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# performance evaluation report

# explanation for employees

MAY, 1965  
IOWA EMPLOYMENT SECURITY COMMISSION  
PERSONNEL DEPARTMENT

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Why Do We Have Performance Evaluation  
Reports. . . . . 1

The Performance Evaluation Interview. . . . . 2

The Rating Form

Factors On Which You May Be Rated. . . . . 3

Let's Not Compare Ratings. . . . . 6



## WHY DO WE HAVE PERFORMANCE EVALUATION REPORTS?

Performance evaluation reports, or efficiency ratings, or service ratings, or whatever they may be called, are common in business, industry, and government. They are used for many purposes by various firms or agencies. They may be used to identify likely candidates for promotion. They may be used to determine which employees are to be retained in case of a reduction in force. They may be used to disclose a need for training or retraining. They provide a check for determining whether or not to grant permanent status at the end of a probationary period. Ratings are frequently a basis for counseling employees to increase their usefulness and value to the organization and employee's interest in and satisfaction in their work.

In our organization, it is intended that service ratings be used primarily for these purposes:

1. As a tool to determine who is to be retained in case of a reduction in force, an employee's last three service ratings are given a numerical value and averaged. The average is added to a number determined by the employee's length of service. This total gives the employee's retention point score.
2. As an aid to decision on permanent status for a probational employee. In this instance an employee is rated at three months and again at five months which should ensure him of an opportunity to correct any deficiencies before the final decision.
3. To some extent in promotions. However there could be an individual who was very efficient on his present job who had not demonstrated his potential for the higher job. Many other considerations beyond performance on the present job must be made in selecting for promotion.
4. Most importantly, as a device that will insure that employees are counseled periodically by their supervisors. The emphasis will be on ways in which the employee can improve himself and his value to the agency. We think it follows naturally that the employee's satisfaction in his job will also improve if he feels that he is growing and that he is valuable to his agency.



## THE PERFORMANCE EVALUATION INTERVIEW

When you are rated, your supervisor will talk to you in private. He will have prepared a Performance Evaluation Report which you are to read and discuss with him. A copy of this form appears as the next page. He will have rated you as either not satisfactory, requiring improvement, meeting standards, or exceeding them with respect to a number of factors in your performance of your job. These factors (see form) may range from attendance, grooming and dress, safety practices to job skill level, volume of work, acceptance of change, effectiveness under stress, initiative, etc. A later section of this book will explain these factors and list some of the considerations made in arriving at the ratings.

The form also affords space to record job strengths and incidents of superior performance. It allows for recording goals or Improvement Programs for you to concentrate on to improve your job performance and consequently your next rating. Space is allowed for recording progress made in attaining goals set up on previous ratings.

The Summary Evaluation is your overall rating and at the conclusion of the interview you will be asked to date and sign the sheet. You will be given a copy. One copy will be retained in your department or local office, and one will be forwarded to the Personnel Department for inclusion in your Personnel File.

Please note that your signature does not necessarily imply agreement with the rating and that you may so state under comments in this section of the form.

If you disagree with individual factor ratings, you may discuss these with your supervisor. Calm and candid discussion might clear up misunderstandings that exist. If this should result in changes in rating by the supervisor, the corrections should be made in ball point and you and the supervisor will initial them at each point where corrections are made.

Not every factor will be rated for each job. If the factor does not apply to your job, a check will appear in the "does not apply" column.

References are made in this rating form to "standards." We do not, at this time, have written performance standards. At the present stage of knowledge in this area, sound standards are not easy to produce. Where production and inspection records are kept on individual workers, as in the case in factories, sound and valid standards have been prepared, but many of our jobs almost defy such analysis.

Hence, the department head and the supervisors who have the responsibility for and the knowledge of the work processes under their supervision have also the responsibility for setting the pace for their phase of the work and judging how well the employees measure up.







## INSTRUCTIONS

### FOR USE OF THE PERFORMANCE EVALUATION REPORT FORM

- GENERAL:** 1. Markings and comments should be typed or written with ball point pen. The rater should then review the rating with the employee in a private interview. *All signatures shall be in ink. Changes and corrections shall be initialed by the employee.*
2. If space for comments is inadequate, similarly dated and signed attachments may be made (either typewritten or in ink).
  3. *Due dates* shall be observed, and are particularly important for final probationary reports. Filing dates for these are flexible, and both the first and the final reports *may* be filed at any time *between* their receipt and the *printed due date*.
  4. *All probationers* shall be evaluated not later than the end of their third full month of probationary service. Probationers may be separated *at any time* such action is deemed necessary by the department head, through use of either a scheduled or an unscheduled performance evaluation report.
  5. *All permanent employees* shall be evaluated annually as of the printed due date.
  6. *Unscheduled reports* may be filed *at any time* for either permanent or probationary employees.
  7. The "Performance Evaluation Report: "Supervisor's Handbook", should be consulted for suggestions, definitions, interpretations, and further instructions.
  8. All performance evaluation reports in an employee's Personnel Department file are subject to review by department heads whenever the employee is considered for transfer or promotion.

**SECTION A:** Check (✓) one column for each factor. Column (e) may be checked when a factor is not considered applicable to a particular job. Additional spaces have been provided to write in any additional factors. Each check mark in Column (a) *requires* specific explanation in Section E.

**SECTION B:** May be used to describe outstanding qualities or performances, particularly when check marks in Column (d) do not seem adequately descriptive.

**SECTION C:** Use to record progress or improvements in performance resulting from employee's efforts to reach previously set goals.

**SECTION D:** Record agreed-upon or prescribed performance goals for the next evaluation period.

**SECTION E:** Give specific reasons for check marks in Column (a). Explanations of check marks in Column (b) are optional. Record here any other specific reasons why the employee should not be recommended for permanent status, or—if the employee is already permanent—any specific reasons for required improvement.

**SUMMARY EVALUATION:** Check the overall performance here, taking into account all factors and total performance over the full period of service being evaluated.

*Exceeds Standards:* Total performance is well above normal standards for the position. This evaluation should be reflected by marks for critical factors in Section A, and superior or excellent performance should be noted in Section B. Only a few employees would normally qualify for this rating.

*Effective—Meet Standards:* Consistently competent performance meeting or exceeding standards in all critical factors for the position. If margin is narrow and standards barely met, explain in Section E. Most employees would be rated in this category.

*Requires Improvement:* Total performance periodically or regularly falls short of normal standards. Specific deficiencies should be noted in Section E. This evaluation indicates the supervisor's belief that the employee can and will make the necessary improvements.

*Not Satisfactory:* Performance clearly inadequate in one or more critical factors as explained or documented in Section E. Employee has demonstrated inability or unwillingness to improve or to meet standards. Performance not acceptable for position held.

**SIGNATURES:** Both the rater and the employee shall date and sign the report. The employee's signature indicates that the conference has been held and that he has had an opportunity to read the report. If he refuses to sign for any reason, explain that his signature does not necessarily imply or indicate agreement with the report, and that space is provided for him to state any disagreement. Further refusal to sign shall be recorded on the report, after which it shall be forwarded.

**APPEAL:** Evaluation reports express the judgment and opinions of supervisory authority, and as such are not subject to appeal under rules of the Merit System *unless* there has been a resultant action taken to suspend, demote, or dismiss a *permanent* employee.



## FACTORS ON WHICH YOU MAY BE RATED

1. Observance of Work Hours  
Refers to punctuality with respect to starting work, returning from lunch or breaks.
2. Attendance  
These situations may be considered, if pertinent: If sick leave, barring serious and protracted illness, has been greater than average, is medical care needed? Have frequent short illnesses been costly to the agency or harmful to the morale of co-workers who must carry extra loads? Is there a Friday-Monday or holiday pattern of sick leave use?
3. Grooming and Dress  
Are to be rated in accordance with the duties and location of the job. A stockroom worker, for example, might properly dress less formally than someone who meets the public.
4. Compliance with Rules
5. Safety Practices  
Are applicable even in an office situation. A fellow worker might trip over an open file drawer or a poorly placed extension cord, etc.
6. Public Contacts  
Refer to in-person, telephone, or written communications and also day-to-day appearances before the public. We hope to reflect a public image of a courteous, helpful, and business-like organization.
7. Employee Contacts  
Refer to one's ability to work harmoniously with others and to treat others with respect and courtesy. It does not apply to personal popularity or lack of it.
8. Knowledge of Work  
Applies to the knowledge which can only be acquired on the job: agency, departmental, unit policies, regulations, and procedures. For the probationary employee it would refer to his interest in and ability to learn the policies, regulations, and procedures. See No. 11 below.
9. Work Judgments
10. Planning and Organizing  
Applies to individual workers (Indians) as well as supervisors (Chiefs). The worker can plan the sequence of steps required in carrying out his tasks to save time and meet deadlines.



11. Job Skill Level  
Relates to the mental and/or manual skills in a position. It would apply to typing skills for a typist, key punch ability for a key punch operator, knowledge of programming for a programmer, knowledge of accounting skills for an accountant, etc. The supervisor might ask: Has the employee made any effort to improve his basic skill levels? Does he have potential for acquiring or developing his job skills to a higher level of proficiency? Has he taken advantage of out-service training? Does he read technical publications related to his work?
12. Quality of Work
13. Volume of Acceptable Work
14. Meeting Deadlines
15. Acceptance of 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. Accepts Direction  
Does the employee demonstrate that he has accepted the direction by carrying it out to the best of his ability? Does he chronically challenge supervision, instruction, or orders? Is he resentful of direction?
17. Accepts Change  
Sometimes changes are dictated by legislative action or other outside source and must be accepted. Usually changes are made in an effort to do work better or more efficiently. In which case, we must adapt ourselves to new work surroundings, new equipment, new procedures, new supervisors.
18. Effectiveness Under Stress  
If workload or time factors demand, can we squeeze out that extra effort to keep pace and still produce quality work?
19. Appearance of Work Station  
Refers to neatness and efficient arrangement of our own individual work space.  
  
Does the appearance of the work station contribute to a desirable work atmosphere and reflect a business-like image to the observer?



20. Operation and Care of Equipment  
Reflects an employee's concern for safe, responsible, and reasonable operation or use of equipment. Does he clean equipment adequately? Does he request appropriate maintenance and repair when necessary?
21. Work Coordination  
Measures willingness to coordinate work with other employees, other sections, other departments.
22. Initiative  
Refers to initiation of action by the employee. Does the employee show self-reliant enterprise? Does he take opportunities to exercise initiative or must he be prodded into action? Is he inventive?
- 23- Your supervisor may here add factors he considers pertinent to  
28 your particular job.



## LET'S NOT COMPARE RATINGS

Boasting about a superior rating may not make you very popular with your neighbor who has not yet qualified for this rating. It may create much unhappiness.

If your rating is less than satisfactory to you, this is a matter for you to work out with your supervisor by yourself. You and he or she should discuss the situation calmly and thus arrive at the necessary steps you must take to improve the rating.



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