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> performance evaluation report

# supervisor's handbook

MAY,-1965 IOWA EMPLOYMENT SECURITY COMMISSION PERSONNEL DEPARTMENT

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This service rating plan designed to help supervisors counsel on ways to strengthen job performance was adapted from a plan developed in the San Diego, California, school system.

# PREPARATION FOR THE RATINGS:

(Do this each time a rating is to be made)

- 1. Familiarize yourself with the contents of the evaluation form. Analyze its general scope as well as the detailed instructions.
- 2. Understand thoroughly the duties and requirements of the particular position held by the employee to be rated -- it will be helpful to review the job specification. Additional copies are available in the Personnel Department.
- 3. Use a process of objective reasoning, eliminating personal prejudice, bias, or favoritism. For example, don't allow your own personal likes or dislikes of certain mannerisms or aspects of personal appearance blind you to the more important measures of competency or effectiveness.
- 4. Don't assume that excellence in one factor implies excellence in all factors. Observe and analyze the employee's performance objectively in terms of each factor listed on the rating form.
- 5. <u>Base your judgment on demonstrated performance -- not on anticipated</u> performance. The evaluation is to be based on what <u>has</u> happened, not what might develop.
- 6. Evaluate on the experience of the entire rating period -- it is better not to consider only single accomplishments or failures or the most recent performance. Neither should important single instances of faulty or brilliant performance be ignored. They should be considered in context with the total performance for the period.
- 7. <u>Consider seniority apart from performance</u> -- an employee with a short service record may not necessarily be less effective than one with a longer term of employment. Seniority does not guarantee excellence.
- 8. <u>Consider the requirements in terms of the level of the position</u> -- a Clerk II may very well be meeting the requirements of her position more effectively than her immediate supervisor does in his position in a higher classification.
- 9. Spaces have been provided on the performance evaluation report forms for additional factors you consider important enough to be included in the overall appraisal of the employee. Examples of such additional factors are given in Paragraphs 23 and 38 in the section of definitions.

#### EVALUATING THE PROBATIONARY EMPLOYEE

For probationary employees, the rater must, on the final probationary evaluation, check and sign the statement on the form as follows: \_\_\_ I do \_\_\_ I do not recommend this employee be granted permanent status.

The probationary, <u>or working test period</u>, is the final and most important stage in the <u>selection process</u> of quality employees. By the end of the probationary period, supervisors should have complete confidence that the probationary employee being evaluated <u>fully</u> meets or exceeds agency performance standards in every important factor if he is to be recommended for permanent status.

It should be noted that probationary employees may be released at any time during their first six months of service without appeal, if, in the judgment of the department head, their dismissal is in the best interests of the agency. Should the supervisor have a question in his mind as to the general fitness of the probationary employee for the position, he should seriously consider the consequences of burdening the agency with an employee who may be a net liability rather than a net asset. He should also consider the possibility that it would be a disservice to the employee to retain him in a position for which he is poorly suited or altogether unsuited, thus directing him away from seeking a more productive and rewarding type of employment.

In deciding whether a probationary employee should be dismissed or granted permanent status, the supervisor might well consider that the average permanent employee remaining thirty years in our service will be paid more than \$100,000 during that time. The supervisor should ask himself if this employee represents a sound, long-term investment of such magnitude.

#### EVALUATING THE SUPERVISOR

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

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

#### HINTS ON HOW TO PROCEED

Certain Considerations To Be Made In The Preparation of Ratings

- 1. <u>Choose a quiet place</u> where you can work without interruption for a period of time, and where unauthorized persons will not see the forms.
- 2. The report should be typed or written in ballpoint before the employee interview, and any changes, corrections, or deletions on the report must be initialed by the employee.

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

- 3. <u>Be generous</u> in rating the best of the employee's qualities, but <u>be severe</u> in rating weaknesses. Don't create over-confidence in an employee when improvements are really needed. Trying to <u>avoid</u> an unpleasant situation or risk of losing the employee's friendship by over-rating him is unfair, both to him and to the agency.
- 4. Use the spaces for comments -- Thoughtful comments give the most complete picture of the employee's performance. Note that check marks in the "Not Satisfactory" column <u>require</u> specific written explanations in Section E for each factor thus checked. Though not required, they are also desirable for most marks in the "Requires Improvement" column. Do not hesitate to use attachments if you find there is insufficient space for your comments.
- 5. <u>Consider unusual circumstances</u> such as employees you have observed for less than six weeks, employees who have done poorly as a result of temporary ill-health or other unavoidable conditions. In all unusual circumstances, evaluate the actual work <u>performance</u>, but comment fully to indicate reasons.
- 6. <u>The summary evaluation is the entire report</u> condensed into one of four performance levels -- read and understand the definitions of the Summary Evaluation levels on the back of the form before you evaluate the employee's overall performance. Your own balanced judgment is the determinant in the summary evaluation, and not the result of applying a mathematical formula. While your summary evaluation should logically reflect performance levels indicated by your checks in Section A, it should not be dictated by factors which may vary in degrees of importance between different jobs and job levels. Ask yourself how well the employee measures up to the standards of acceptable job performance for his position.

- 7. It should be borne in mind that before probationary or permanent employees can be properly released for reasons of unsatisfactory performance, there must be documented evidence of a specific nature. Performance Evaluation Reports are intended to provide a written record of specified deficiencies during and/or at the close of the rating period in which the deficiencies were observed. Employee deficiencies affecting job performance which are not recorded on the Performance Evaluation Report cannot properly be used as a basis for dismissal (except of course "gross misconduct in connection with his duties or insubordination").
- 8. <u>Special, unscheduled reports</u> -- in some cases, and particularly for permanent employees, additional warnings in the form of unscheduled reports may be desirable before recommendations for demotion or dismissal are made.

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

#### THE EVALUATION INTERVIEW

- 1. Review your initial evaluation of the employee's performance and consider why you evaluated his work as you did.
- 2. Determine what you want to accomplish in the interview and plan your discussion accordingly. You should have as your main objectives an improvement in the employee's performance and <u>will to work</u>. If these are already superior, the objective shifts to one of commendation and maintenance of excellence.
- 3. Plan to meet in private. If this is the employee's first evaluation interview, anticipate curiosity, tension, or anxiety, and be prepared to minimize these.
- 4. Create the impression that <u>you</u> have time for the interview and that you consider it highly important.
- 5. Make the employee feel that the interview is a constructive, cooperative one, by placing primary interest upon his development and growth. Avoid any implication that the meeting was arranged for warning or reprimanding the employee.
- 6. Be open minded to the opinions and facts presented by the employee. Be willing to learn about him. Don't dominate or cross-examine. Avoid argument. Remember that the employee must do most of the talking at some points of the interview:
  - a. In bringing his opinions and feelings to the surface and to your attention
  - b. In gaining a better understanding of himself
  - c. In identifying his own areas of needed or potential improvement and in making plans for their accomplishment
- 7. Pick the right day, time, and place. Don't conduct the interview too soon after a disciplinary action or reprimand. Pick a time when you're in a good mood and when you have reason to believe the employee feels likewise.
- 8. Talk about the employee's strengths first, covering each point in some detail. This helps start the interview off on the right foot. Remember that the aim is to encourage or sustain high quality performance, not to "bawl out" the employee.

- 9. While building upon the employee's strengths, <u>do not fail</u> to discuss his weaknesses or failures and <u>how he can prevent or curtail them in the future</u>. Here introduce your suggestions for a specific improvement program.
- 10. You should close when you have made clear whatever points you intended to cover; when the employee has had a chance to review his problems and release any emotional tensions that may exist; when plans of action have been cooperatively developed; and when you and the employee are at a natural stopping point. Always reassure the employee of your interest in his progress, and indicate willingness to take up the discussion again at any time.
- 11. Secure the employee's signature, and date and sign the report and forward to the Personnel Department. One copy will be returned to the employee; one will be returned to the department; one will be filed in the employee's personnel file.

## RFORMANCE EVALUATION REPORT

## **Personnel Department**

wa Employment Security Commission

#### USE BALL POINT PEN OR TYPE-WRITER FOR FINAL MARKINGS

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- SEE INSTRUCTIONS ON REVERSE SIDE -

#### FACTOR DEFINITIONS AND GUIDES FOR USE

Performance factors listed in Section A are defined below and guideline questions for each factor provided. Each factor should be checked in relation to the individual employee's duties and amount of responsibility. Raters should not assume that all of the factors are of equal importance. The degree of importance in each factor will vary according to the requirements of each employee's job. For example, "Effectiveness Under Stress" may be of crucial importance in one position and relatively insignificant in another. Raters will find, however, that the first four factors listed do have the same degree of importance in any position, and employees should be evaluated accordingly.

- NOTE: On the first five factors in Section A, Column "d" (Exceeds Standards) has been blocked out. These factors are considered absolutes -- an employee either meets required standards or he does not. Column "e" (Does Not Apply) has been blocked out on the first four factors. All four factors apply to <u>all</u> employees, and therefore no option is provided.
- 1. Observance of Work Hours: Refers to punctuality in reporting to or leaving a duty station in accordance with the prescribed schedule of working hours, breaks, or leaves of absence. Can the employee be relied upon to be working when and where he is supposed to be?
- 2. <u>Attendance</u>: Reflects absences from duty for any reason. This factor introduces the opportunity for necessary or desirable counseling of an employee regarding his improper or excessive use of leave privileges, especially if his attandance has become unreliable. If sick leave use has been greater than the norm, should the employee seek medical care? Is there a Friday-Monday or holiday pattern of sick leave use? Have continued absences been costly to the agency or harmful to the morale of co-workers who may have been required to carry extra loads?
- 3. Grooming and Dress: An appropriate type of dress and standard of good grooming is required in every position. Does the employee meet the standards of dress commensurate with the degree of public, employee contacts he makes? Is he consistently clean, neat, and appropriately dressed?
- 4. <u>Compliance with Rules</u>: Most employees of this agency are subject to a number of rules. Under the Merit System Rules, failure to observe reasonable directions and regulations is listed as a reason for disciplinary action. Does the employee <u>consistently</u> comply with rules and regulations applicable to him and his job?

- 5. <u>Safety Practices</u>: Nearly all employees, even those who do not work under physically hazardous circumstances, must comply with reasonable safety practices. These practices may reflect specific supervisory directives, or simply forethought for potentially dangerous conditions and the use of good common sense. Does the employee endanger his own safety or the safety of others by his actions? Does he help to prevent accidents by practicing good safety procedures?
- 6. <u>Public Contacts</u>. Refers to all public contact made through personal or telephone conversation, correspondence, and day-to-day appearances before the public. In the case of a secretary, it may be a highly critical factor, while in the case of a key punch operator, it may have relatively little weight. Does the employee's exposure to the public eye and ear reflect credit on the agency and promote a good public image? Is the employee courteous and discreet in his public contacts and behavior? Is he aware of the necessity to present a consistently good appearance to the public?
- Employee Contacts: Reflects only those contacts which either improve or reduce the <u>effectiveness</u> of the employees involved. It does not apply to an employee's personal popularity or lack of it. Does he mind his own business, but at the same time have a proper concern for the problems of other employees whose jobs touch his? Is he a disruptive influence on the morale of others?
- 8. Knowledge of Work: This factor should not be confused with, or restricted to, the technical knowledge an employee is required to bring to a specialized job class (See Job Skill Level, factor ll below) It is much broader and includes particularly the range of pertinent agency policies, regulations, and procedures relating to his assignment. Has the probationary employee acquired an acceptable working level of job knowledge? Is the permanent employee keeping up to date with changed policies and procedures and with technological advances in his occupational field?
- 9. Work Judgments: Every employee makes decisions depending upon the degree of responsibility assigned in his position. Does the employee make a minimum of poor judgments in the course of his work? Is he consistent and reliable in his judgments? What effect do his judgments have on the quantity qnd quality of work produced by himself and by others?
- 10. <u>Planning and Organizing</u>: Measure the manner and method in which an employee approaches his assigned duties, and how successful his planning and organizing is in achieving desired <u>results</u>. Does the employee take time to plan the sequence of steps required in carrying out his tasks? Or does he attack the job thoughtlessly or with blind enthusiasm that waste and mistakes result or work deadlines are missed? Does he make allowances in organizing the job so that all foreseeable circumstances are properly taken into account? Does lack of planning or poor organizing indicate reasons for low production or poor quality of work?

- 11. <u>Job Skill Level</u>: This factor relates particularly to the mental and/or manual skills required in a given position. A craftsman's basic skills are readily identified, while many office occupations include job skills which are relatively obscure. Does the employee consistently demonstrate at a proper level the skills prerequisite to entry in the job class? Has he made any effort to improve his basic skill levels? Does he have potential for acquiring or developing his job skills to higher levels of proficiency? Should he undertake a brush-up or back-to-school program? Has he taken advantage of related in-service training opportunities? Does he read technical publications related to his work?
- 12. Quality of Work: The degree of excellence of the work performed over the entire rating period is measured here. In rating this factor, attention should be paid to the consequences of poor quality work. Is the employee's work neat, accurate, thorough, and acceptable? Must the work be redone, thus reducing the potential volume of acceptable work which could have been produced? Do errors in the employee's work affect the efforts of others? Does poor work too often reflect adversely upon the local office, department, or agency.
- 13. Volume of Acceptable Work: Refers to the amount of work required to meet job standards. Does the employee consistently accomplish a day's work for a day's pay? Does he produce <u>enough</u> work so that he is clearly a net asset to the agency? Supervisors should not make <u>undue</u> allowances for such reasons as the employee's poor health, home problems, age, or length of service. While short-term exceptions to the volume standard can sometimes be made, care should be exercised to see that proper warnings are issued when indicated.
- 14. <u>Meeting Deadlines</u>: If work schedules are important enough to set reasonable deadlines, were these deadlines met? If the employee could not meet deadlines, did he give advance notice? Did he show an honest attempt to meet deadlines?
- 15. Accepts Responsibility: Refers to the degree of willingness an employee exhibits when given responsibility and the manner in which the responsibility is carried out. Does the employee readily accept responsibility or does he avoid it? Does he deny his responsibility when things go wrong? Or is he quick to own up to his failures? Does he consistently act in a responsible manner?
- 16. <u>Accepts Direction</u>: The word "direction" as used here is synonymous with such words as supervision, training, and instruction. Does the employee demonstrate that he has accepted the direction by carrying out the direction to the best of his ability? Does he chronically challange supervision, instruction, or orders? Does he meekly or passively accept directions he thinks may be faulty? Does he blindly or maliciously carry out such directions? Is he resentful of direction or supervision? Does he accept direction, but complain about it to fellow employees?

- 17. <u>Accepts Change</u>: Use this factor to evaluate the traits of adaptability and flexibility. Does the employee accept change willingly? Does he slow down progress or cause inefficiencies by resistance to change? Does he adapt satisfactorily to new work surroundings, new equipment, new procedures, new supervisors?
- 18. Effectiveness Under Stress: There are some positions where pace, pressure, and tempo are consistently demanding. Is the employee capable of meeting rapidly changing deadlines? Can he produce an acceptable volume and quality of work in an emergency? Is his work generally organized well enough to meet unforeseen contingencies? Before marking this factor, consider whether stress is inherent in the position or results from the employee's failure to properly plan and organize his work.
- 19. <u>Appearance of Work Station</u>: Refers to the neatness and efficient arrangement of work areas. Does the appearance of the employee's work station affect the quality of work conducted there? Does the appearance of the work station contribute to a desirable work atmosphere or a proper public image?
  - 20. Operation and Care of Equipment: Reflects the employee's concern for safe, responsible, and reasonable operation or use of equipment. Is the employee concerned with conservation of equipment? Does he request appropriate maintenance and repair of equipment when necessary?
  - 21. Work Coordination: Measures specifically the necessary coordination of work which directly or indirectly involves other employees, sections, departments, or divisions. Characteristics of this factor include preplanning, timing, and a consistent excellence of work judgments. In situations where work coordination is applicable, does the employee consistently maintain a smooth flow of work materials? Has the production process been slowed because of obstructions caused by the employee?
  - 22. <u>Initiative</u>: Refers to initiation of action by the employee. While initiative shows up in the form of suggestions and constructive criticism, it is most obvious when the employee acts to produce more efficient, productive, or economical methods and procedures. Does the employee show self-reliant enterprise? Does he take opportunities to exercise initiative or must he be prodded into action? Is he alert to operating efficiency and cost-cutting? Is he inventive? Does he offer practical constructive criticism?

23. Spaces 23 - 28 have been left blank for additional factors the rater may consider necessary in achieving a view of the employee's total job effectiveness.

Factors such as oral or written expression, thoroughness, or accuracy may figure significantly in fulfilling the requirements of a particular position. Intangible qualities, such as integrity, patience, and courage, usually refer to character or personality traits, not to an employee's performance, and should be avoided as evaluation factors unless a direct relationship can be demonstrated.

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

- 29. <u>Planning and Organizing</u>: Knowledge, talent, and mental effort are required in planning and organizing the work of subordinates. Does the supervisor constantly keep alert to possibilities of work simplification? How well does he analyze and then put into effect improved and more efficient work processes? Does he plan improvements or changes and effect them in a logical and systematic manner?
- 30. <u>Scheduling and Coordinating</u>: This is the next logical step and is a critical phase of the supervisor's function. Does the supervisor effect the necessary scheduling or rescheduling of work? Does he provide the necessary personal coordination of the work, not only among his subordinates, but, more importantly, between the other work sections, departments, and divisions? When schedules are changed in some work areas, does he provide for the maintenance or adjustment of related work schedules elsewhere?
- 31. Training and Instructing: Training refers to orientation of new employees or to the demonstration and exploration of technical methods, procedures, and rules in which the new employee cannot be expected to be competent. It also refers to introducing permanent employees to changing materials, methods, procedures, and techniques, as well as improving basic qualifying skills to their highest potential level. Instructing, while allied to training, refers more to day-to-day, or periodic, surveillance and supervision of employee performance. It may be an occasional word about such things as telephone techniques, or how to put a sharper edge on a cutting tool; or it may be a planned periodic get-together of a small group of employees in which effective methods, techniques, and standard procedures are explained, demonstrated, and reviewed. Does the supervisor plan and carry out a program of departmental orientation and training for new employees? Does he provide for the correction of any technical skill deficiencies in new employees? Does he provide training for permanent employees in new methods and procedures? Does he assist employees in self-development programs?
- 32. Productivity: This factor is designed to measure the results achieved by the supervisor and his subordinates. Are assigned functions accomplished? Completely? On Time? Is the quality of work produced by the supervisor and his staff up to standard? Does the supervisor find ways to accomplish the "impossible"? Does he improvise and find other ways to make up for the failures of others? Does he anticipate work schedule programs, or is he surprised and "caught short" when these occur? Does he offer excuses instead of reasons? Does he keep <u>his</u> supervisor informed of problems and delays, or does he wait until these may be discovered, or until it is too late for other planning adjustments? Is he willing to permit lowered quality standards in favor of meeting schedules? Is he unwilling to adjust or revise schedules once they are set, even though they develop impracticalities or impose undue hardship on others?

- 33. Evaluating Subordinates: Measures the accuracy and manner in which the supervisor approaches and completes the formal evaluation of his subordinates. Does the supervisor exhibit a good balance of constructive criticism and praise in evaluating employees? Does he indicate how an employee's work may be improved, when improvement is needed? Are his evaluations positive contributions to employee development? Are his evaluations consistently objective, fair, and accurate?
- 34. Judgments and Decisions: Refers to the practical exercise of authority and responsibility by the supervisor. Does the supervisor exhibit firmness and fairness in judgments affecting employees? Is he accurate in making judgments affecting functional goals? Does he cause resentment or other adverse reactions to his decisions because of poor timing or the manner in which he states them? Are his judgments always in accord with the best interests of the agency? Does he balance employee and agency interests when these are not fully compatible?
- 35. Leadership: Does the supervisor spur subordinates to their best efforts through examples and force of personality rather than by relying on the authority of his position? Does he mold them into a group or team whose cooperative and willing endeavors surpass their individual performances collectively? Does his intelligent exercise of leadership create an atmosphere in which employee attitudes are optimistic and positive, in which production potentials are consistently realized, and in which the goals of the organization are consistently met or exceeded?
- 36. Operational Economy: Refers to the conservation of time and material. Is the supervisor truly budget conscious? Does he live within his budgets? Does he make careful and accurate budget estimates? Does he know, or periodically calculate, operational costs for units or phases of his operational responsibilities? Is he able to identify uneconomical procedures, methods, tools, or equipment? Does he recommend changed policies or procedures which might effect dollar economies?
- 37. Supervisory Control: Refers to the maintenance of order in all areas of supervisory jurisdiction. Do the supervisor's employees perform their duties and functions in an orderly and disciplined manner which is in harmony with the environment and which promotes work objectives? Do the employees have a clear understanding of behavior and performance standards which are expected? Does the supervisor enforce these standards consistently? Is the supervisor "accepted" by his subordinates and in full control at all times? Is the discipline and control too oppresive?
- 38. Spaces 39 41 have been left blank for any additional supervisory factors the rater feels should be included as determinants of supervisory effectiveness necessary to the position of the employee being evaluated. These may come under the heading of particular qualities or skills, without which effective supervision cannot be achieved. Intangible qualities and references to character or personality traits should, however, be avoided.

