how", and "why" of the work activity. It should start with an action verb.

"Cooks" is not very useful as a job task statement since it doesn't tell us enough about the nature of the work activity involved. A much more useful statement is:

*Cooks lunch for residents each day following menu provided by dietitian so that clients have a tasty diet.*

Now let's take a step-by-step look at this task statement to see how it meets the four requirements of a good job task statement:

1. Start with an **ACTION VERB** ("Cooks ...")

Begin each task with an action verb. Other examples are:

*Codes*  
*Assesses*

Avoid using such vague terms as "handles", "administers", "assists in", or "is responsible for."

2. Say **WHAT** the employee does ("Cooks lunch for residents each day ...")

Make the action specific. Other examples are:

*Codes* ..... *forms from field offices* ...  
*Assesses* ..... *the qualifications of applicants for contracted positions* ...

3. Say **HOW** the work is done ("... following menu provided by dietitian ...")

Briefly describe the main methods, procedures or equipment used so it becomes clear HOW the action is carried out. Other examples are:

*"... using office coding guide ..."*  
*"... by reviewing resumes, interviewing applicants and asking questions related to work to be performed ..."*

Say **WHY** work is done ("... so that clients have a tasty diet.")

End each task with a short explanation of **WHY** the action is performed. Other examples are:

*"... to prepare forms for filing."*

*"... so that qualified applicants are hired."*

So the three complete examples of job tasks are:

WHAT IS DONE (ACTION VERB)	TO WHOM OR WHAT (OBJECT OF VERB)	HOW THE ACTION IS PERFORMED (METHODS AND PROCEDURES USED)	TO PRODUCE WHAT? (WHY)
Cooks	lunch for residents each day	following menu provided by dietitian	so that clients have a tasty diet.
Codes	forms from field offices	using office coding guide	to prepare forms for filing.
Assesses	the qualifications of applicants for c o n t r a c t e d positions	by reviewing resumes, interviewing applicants and asking questions related to the work to be performed	so that qualified applicants are hired.

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## IDENTIFYING JOB TASKS USING A PURPOSE STATEMENT

The primary job task for a position may be identified by developing a purpose statement for that position.

A purpose statement defines the purpose of the position (either in general or for a particular rating period). The purpose statement describes:

1. The expected results when the job is done well (good effect);
  2. Who will benefit from the job being done (beneficiary); and
  3. How the expected results are to be achieved (the means).
- 

### A. STEPS IN WRITING A PURPOSE STATEMENT

A purpose statement may be written in any format as long as it includes: the means by which the job is done, the beneficiary of the job being done, and the overall good effect that is produced when the job is done well. It is suggested that a purpose statement be written by first stating the good effect, followed by the beneficiary and then the means. For example:

#### STEP 1

State the expected results when the job is done well (good effect). Begin this statement with the word "To", followed by an action verb. Examples are:

- To *"facilitate"*
- To *"prevent"*
- To *"ensure"*

Say what the expected results will be:

- To *"facilitate the quality completion of engineering projects ..."*
- To *"prevent the loss of government property ..."*
- To *"ensure the successful completion of the project ..."*

#### STEP 2

State who will benefit from the job being done (beneficiary). Examples are:

- "... by ensuring that management ..."*
  - "... for the benefit of the taxpayer ..."*
  - "... for the benefit of the ultimate user ..."*
-

### STEP 3

State how the expected results are to be achieved (the means). Examples are:

- "... has (by having) a highly qualified and competent workforce."*
- "... by a general surveillance and inspection of people or vehicles."*
- "... by the effective and efficient use of time, capital, and people."*

The three complete examples of purpose statements are:

**Personnel Officer** (engineering organization) - *To facilitate the quality completion of engineering projects by ensuring that management has a highly qualified and competent workforce.*

**Security Guard** - *To prevent the loss of government property for the benefit of taxpayers by general surveillance and inspection of people or vehicles.*

**Project Manager** - *To ensure the successful completion of the project for the benefit of the ultimate user by the effective and efficient use of time, capital, and people.*

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## B. IDENTIFYING JOB TASKS USING THE PURPOSE STATEMENT

After writing the purpose statement, job tasks for the position may be derived by simply reading the "means" part of the purpose statement and converting it into a task statement form.

For example, under Step 3 above for the Personnel Officer position, the "means" statement reads:

*"... has a highly qualified and competent workforce."*

By converting this statement to a task statement format (see Appendix B for guidelines), you might develop a job task statement that states:

*"Recruit a highly qualified and competent workforce using sound personnel practices and procedures in order to ensure quality and timely engineering work output."*

Although this statement is very general, several more specific types of job tasks could be generated if necessary.

Other examples of deriving job tasks from the purpose statements cited earlier are as follows:

**Security Officer** - "... by general surveillance an inspection of people or vehicles." (the means)

- JOB TASKS:
- 1) conduct general surveillance...
  - 2) inspect people or vehicles...

**Project Manager** - "... by the effective and efficient use of time, capital, and people." (the means)

- JOB TASKS:
- 1) manage time, capital, and people effectively and efficiently...

Remember, the purpose statement may be used as an alternative to the position description when identifying job tasks for a position.

GOVERNMENT OF GUAM  
**WORK PLANNING & PERFORMANCE EVALUATION SYSTEM**

EMPLOYEE:	MARY DOE	SS NO.:	123-45-6789
POSITION TITLE:	SECRETARY I (TYPIST)	DEPT./DIV.:	ADMINISTRATION/PERSONNEL
RATING PERIOD:	FROM: MARCH 1995	TO:	MARCH 1996
PERIOD OF SUPERVISION: FROM:	JULY 1995	TO:	MARCH 1996
SUPERVISOR:	JOHN BOSS	REVIEWER:	J. ADMINISTRATOR

DETAILED INSTRUCTIONS FOR COMPLETING THIS FORM CAN BE FOUND IN THE SUPERVISOR'S HANDBOOK

**I. WORK PLANNING**  
 This stage takes place at the beginning of the rating period. Supervisor and employee meet to discuss and establish primary job tasks and performance standards for the rating period. List job tasks and performance standards on the reverse of this form.

COMMENTS ATTACHED	INDIVIDUAL DEVELOPMENT PLAN ATTACHED?	_____ MARY DOE/7-25-95 EMPLOYEE'S SIGNATURE/DATE
<input checked="" type="checkbox"/> EMPLOYEE <input checked="" type="checkbox"/> SUPERVISOR	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	_____ JOHN BOSS/7-25-95 SUPERVISOR'S SIGNATURE/DATE

**II. WORK PROGRESS**  
 This stage may take place at anytime during the rating period. Supervisor and employee meet to review the employee's work progress in relation to the established performance standards. Comments may be made on reverse side of this form under each job task, or attached on a separate form or sheet.

	COMMENTS ATTACHED
	<input checked="" type="checkbox"/> EMPLOYEE <input checked="" type="checkbox"/> SUPERVISOR

**III. MID-PERIOD PERFORMANCE ADVISORY**  
 This stage takes place within one month before or after the approximate mid-point of the rating period. Supervisor and employee meet to discuss advisory ratings assigned for the employee on each job task and overall for the first half of the rating period.

Overall Advisory Rating: <input type="checkbox"/> Outstanding (Explain) <input type="checkbox"/> Highly Satisfactory (Explain) <input checked="" type="checkbox"/> Satisfactory <input type="checkbox"/> Marginal (Explain) <input type="checkbox"/> Unsatisfactory (Explain)	SUPERVISOR'S COMMENTS:  <p style="text-align: center;"><i>Good Progress</i></p>	COMMENTS ATTACHED
		<input checked="" type="checkbox"/> EMPLOYEE <input checked="" type="checkbox"/> SUPERVISOR <input checked="" type="checkbox"/> REVIEWER
_____ MARY DOE/11-27-95 EMPLOYEE'S SIGNATURE/DATE	_____ JOHN BOSS/11-27-95 SUPERVISOR'S SIGNATURE/DATE	_____ J. ADMINISTRATOR/11-28-95 REVIEWER'S SIGNATURE/DATE

**IV. FORMAL PERFORMANCE EVALUATION and V. PERFORMANCE EVALUATION INTERVIEW**  
 This is the final two stages of the evaluation process. The supervisor evaluates and the supervisor and employee meet to discuss the performance ratings assigned for the employee on each job task and overall for the rating period.

OVERALL PERFORMANCE RATING: <input type="checkbox"/> OUTSTANDING (Explain) <input checked="" type="checkbox"/> SATISFACTORY <input type="checkbox"/> UNSATISFACTORY (Explain)	SALARY INCREMENT: <input checked="" type="checkbox"/> RECOMMENDED <input type="checkbox"/> NOT RECOMMENDED	SUPERVISOR'S COMMENTS:  <p style="text-align: center;"><i>Keep up the good work!</i></p>
		_____ JOHN BOSS/2-27-96 SUPERVISOR'S SIGNATURE/DATE

EMPLOYEE: <input checked="" type="checkbox"/> I AGREE <input type="checkbox"/> I DISAGREE	_____ MARY DOE/2-27-96 EMPLOYEE'S SIGNATURE/DATE
--	--

REVIEWER'S DETERMINATION: On the basis of my review, I have determined that the Supervisor's ratings are appropriately justified.	COMMENTS:
_____ J. ADMINISTRATOR/2-27-96 REVIEWER'S SIGNATURE/DATE	

APPOINTING AUTHORITY: My signature below indicates that I concur with the Supervisor's evaluation of the employee, approve the recommended rating, and certify funds availability should a salary increment be recommended.	COMMENTS:
_____ BILL AUTHORITY/2-27-96 APPOINTING AUTHORITY'S SIGNATURE/DATE	

**WORK PLANNING & PERFORMANCE EVALUATION SYSTEM  
JOB TASKS/PERFORMANCE STANDARDS**

List the employee's primary job tasks for this rating period and the performance standards which will be used to evaluate the employee's performance of these tasks in the appropriate spaces below. Attach additional copies as needed.

**JOB TASK: (1)** Types material from rough draft or straight copy according to standard agency format, making minor corrections in grammar/punctuation/spelling, in order to produce finished work in final form.

- Performance Standard:** (Employee successfully meets job requirements if):
- Typed copy is neat, accurate and in appropriate format in three out of five times.
  - Minor corrections in grammar/punctuation/spelling are returned by supervisor three times a week.
  - Typed copy is completed within prescribed deadlines 90% of the time.

**Work Progress Review Comments:**

**ADVISORY JOB TASK RATING:**

- Exceeds Work Performance Standards (Explain)
- Highly Meets Work Performance Standards (Explain)
- Meets Work Performance Standards
- Barely Meets Work Performance Standards (Explain)
- Below Work Performance Standards (Explain)

COMMENTS:

**FORMAL JOB TASK RATING:**

- EXCEEDS Work Performance Standards (Explain)
- MEETS Work Performance Standards
- BELOW Work Performance Standards (Explain)

COMMENTS:

**JOB TASK: (2)** Telephones information into central office/other field offices on a routine basis to provide daily/weekly updates on activities/assignments.

- Performance Standard:** (Employee successfully meets job requirements if):
- Information is provided accurately 90% of the time.
  - Information is telephoned promptly/on schedule in 90% of the time during rating period.

**Work Progress Review Comments:**

**ADVISORY JOB TASK RATING:**

- Exceeds Work Performance Standards (Explain)
- Highly Meets Work Performance Standards (Explain)
- Meets Work Performance Standards
- Barely Meets Work Performance Standards (Explain)
- Below Work Performance Standards (Explain)

COMMENTS:

**FORMAL JOB TASK RATING:**

- EXCEEDS Work Performance Standards (Explain)
- MEETS Work Performance Standards
- BELOW Work Performance Standards (Explain)

COMMENTS:

**JOB TASK: (3)** Processes incoming mail, memoranda, packages, etc., by receiving/sorting/stamping/routing/distributing materials received to ensure prompt receipt by addressee.

- Performance Standard:** (Employee successfully meets job requirements if):
- Mail is properly processed and distributed within one day of receipt 90% of the time.
  - Mail is processed and distributed within prescribed deadlines 90% of the time.

**Work Progress Review Comments:**

**ADVISORY JOB TASK RATING:**

- Exceeds Work Performance Standards (Explain)
- Highly Meets Work Performance Standards (Explain)
- Meets Work Performance Standards
- Barely Meets Work Performance Standards (Explain)
- Below Work Performance Standards (Explain)

COMMENTS:

**FORMAL JOB TASK RATING:**

- EXCEEDS Work Performance Standards (Explain)
- MEETS Work Performance Standards
- BELOW Work Performance Standards (Explain)

COMMENTS:

## EXAMPLES OF PERFORMANCE STANDARDS

A cook might have this job task:

*Cooks lunch for residents each day following menu provided by dietician so that clients have a tasty diet.*

The standards might be:

STANDARDS	TYPE
1. Food tastes good 90% of the time.	QUALITY
2. Hot food is hot, and cold food is cold 90% of the time.	QUALITY
3. Enough food is prepared for all residents 90% of the time.	AMOUNT
4. Meals are ready by mealtime 90% of the time.	TIME FRAME
5. Food is not wasted during preparation 90% of the time.	COST
6. Answers complaints courteously 90% of the time.	WORKS WITH OTHERS
7. Directions from dietitian are followed 90% of the time.	WORKS WITH OTHERS
8. All health regulations are followed 90% of the time.	PROCEDURES
9. Food is cooked at the right temperature 90% of the time.	PROCEDURES

**REMEMBER!!**

Standards should be:

1. Observable;
2. Clear and Specific;
3. Realistic;
4. Easy to follow over the rating period; and
5. Similar for employees who are doing the same work.

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## WPPES RATING SCALE

### **OUTSTANDING** (Exceeds Work Performance Standards):

The employee's performance clearly is exceptional in comparison with expectations, thereby causing the employee to stand out above others in the work unit. Performance consistently exceeds expectations for all tasks and is due to the effort and ability of the employee. Any performance below standards is very minor or due to events not under the control of the employee. The employee can be relied upon to perform the most difficult tasks and has made exceptional contributions to the work of the unit or agency. The employee requires much less than usual supervision.

### **HIGHLY SATISFACTORY** (Highly Meets Work Performance Standards):

The employee always meets and frequently exceeds performance expectations for all tasks due to own effort and ability. Any performance below standards is minor or due to events not under the control of the employee. The employee is performing better than expected for many of the tasks and is recognized as a particular asset to the work unit. The employee requires less than usual supervision.

### **SATISFACTORY** (Meets Work Performance Standards):

The employee generally meets performance expectations for all tasks and performs in a good, competent manner. The good performance is due to the employee's own effort and ability. This is the expected and usual level of performance for most employees. Any performance below standards is usually minor or due to events not under the control of the employee. The employee contributes to the accomplishment of the work unit's goals and objectives. The employee requires usual levels of supervision.

### **MARGINAL** (Barely Meets Work Performance Standards):

The employee meets performance expectations at a minimally acceptable level. Some tasks may require extra direction by the supervisor, or the supervisor may find it necessary to avoid assigning the difficult tasks to the employee. Any performance below standards is generally due to the employee's lack of effort. The employee is not fully contributing to the accomplishment of the work unit's goals and objectives.

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**UNSATISFACTORY (Below Work Performance Standards):**

The employee clearly does not meet performance expectations for one or more tasks, not even at a minimally acceptable level. The employee requires significant extra direction, or the supervisor finds it necessary to avoid assigning normal tasks to the employee. There is a need for immediate and significant improvement in performance. Unsuccessful job performance is due to the employee's own lack of effort or ability. The employee is not contributing to the overall effectiveness of the work unit and if left uncorrected, may seriously hinder the unit's work progress.

## WPPES: WEIGH THE WORK, NOT THE WORKER

### DIFFERENCES BETWEEN CONDUCT AND PERFORMANCE ISSUES

Agency management derives its authority and responsibility for employee discipline under the provisions of Section 4201, Title IV, of the Guam Code Annotated. Agency management has the responsibility to remove, demote, or reassign to another position on a fair and equal basis any employee in the classified service whose conduct or capacity (performance) is such that his removal, demotion or reassignment will promote the efficiency of government service.

By law (P.L. 9-86), each of the following constitutes cause for discipline (adverse action) of an employee:

CONDUCT ISSUES	PERFORMANCE ISSUES
<p>A conduct issue is any action of an employee which is of a personal nature not related to the employee's ability to perform the job but which constitutes a violation of regulations governing expected employee conduct on the job.</p> <p>You may take adverse action against an employee to promote the "efficiency of the service." Violations of rules pertaining to an employee's conduct include:</p> <ul style="list-style-type: none"> <li>● Fraud in securing appointment</li> <li>● Insubordination</li> <li>● Intoxication while on duty; unauthorized use of alcohol, narcotics, and/or dangerous drugs while on duty or while on the premises of any department or agency</li> <li>● Unauthorized absences</li> <li>● Conviction of a felony or of a serious misdemeanor</li> <li>● Discourteous treatment to the public or other employees.</li> <li>● Political activity prohibited by law</li> <li>● Misuse or theft of government property</li> <li>● Refusal to take and subscribe to any oath or affirmation which is required by law in connection with employment</li> <li>● Acts prohibited by Section 9102 4GCA, relating to strikes against the government.</li> <li>● Other misconduct which impairs the efficiency of the service either on or off duty which is of such nature as to bring discredit to the department/agency</li> <li>● Other conduct not specifically listed which impairs the efficiency of the services (see guidelines for disciplinary offenses and penalties)</li> </ul>	<p>A performance issue is the failure of an employee to perform an assigned job task and/or meet established performance standards due to the employee's non-effort or inability.</p> <p>You may take adverse action against an employee based on an employee's performance within their established tasks and standards. Violations pertaining to an employee's job capacity or performance includes:</p> <ul style="list-style-type: none"> <li>● Refusal, failure, or inability to perform prescribed duties and responsibilities.</li> </ul> <p style="text-align: center;">◆◆◆</p> <p style="text-align: center;"><b>FOLLOW WPPES PROCEDURES</b></p> <p>All of the following should be accomplished prior to taking adverse action against an employee due to unsatisfactory work performance.</p> <ol style="list-style-type: none"> <li>1. Tasks and standards must be communicated prior to the formal performance evaluation period. Employees must be allowed to participate.</li> <li>2. Tasks and standards must be in writing.</li> <li>3. Employee must be given a reasonable opportunity to demonstrate acceptable performance.</li> <li>4. Standards must be objective.</li> <li>5. Employees should be given an opportunity to improve performance if unacceptable.</li> <li>6. Formal performance evaluation is based solely on the established tasks and standards.</li> </ol>

In administering the GovGuam Work Planning and Performance Evaluation System, you must be careful not to consider conduct issues when evaluating the employee's performance. In some cases an employee's conduct may affect his or her work performance, however you should focus your attention on the performance issues when taking corrective or disciplinary action. On the other hand, if a conduct issue occurs and it has no bearing on performance, you may take corrective disciplinary action immediately on that issue alone. Be aware, however, that the burden of proof is easier for the government on job performance issues than it is on conduct issues.

You must follow the GovGuam Adverse Action Procedures when handling either employee conduct or performance issues. Note however, that adverse action for performance issues should not be attempted unless WPPES procedures have been followed (refer back to the above description of performance issues).

Remember, when administering WPPES, don't measure the individual. Ask yourself these questions: Did the job get done? Is there a finished product? Were results achieved? Be aware of "conduct" issues and do not include them in WPPES. WPPES is strictly a task-based employee performance evaluation system.

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## APPEAL PROCEDURE FOR REDETERMINATION OF PERFORMANCE RATING

### I. PURPOSE

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

### II. COVERAGE

Employees covered in this procedure are those employees who have satisfactorily completed their original and new probationary period and have attained permanent status in the Government of Guam. Such employee, who believes he was unjustly rated, may request for a redetermination of his performance rating. Original probationary period performance ratings are not appealable under this procedure.

### III. REPRESENTATION

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

### IV. 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.

### V. MANAGEMENT'S RESPONSIBILITY FOR TIMELY ACTION

Management shall expedite the resolution 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.

## VI. INFORMAL APPEAL PROCEDURE

### A. INFORMAL APPEAL TO DEPARTMENT HEAD

1. The employee who believes he was unjustly rated shall bring the matter to the attention of his immediate supervisor not later than five (5) 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 department/agency head or his representative.
2. A review of the rating shall be afforded the employee by the rater and/or higher level supervision. 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 (5) work days after presentation of his informal appeal to his department/agency head or his representative.

If the employee's concerns are not resolved, or that a decision is not issued within five (5) work days, the employee may file a formal appeal to the Director of the Department of Administration.

## VII. FORMAL APPEAL PROCEDURE

### A. PERFORMANCE RATING BOARD OF REVIEW

1. When the decision of the department head fails to satisfy the employee, the employee may take a formal appeal to the Performance Rating Board of Review via the Director of Administration. The appeal shall be in writing to the Director and filed within five (5) work days after the appellant receives the department head's decision.
2. The Board shall be appointed by the Director of Administration and shall consist of three (3) members who are classified employees of which one (1) shall be at the same position level as the appellant, one (1) shall be at the managerial level, and staff from CSC, DOA or designated official who will serve as the hearing Officer. Board members shall not be from the same department where the appellant is employed. The Director shall appoint the Board members within five (5) work days of receipt of the written appeal.

3. The Board shall conduct its first hearing within five (5) work days of its appointment. The Board shall complete the investigation and conduct the final hearing not later than ten (10) 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.

4. The hearing officer shall preside and rule on all questions and conduct of hearings 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.
5. 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 (5) 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 department head and the Director of Administration.

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

(NOTE: Further reference to Board composition - AG Opinion Reference DOA 95-1399)

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## PERFORMANCE IMPROVEMENT PLAN

EMPLOYEE: Mary Doe POSITION TITLE: Secretary I (Typist)  
 DEPARTMENT: Administration DIVISION/UNIT: Personnel  
 RATING PERIOD:  
 FROM: (60 Days) March 1996 TO: March 1997  
 Ext. (60 Days) Max: \_\_\_\_\_  
 SUPERVISOR: \_\_\_\_\_

JOB STANDARD NOT MET	IMPROVEMENT NEEDED	SPECIAL ASSIGNMENT	PLANNED DATES	DATES COMPLETED
1. Be able to learn a new computer at the end of rating period.	Learn LOTUS 123, necessary to develop spreadsheets.	Research training on LOTUS 123 and request Supervisor to attend.	May 01 - July 01, 1998.	
2. Complete backlog in filing all documents dated 1996 by June 1999.	File all 1996 documents by subject and chrono order.	Spend a maximum of three(3) days to complete backlog in filing.	June 17, 18, & 19, 1997 or earlier.	

## EMPLOYEE'S COMMENTS:

Mary Doe

EMPLOYEE'S SIGNATURE

May 1, 1997

DATE

## SUPERVISOR'S COMMENTS:

John Boss

SUPERVISOR'S SIGNATURE

May 1, 1997

DATE

# PERFORMANCE IMPROVEMENT PLAN

EMPLOYEE: \_\_\_\_\_ POSITION TITLE: \_\_\_\_\_  
 DEPARTMENT: \_\_\_\_\_ DIVISION/UNIT: \_\_\_\_\_  
 RATING PERIOD:  
 FROM: (60 Days) \_\_\_\_\_ TO: \_\_\_\_\_  
 Ext. (60 Days) Max: \_\_\_\_\_  
 SUPERVISOR: \_\_\_\_\_

JOB STANDARD NOT MET	IMPROVEMENT NEEDED	SPECIAL ASSIGNMENT	PLANNED DATES	DATES COMPLETED

*EMPLOYEE'S COMMENTS:*

\_\_\_\_\_  
*EMPLOYEE'S SIGNATURE*

\_\_\_\_\_  
*DATE*

*SUPERVISOR'S COMMENTS:*

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

\_\_\_\_\_  
 DATE

## INDIVIDUAL DEVELOPMENT PLAN

EMPLOYEE: Mary Doe POSITION TITLE: Secretary I (Typist)  
 DEPARTMENT: Administration DIVISION/UNIT: Personnel  
 RATING PERIOD:  
 FROM: March 1996 TO: March 1997  
 SUPERVISOR: \_\_\_\_\_

GOAL	DEVELOPMENT ACTIVITY	LOCATION	PLANNED DATES	DATES COMPLETED
1. To learn new word processing skills	Pacific Institute	Maite	05/01/ - 06/16, 1996	
2. To learn new Telex II Telephone System	IT&E Training Program on Telex II	East Agana	Between Sept/Dec., 1996 - when IT&E schedules training	

## EMPLOYEE'S COMMENTS:

Mary Doe

EMPLOYEE'S SIGNATURE

March 1, 1996

DATE

## SUPERVISOR'S COMMENTS:

John Boss

SUPERVISOR'S SIGNATURE

March 1, 1996

DATE

## REVIEWER'S COMMENTS:

Joe Reviewer

REVIEWER'S SIGNATURE

March 1, 1996

DATE

# INDIVIDUAL DEVELOPMENT PLAN

EMPLOYEE: \_\_\_\_\_ POSITION TITLE: \_\_\_\_\_  
 DEPARTMENT: \_\_\_\_\_ DIVISION/UNIT: \_\_\_\_\_  
 RATING PERIOD: \_\_\_\_\_ TO: \_\_\_\_\_  
 FROM: \_\_\_\_\_  
 SUPERVISOR: \_\_\_\_\_

GOAL	DEVELOPMENT ACTIVITY	LOCATION	PLANNED DATES	DATES COMPLETED

EMPLOYEE'S COMMENTS:

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

\_\_\_\_\_  
 DATE

SUPERVISOR'S COMMENTS:

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

\_\_\_\_\_  
 DATE

REVIEWER'S COMMENTS:

\_\_\_\_\_  
 REVIEWER'S SIGNATURE

\_\_\_\_\_  
 DATE

GOVERNMENT OF GUAM  
WORK PLANNING & PERFORMANCE EVALUATION SYSTEM

EMPLOYEE: _____	SS NO.: _____
POSITION TITLE: _____	DEPT./DIV.: _____
RATING PERIOD: FROM: _____	TO: _____
PERIOD OF SUPERVISION: FROM: _____	TO: _____
SUPERVISOR: _____	REVIEWER: _____

**DETAILED INSTRUCTIONS FOR COMPLETING THIS FORM CAN BE FOUND IN THE SUPERVISOR'S HANDBOOK**

**I. WORK PLANNING**  
This stage takes place at the beginning of the rating period. Supervisor and employee meet to discuss and establish primary job tasks and performance standards for the rating period. List job tasks and performance standards on the reverse of this form.

<b>COMMENTS ATTACHED</b>	<b>INDIVIDUAL DEVELOPMENT PLAN ATTACHED?</b>	_____ EMPLOYEE'S SIGNATURE/DATE
<input type="checkbox"/> EMPLOYEE	<input type="checkbox"/> YES	
<input type="checkbox"/> SUPERVISOR	<input type="checkbox"/> NO	_____ SUPERVISOR'S SIGNATURE/DATE

<b>II. WORK PROGRESS</b> This stage may take place at anytime during the rating period. Supervisor and employee meet to review the employee's work progress in relation to the established performance standards. Comments may be made on reverse side of this form under each job task, or attached on a separate form or sheet.	<b>COMMENTS ATTACHED</b> <input type="checkbox"/> EMPLOYEE <input type="checkbox"/> SUPERVISOR
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**III. MID-PERIOD PERFORMANCE ADVISORY**  
This stage takes place within one month before or after the approximate mid-point of the rating period. Supervisor and employee meet to discuss advisory ratings assigned for the employee on each job task and overall for the first half of the rating period.

<b>Overall Advisory Rating:</b> <input type="checkbox"/> Outstanding (Explain) <input type="checkbox"/> Highly Satisfactory (Explain) <input type="checkbox"/> Satisfactory <input type="checkbox"/> Marginal (Explain) <input type="checkbox"/> Unsatisfactory (Explain)	<b>SUPERVISOR'S COMMENTS:</b> <div style="border: 1px solid black; height: 80px; width: 100%;"></div>	<b>COMMENTS ATTACHED</b> <input type="checkbox"/> EMPLOYEE <input type="checkbox"/> SUPERVISOR <input type="checkbox"/> REVIEWER
_____ EMPLOYEE'S SIGNATURE/DATE	_____ SUPERVISOR'S SIGNATURE/DATE	_____ REVIEWER'S SIGNATURE/DATE

**IV. FORMAL PERFORMANCE EVALUATION and V. PERFORMANCE EVALUATION INTERVIEW**  
This is the final two stages of the evaluation process. The supervisor evaluates and the supervisor and employee meet to discuss the performance ratings assigned for the employee on each job task and overall for the rating period.

<b>OVERALL PERFORMANCE RATING:</b> <input type="checkbox"/> OUTSTANDING (Explain) <input type="checkbox"/> SATISFACTORY <input type="checkbox"/> UNSATISFACTORY (Explain)	<b>SALARY INCREMENT:</b> <input type="checkbox"/> RECOMMENDED <input type="checkbox"/> NOT RECOMMENDED	<b>SUPERVISOR'S COMMENTS:</b> <div style="border: 1px solid black; height: 60px; width: 100%;"></div>
		_____ SUPERVISOR'S SIGNATURE/DATE

<b>EMPLOYEE:</b> <input type="checkbox"/> I AGREE <input type="checkbox"/> I DISAGREE	_____ EMPLOYEE'S SIGNATURE/DATE
--	------------------------------------

<b>REVIEWER'S DETERMINATION:</b> On the basis of my review, I have determined that the Supervisor's ratings are appropriately justified.	<b>COMMENTS:</b>
_____ REVIEWER'S SIGNATURE/DATE	

<b>APPOINTING AUTHORITY:</b> My signature below indicates that I concur with the Supervisor's evaluation of the employee, approve the recommended rating, and certify funds availability should a salary increment be recommended.	<b>COMMENTS:</b>
_____ APPOINTING AUTHORITY'S SIGNATURE/DATE	

**WORK PLANNING & PERFORMANCE EVALUATION SYSTEM  
JOB TASKS/PERFORMANCE STANDARDS**

List the employee's primary job tasks for this rating period and the performance standards which will be used to evaluate the employee's performance of these tasks in the appropriate spaces below. Attach additional copies as needed.

**JOB TASK:**

**Performance Standard:** (Employee successfully meets job requirements if):

**Work Progress Review Comments:**

**ADVISORY JOB TASK RATING:**

- Exceeds Work Performance Standards (Explain)
- Highly Meets Work Performance Standards (Explain)
- Meets Work Performance Standards
- Barely Meets Work Performance Standards (Explain)
- Below Work Performance Standards (Explain)

**COMMENTS:**

**FORMAL JOB TASK RATING:**

- EXCEEDS Work Performance Standards (Explain)
- MEETS Work Performance Standards
- BELOW Work Performance Standards (Explain)

**COMMENTS:**

**JOB TASK:**

**Performance Standard:** (Employee successfully meets job requirements if):

**Work Progress Review Comments:**

**ADVISORY JOB TASK RATING:**

- Exceeds Work Performance Standards (Explain)
- Highly Meets Work Performance Standards (Explain)
- Meets Work Performance Standards
- Barely Meets Work Performance Standards (Explain)
- Below Work Performance Standards (Explain)

**COMMENTS:**

**FORMAL JOB TASK RATING:**

- EXCEEDS Work Performance Standards (Explain)
- MEETS Work Performance Standards
- BELOW Work Performance Standards (Explain)

**COMMENTS:**

**JOB TASK:**

**Performance Standard:** (Employee successfully meets job requirements if):

**Work Progress Review Comments:**

**ADVISORY JOB TASK RATING:**

- Exceeds Work Performance Standards (Explain)
- Highly Meets Work Performance Standards (Explain)
- Meets Work Performance Standards
- Barely Meets Work Performance Standards (Explain)
- Below Work Performance Standards (Explain)

**COMMENTS:**

**FORMAL JOB TASK RATING:**

- EXCEEDS Work Performance Standards (Explain)
- MEETS Work Performance Standards
- BELOW Work Performance Standards (Explain)

**COMMENTS:**

MEMORANDUM

TO:

FROM: Director, Department of Administration

SUBJECT: PERFORMANCE REPORT  
RE: Probationary Employee

Chapter 10A.9 of the Government of Guam Personnel rules and Regulations requires the appointing authority to evaluate the performance of employees serving an original or new probationary period to determine their employment status. This office requires that the probationary employee named below be evaluated. This form must be returned to the Department of Administration no later than \_\_\_\_\_, ten (10) work days from the established end of the probationary period. Please provide a copy of this form to the employee concerned and retain a copy for your files.

DIRECTOR, DEPARTMENT OF ADMINISTRATION

<b>PERFORMANCE EVALUATION REPORT</b>		<b>PROBATIONARY EMPLOYEE</b>									
NAME: _____											
POSITION TITLE: _____											
DATE PROBATION ENDS: _____											
TYPE OF PROBATION: <input type="checkbox"/> ORIGINAL (Complete Box A ONLY) <input type="checkbox"/> NEW (Complete Box B ONLY)											
<b>A. ORIGINAL PROBATION</b>											
<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="text-align: center;"><b>OVERALL PERFORMANCE RATING</b></td> </tr> <tr> <td><input type="checkbox"/> Outstanding</td> </tr> <tr> <td><input type="checkbox"/> Highly Satisfactory</td> </tr> <tr> <td><input type="checkbox"/> Satisfactory</td> </tr> <tr> <td><input type="checkbox"/> Marginal (Must extend probation)</td> </tr> <tr> <td><input type="checkbox"/> Unsatisfactory</td> </tr> </table>	<b>OVERALL PERFORMANCE RATING</b>	<input type="checkbox"/> Outstanding	<input type="checkbox"/> Highly Satisfactory	<input type="checkbox"/> Satisfactory	<input type="checkbox"/> Marginal (Must extend probation)	<input type="checkbox"/> Unsatisfactory	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="text-align: center;"><b>RECOMMENDATION (Employee Shall Be)</b></td> </tr> <tr> <td><input type="checkbox"/> Given a permanent appointment in the classified service.</td> </tr> <tr> <td><input type="checkbox"/> Continued on probationary status for additional ____ days.</td> </tr> <tr> <td><input type="checkbox"/> Dismissed from the position. Notice to employee attached.</td> </tr> </table>	<b>RECOMMENDATION (Employee Shall Be)</b>	<input type="checkbox"/> Given a permanent appointment in the classified service.	<input type="checkbox"/> Continued on probationary status for additional ____ days.	<input type="checkbox"/> Dismissed from the position. Notice to employee attached.
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<b>B. NEW PROBATION PERIOD:</b>											
<input type="checkbox"/> PROMOTION	<input type="checkbox"/> TRANSFER	<input type="checkbox"/> VOLUNTARY DEMOTION									
<input type="checkbox"/> RE-APPOINTMENT	<input type="checkbox"/> OTHER:										
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A copy has been given to the employee.											
_____ SUPERVISOR'S NAME	_____ SIGNATURE/DATE										
_____ EMPLOYEE'S NAME	_____ SIGNATURE/DATE										
_____ DEPARTMENT HEAD'S NAME	_____ SIGNATURE/DATE										