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Publication Date

1988-03-01

Lawrence Berkeley Laboratory

PUB-3063 Rev.
March 1988 c.1

Performance/Progress Review Process Guide

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Prepared for the U.S. Department of Energy under Contract DE-AC03-76SF00098



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PERFORMANCE/PROGRESS REVIEW
PROCESS GUIDE

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This work was supported by the U.S. Department of Energy
Contract DE-AC03-76SF00098

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INTRODUCTION

The Performance/Progress Review was implemented in 1987 in three divisions: Applied Science, Engineering, and Information and Computing Sciences. This year all divisions will participate in the Review. The process involves a Performance/Progress Review that replaces the former Performance Appraisal System and its forms. Compared with the former system, the Performance/Progress Review process

- provides more detailed guidance to the supervisor and the employee
- provides for considerably more employee participation in the process
- provides for more opportunity for employee-supervisor interaction on an informal basis
- places an increased emphasis on employee development
- eliminates the letter code ratings EMIF (Exceeds Expectations, Meets Expectations, Improvement Needed, Fails to Meet Expectations)

The process requires that each division develop a Performance/Progress Review Implementation Plan that includes the following areas:

- o Selection of Divisional Implementation Coordinators
- o Supervisory Training
- o Communication Materials
- o Divisional Procedures
- o A Schedule for Conducting the Performance/Progress Review

The Implementation Plan must be submitted by March 18, 1988 to the Personnel Department for review and approval.

Associate Laboratory Directors and Division Heads are jointly responsible for ensuring that their career employees are appraised in accordance with the Laboratory's performance review policy (Regulations and Procedures Manual, 2.03A).* The Division Heads are responsible for implementing the Performance/Progress Review System in their organizations.

The Performance/Progress Review policy guidelines, the procedural steps in conducting the Performance/Progress Review, and the instructions on how to fill out the forms are provided in Appendix A. You will also find these instructions enclosed in each Review form folder when you order your supply of forms.

This Process Guide is a resource document to provide clarification and assistance to those responsible for conducting the Performance/Progress Review and to help you to inform your employees more fully of the process and its implementation.

A Timeline for completing the process is outlined on page 2.

* RPM 2.03 is being revised.

PERFORMANCE/PROGRESS REVIEW
IMPLEMENTATION TIMELINE

1988

- 1/21-3/17 Select divisional implementation coordinators
Design supervisory training program
Develop communication materials
Develop divisional procedures and schedule
- 3/18 Submit Plan to Personnel Department for review and approval
- 3/25 Personnel completes review of implementation plans
- 3/28-4/1 Divisions complete training-workshop and communication materials
- 4/4-15 Divisions train supervisors
Communicate Performance/Progress Review process and procedure to employees
- 4/17-6/17 Supervisors conduct the Performance/Progress Review

PURPOSE OF THE PERFORMANCE/PROGRESS REVIEW

The purpose of the Performance/Progress Review is to help employees succeed in their current jobs and to develop their potential at the Laboratory.

More specifically, the objectives of the Laboratory's performance/progress system are to

- o Provide employees and supervisors with a mutual understanding of job responsibilities and a yearly review of performance and progress.
- o Develop and maintain positive attitudes and open communication between employees and their supervisors.
- o Encourage discussion of employee career development.
- o Provide input to the salary management process.

The Performance/Progress Review is a positive, highly interactive process involving communication between employees and supervisors regarding assignments, development plans, goals, accomplishments, and problems. *The Performance/Progress Review reflects the performance of the individual in the assignment. It does not compare employees in the same or similar jobs.*

Furthermore, the Performance/Progress Review process is intended to improve communication between supervisor and employee and to create an atmosphere that allows a candid approach to performance review as an ongoing process. Communication should not end when the Performance/Progress Review form is signed: it should continue as employee and supervisor interact and communicate throughout the next review period. Communication should include periodic job-focused discussions based on the employee's job duties and responsibilities. The employee and supervisor can discuss possible changes in job priorities, unforeseen difficulties in meeting job expectations, and progress in the employee's development plan and whether job standards are being met.

PERFORMANCE/PROGRESS REVIEW FORMS

Four Performance/Progress Review forms in two format styles have been designed for use in the following broad classification categories:

- o Scientists and Engineers - Narrative Format
- o Management and Administrative Professionals - Narrative Format
- o Technical - Guided Narrative Format
- o Administrative Employees - Guided Narrative Format

The Narrative format designed for **Scientists and Engineers** calls for analysis in four separate categories: accomplishments, professional service, managerial responsibilities, and job-related communication characteristics; whereas, the narrative form for **Management and Administration Professional Employees** calls for an analysis in five general topic areas: organization, planning, and delegation; problem solving and decision making; personnel management and supervision; conflict management and communication; and professional service.

The Guided Narrative format for **Administrative Employees** (nonrepresented only) contains boxes for supervisors to check describing performance as "High", "Recommend Strengthening" or "Not Adequate" - under several headings such as quality and quantity of work, oral and written communications, administrative knowledge, and supervision required. In addition, the form contains one box for "Progress - supervisor comment" and one for "Not Applicable."

The **Technical Employees** (nonrepresented only) form also contains performance boxes to be checked as indicated above, with headings such as accuracy of work, supervision required, responsibility for materials and equipment, safety, and quantity of work. This form also contains one box for "Progress - supervisor comment" and one for "Not Applicable."

All four forms contain a summary section and an employee development section and provide space for employee comments.

Enclosed in each form folder are the Guidelines for Conducting the Annual Performance/Progress Review, which include procedural steps in conducting the Performance/Progress Review and instructions on how to fill out the forms. The Guidelines are in Appendix A of this Process Guide.

The specific classifications associated with each of the four employee categories are shown on each form; however, supervisors can elect to use whichever form best accommodates the employee's actual job duties and responsibilities. Should these forms be deemed inappropriate for certain classifications, modifications are allowed. The modified form, however, must be reviewed and approved by the Personnel Department before it is used.

Sample completed Performance/Progress Review forms are in Appendix B. They provide examples of how the forms are to be completed and show the printed-form format as well as the "electronic-form" format.

NOTE: "Electronic forms" are available for use on Macintosh, UNIX, IBM, WANG, and TeX. To obtain the appropriate diskette, you may contact the Workstation Group in the Computer Center, Bldg. 50B/2239, extension 6858, or the Word Processing/Composition Group in the Technical Information Department, Bldg. 90/2125, extension 6705. Completed electronic forms are to be inserted in the Review form folder.

WORKSHEETS

The following forms are enclosed in each form folder:

- Employee Worksheet - Attachment A
- Supervisor Worksheet - Attachment B
- Job Description - Attachment C

Instructions on completing the worksheets and job-description form follow.

Although the employee has the option of not completing the Employee Worksheet (Attachment A), the supervisor must complete the Supervisor Worksheet (Attachment B). The Performance/Progress Review involves an interactive exchange of information between employee and supervisor, and the informality of the worksheet is important. It is intended for use as "working papers" during the meeting that follows the worksheet exchange. The worksheets should be completed using short, clear statements.

Employee Worksheet. The Employee Worksheet (Attachment A) describes from the employee's point of view the employee's past accomplishments, special assignments, training, honors, awards, performance problems, developmental goals, possible changes to the assigned job duties and responsibilities, and any other topics or problem areas that the employee would like to discuss with the supervisor. The employee worksheet may be maintained in the form folder, if the employee so desires.

Supervisor Worksheet. The Supervisor Worksheet (Attachment B) describes from the supervisor's point of view anticipated changes in responsibilities or duties, suggestions on professional development, performance problems, etc.

The informal statement on the worksheets may be reflected in the final version of the Performance/Progress Review. The supervisor's worksheet is to be maintained in the form folder. Sample completed worksheets are in Appendix B.

JOB DESCRIPTION

It is very important that the supervisor prepares a concise, but complete, job description listing the major job responsibilities, in order of importance. By ranking job responsibilities and identifying changes in job content, supervisors and employees should arrive at the same understanding of responsibilities, which should be emphasized in meeting short- or long-term objectives. Sample completed job descriptions are in Appendix B.

ANNUAL SUPPLEMENT TO THE PROFESSIONAL RESUME (ASPR)

Scientists and Engineers are encouraged to complete the LBL Annual Supplement to the Professional Resume (ASPR), to be attached to the final version of the Performance/Progress Review. The ASPR is considered an important component of the Performance/Progress Review.

SUMMARY STATEMENT

The Performance/Progress Review form provides a space for a Summary Statement. The supervisor's Summary Statement should be a concise summary of the information in the Performance/Progress Review that indicates the overall performance and progress of the employee. There is a need for a consistent approach within each Division as to the language used.

It is imperative that the Summary Statement be consistent with the body of the Performance/Progress Review. For example, a summary that describes performance as significantly above or below the "high level expected" must be supported by information throughout the Performance/Progress Review text.

EMPLOYEE DEVELOPMENT

It must be recognized that responsibility for employee development rests with the employee. Supervisors, however, are expected to encourage and help the employee to establish development plans that will result in more effective performance or that will enhance the employee's career opportunities.

There are many activities that employees can undertake for development. Examples are accepting new responsibilities in the current job; accepting short-term tasks outside the current job; accepting special assignments such as appointments to committees, task forces, or work groups; and engaging in self education. Employee development may extend to more formal training such as a short training course in new techniques or procedures appropriate to the job.

The Performance/Progress Review form includes a section on Employee Development. The supervisor is to use this section to address an aspect of the employee's performance that has been identified as "recommend strengthening" or "not adequate" or to otherwise indicate that performance needs attention. A hallmark of the best employees is that they are always changing, learning, developing; therefore, supervisors are strongly encouraged to use this section in a positive and forward-looking way for all employees.

On occasion, employee development may extend to formal education, if the supervisor determines that it will directly benefit the employee's assignment. This may lead to career advancement or a career change, but promotion or reassignment is not guaranteed by completion of any program of formal education.

DIVISION REVIEW

The Performance/Progress Review process provides for a review by the Division Head of the draft Performance/Progress Review before it is discussed with the employee. Each Division will need to develop its own procedure to ensure consistency within the organization.

The signed Performance/Progress Review is sent to the Associate Director for final review and placement in the employee's Personnel file. Employee comments written on the final version of the Performance/Progress Review will be acknowledged by the Associate Director's signature.

A copy of the final Performance/Progress Review is sent to the employee.

APPENDIX A

GUIDELINES FOR CONDUCTING THE ANNUAL PERFORMANCE/PROGRESS REVIEW

SCIENTISTS AND ENGINEERS

Recommended for use in the 100-150 classification series

PURPOSE

The purpose of the Laboratory's performance/progress review is to help develop and motivate employees to contribute to the Laboratory's mission. Further, the review should serve to help employees succeed in their current jobs and develop their potential.

The review is intended to be a positive, highly interactive process. Specific objectives include:

- Providing employees and supervisors with a mutual understanding of job responsibilities and a yearly review of performance and progress
- Developing and maintaining positive attitudes and open communications between employees and their supervisors
- Encouraging discussion of employee career development
- Be consistent with the salary review process and other personnel actions

The performance/progress review is a continuing year-round process involving interaction and communication between supervisors and employees about assignments, development plans, goals, accomplishments, and problems. The employee's performance and progress is documented during the annual performance/progress review. *The performance/progress review reflects the performance of the individual in the assignment. It does not compare employees in the same or similar job.*

PROCESS

Scientists and Engineers at LBL have a wide variety of responsibilities, duties, levels of professional development, and aspirations. The Performance/Progress Review must allow for this variety. There are, however, common areas. The form is designed to take advantage of these areas by providing a guide to both the supervisor and the employee as to items to be considered in the review. The items are suggestive, rather than restrictive or mandatory. Not all of the items will be applicable to the employee, and the applicable ones will certainly not be of equal importance. Parts of the form that are not applicable may be so marked or left blank.

STEPS IN CONDUCTING THE PERFORMANCE/PROGRESS REVIEW

Step 1 Preliminary Material

The employee is encouraged to complete the Lawrence Berkeley Laboratory Annual Supplement to the Professional Resume (ASPR). The ASPR is considered an important component of the Performance/Progress review and may be attached to the final version of the Performance/Progress Review.

The employee may prepare an informal statement of any issues that the employee wants to discuss during the course of the review. These might include a desired change in responsibilities or duties, aspirations toward professional development, job-related difficulties, etc. The informal statement would normally be reflected in the final version of the Performance/Progress Review and may be attached to the final version, if desired. (Attachment A is the employee worksheet; Attachment B is the supervisor worksheet; Attachment C is the insert for Current Job Description, and it must be placed in the Performance/Progress Review form.)

The supervisor prepares a draft of the Current Job Description using the Appendix A to Contract 98 guidelines in establishing appropriate job content for each job classification. This information, as modified during the course of the review, becomes part of the final version of the Performance/Progress Review.

The supervisor must prepare an informal statement of any issues that the supervisor wants to discuss during the course of the review. These might include anticipated changes in responsibilities or duties, suggestions toward professional development, performance problems, etc. The informal statement would normally be reflected in the final version of the Performance/Progress Review and must be attached to the final version.

Step 2 Exchange of Material

The supervisor and employee exchange the above material several days before meeting to discuss it.

Step 3 Initial Meeting

The employee and supervisor meet to discuss the preliminary material, any special topics or problems, and the supervisor's intent regarding the content of the Performance/Progress Review.

At this stage both the employee and supervisor should have a common understanding (not necessarily agreement) as to the general thrust of the draft Performance/Progress Review.

Step 4 Written Draft of Performance/Progress Review

The supervisor prepares a written draft of the Performance/Progress Review.

Step 5 Management Review of Draft Performance/Progress Review

The Associate Director reviews the draft Performance/Progress Review. The nature of this review is at the discretion of the Associate Director but should generally focus on omissions, unclear or incorrect statements, etc.

Step 6 Copy of Draft Performance/Progress Review to Employee

After making modifications (if any) to the draft Performance/Progress Review as a result of the management review, the supervisor gives the employee a copy and schedules a discussion meeting.

Step 7 Performance/Progress Review Meeting

The supervisor and employee meet to discuss the Performance/Progress Review. The document is modified as necessary to correct errors of fact.

The employee is encouraged to add comments to the document.

Both the employee and supervisor sign the document.

Step 8 Disposition of the Review

The signed Performance/Progress Review is sent to the Associate Director for final review and placement in the employee's Personnel File. Employee comments written on the final version of the Performance/Progress Review will be acknowledged by the Associate Director's signature.

A copy of the final Performance/Progress Review is sent to the employee.

HOW TO FILL OUT THE NARRATIVE FORM

The narrative form contains four separate categories: accomplishments, professional service, managerial responsibilities, and job-related communications characteristics.

PERFORMANCE AND PROGRESS ANALYSIS

The employee's Annual Supplement to the Professional Resume (ASPR) may be attached to this Performance/Progress Review. Thus the supervisor's entry in a given category need not repeat the information contained in the ASPR. Also, the response need not repeat information contained in the Current Job Description. Rather, the supervisor should concentrate on an analysis of the employee's performance and progress in the categories, taking into account the employee's job description and classification, and the expectations for a professional as expressed in Appendix A. The analysis for each category would normally address one or more of:

- the expectations of the supervisor
- an indication of the level of performance—the quality and quantity of the work
- identification of areas needing attention during and/or subsequent to the next review period
- improvements in performance, or declines in performance, as compared to the previous Performance/Progress Review

SUMMARY OF ANALYSIS

A concise integration of the above information indicates the overall performance and progress of the employee.

EMPLOYEE DEVELOPMENT

The Employee Development Section identifies three areas: short-range plans, long-range plans, and professional development.

If the supervisor's response to a category under Performance and Progress Analysis was identified as needing attention, then either short- or long-range plans should be addressed. Supervisory comments should include approaches for strengthening the employee's skill level.

The area of professional development could address such subjects as a change in the employee's duties, roles, or responsibilities; advancement through the Staff Scientist and/or to Senior Scientist series; advancement to a leadership position; or enhanced recognition in the scientific community.

It must be recognized that the responsibility for employee development rests with the employee; however, supervisors are encouraged to identify development plans which will result in more effective performance by the employee.

EMPLOYEE COMMENTS

Space is provided for employee comments. Employees are encouraged to comment.

SIGNATURES

Space is provided for employee, supervisor, and division head signatures. The employee's signature acknowledges that the Written Review has been read and that a discussion has taken place, but not that the employee necessarily agrees with the Review.

GUIDELINES FOR CONDUCTING THE ANNUAL PERFORMANCE/PROGRESS REVIEW

MANAGEMENT AND ADMINISTRATIVE PROFESSIONAL EMPLOYEES

*Recommended for use in the following classifications (nonrepresented employees only):
167.4-5, 168.4-5, 180.1-2, 191.1-5, 194.1-5, 199.1-4, 280.1-3, 344.0-1, 345.0-1*

PURPOSE

The purpose of the Laboratory's performance/progress review is to help develop and motivate employees to contribute to the Laboratory's mission. Further, the review should serve to help employees succeed in their current jobs and develop their potential.

The review is intended to be a positive, highly interactive process. Specific objectives include:

- Providing employees and supervisors with a mutual understanding of job responsibilities and a yearly review of performance and progress
- Developing and maintaining positive attitudes and open communications between employees and their supervisors
- Encouraging discussion of employee career development
- Be consistent with the salary review process and other personnel actions

The performance/progress review is a continuing year-round process involving interaction and communication between supervisors and employees about assignments, development plans, goals, accomplishments, and problems. The employee's performance and progress is documented during the annual performance/progress review. *The performance/progress review reflects the performance of the individual in the assignment. It does not compare employees in the same or similar job.*

PROCESS

Management and Administrative Professional employees at LBL have a wide variety of responsibilities, duties, levels of professional development, and aspirations. The Performance/Progress Review must allow for this variety. There are, however, common areas. The form is designed to take advantage of these areas by providing a guide to both the supervisor and the employee as to items to be considered in the review. The items are suggestive, rather than restrictive or mandatory. Not all of the items will be applicable to the employee, and the applicable ones will certainly not be of equal importance. Parts of the form that are not applicable may be so marked or left blank.

STEPS IN CONDUCTING THE PERFORMANCE/PROGRESS REVIEW

Step 1 Preliminary Material

The employee may prepare an informal statement of any issues that the employee wants to discuss during the course of the review. These might include a desired change in responsibilities or duties, aspirations toward professional development, job-related difficulties, etc. The informal statement would normally be reflected in the final version of the Performance/Progress Review and may be attached to the final version, if desired. (Attachment A is the employee worksheet; Attachment B is the supervisor worksheet; Attachment C is the insert for Current Job Description, and it must be placed in the Performance/Progress Review form.)

The supervisor prepares a draft of the Current Job Description using the *Appendix A* to Contract 98 guidelines in establishing appropriate job content for each job classification. This information, as modified during the course of the review, becomes part of the final version of the Performance/Progress Review.

The supervisor must prepare an informal statement of any issues that the supervisor wants to discuss during the course of the review. These might include anticipated changes in responsibilities or duties, suggestions toward professional development, performance problems, etc. The informal statement would normally be reflected in the final version of the Performance/Progress Review and must be attached to the final version.

Step 2 Exchange of Material

The supervisor and employee exchange the above material several days before meeting to discuss it.

Step 3 Initial Meeting

The employee and supervisor meet to discuss the preliminary material, any special topics or problems, and the supervisor's intent regarding the content of the Performance/Progress Review.

At this stage both the employee and supervisor should have a common understanding (not necessarily agreement) as to the general thrust of the draft Performance/Progress Review.

Step 4 Written Draft of Performance/Progress Review

The supervisor prepares a written draft of the Performance/Progress Review.

Step 5 Management Review of Draft Performance/Progress Review

The Associate Director reviews the draft Performance/Progress Review. The nature of this review is at the discretion of the Associate Director but should generally focus on omissions, unclear or incorrect statements, etc.

Step 6 Copy of Draft Performance/Progress Review to Employee

After making modifications (if any) to the draft Performance/Progress Review as a result of the management review, the supervisor gives the employee a copy and schedules a discussion meeting.

Step 7 Performance/Progress Review Meeting

The supervisor and employee meet to discuss the Performance/Progress Review. The document is modified as necessary to correct errors of fact.

The employee is encouraged to add comments to the document.

Both the employee and supervisor sign the document.

Step 8 Disposition of the Review

The signed Performance/Progress Review is sent to the Associate Director for final review and placement in the employee's Personnel File. Employee comments written on the final version of the Performance/Progress Review will be acknowledged by the Associate Director's signature.

A copy of the final Performance/Progress Review is sent to the employee.

HOW TO FILL OUT THE NARRATIVE FORM

The narrative form contains five separate sets of topics under the broad heading of General/Specific Management Capabilities: (1) organization of unit/work, planning, and delegation; (2) problem solving and decision making; (3) personnel management and supervision; (4) conflict management and communication; (5) professional service.

PERFORMANCE AND PROGRESS ANALYSIS

The supervisor should concentrate on an analysis of the employee's performance and progress for each set of topics, taking into account the employee's job description and classification, and the expectations for a professional as expressed in Appendix A. The analysis for each set would normally address one or more of:

- expectations of the supervisor
- indication of the level of performance—the quality and quantity of the work
- identification of areas needing attention during and/or subsequent to the next review period
- improvements in performance, or declines in performance, as compared to the previous Performance/Progress Review.

SUMMARY OF ANALYSIS

A concise integration of the above information indicates the overall performance and progress of the employee.

EMPLOYEE DEVELOPMENT

The Employee Development Section identifies three areas: short-range plans, long-range plans, and professional development.

If the supervisor's response to a category under Performance and Progress Analysis was identified as needing attention, then either short- or long-range plans should be addressed. Supervisory comments should include approaches for strengthening the employee's skill level.

The area of professional development could address such subjects as a change in the employees duties, roles, or responsibilities; advancement to a leadership position; or enhanced recognition in the Laboratory community.

It must be recognized that the responsibility for employee development rests with the employee; however, supervisors are encouraged to identify development plans which will result in more effective performance by the employee.

EMPLOYEE COMMENTS

Space is provided for employee comments. Employees are encouraged to comment.

SIGNATURES

Space is provided for employee, supervisor, and division head signatures. The employee's signature acknowledges that the Written Review has been read and that a discussion has taken place, but not that the employee necessarily agrees with the Review.

GUIDELINES FOR CONDUCTING THE ANNUAL PERFORMANCE/PROGRESS REVIEW

TECHNICAL EMPLOYEES

Recommended for use in the 300, 600, 700 classification series; nonrepresented employees only

PURPOSE

The purpose of the Laboratory's performance/progress review is to help develop and motivate employees to contribute to the Laboratory's mission. Further, the review should serve to help employees succeed in their current jobs and develop their potential.

The review is intended to be a positive, highly interactive process. Specific objectives include:

- Providing employees and supervisors with a mutual understanding of job responsibilities and a yearly review of performance and progress
- Developing and maintaining positive attitudes and open communications between employees and their supervisors
- Encouraging discussion of employee career development
- Be consistent with the salary review process and other personnel actions

The performance/progress review is a continuing year-round process involving interaction and communication between supervisors and employees about assignments, development plans, goals, accomplishments, and problems. The employee's performance and progress is documented during the annual performance/progress review. *The performance/progress review reflects performance of the individual in the assignment. It does not compare employees in the same or similar job.*

PROCESS

Technical employees at LBL have a wide variety of responsibilities, duties, levels of professional development, and aspirations. The Performance/Progress Review must allow for this variety. There are, however, common areas. The form is designed to take advantage of these areas by providing a guide to both the supervisor and the employee as to items to be considered in the review. The items are suggestive, rather than restrictive or mandatory. Not all of the items will be applicable to the employee, and the applicable ones will certainly not be of equal importance. Parts of the form that are not applicable may be so marked or left blank.

STEPS IN CONDUCTING THE PERFORMANCE/PROGRESS REVIEW

Step 1 Preliminary Material

The employee may prepare an informal statement of any issues that the employee wants to discuss during the review. These might include a desired change in responsibilities or duties, aspirations toward professional development, job-related difficulties, etc. The informal statement would normally be reflected in the final version of the Performance/Progress Review and may be attached to the final version if requested.

The supervisor prepares a draft of the current job description using Appendix A to Contract 98 guidelines in establishing appropriate job content for each job classification. The supervisor must also prepare an informal statement of any issues that the supervisor wants to discuss during the review. These might include anticipated changes in responsibilities or duties, suggestions on professional development, performance problems, etc. The informal statement would normally be reflected in the final version of the Performance/Progress Review and must be attached to the final version. (Attachment A is the employee worksheet; Attachment B is the supervisor worksheet; Attachment C is the insert for Current Job Description, and it must be placed in the Performance/ Progress Review form.)

Step 2 Exchange of Material

The supervisor and employee exchange the above material several days before meeting to discuss it.

Step 3 Initial Meeting

The employee and supervisor meet to discuss the preliminary material, any special topics or problems, and the supervisor's intent regarding the content of the Performance/Progress Review.

At this stage both the employee and supervisor should have a common understanding (not necessarily agreement) as to the general thrust of the draft Performance/Progress Review.

Step 4 Written Draft of Performance/Progress Review

The supervisor prepares a written draft of the Performance/Progress Review.

Step 5 Management Review of Draft Performance/Progress Review

The Associate Director reviews the draft Performance/Progress Review. The nature of this review is at the discretion of the Associate Director but should generally focus on omissions, unclear or incorrect statements, etc.

Step 6 Copy of Draft Performance/Progress Review to Employee

After making modifications (if any) to the draft Performance/Progress Review as a result of the management review, the supervisor gives the employee a copy and schedules a discussion meeting.

Step 7 Performance/Progress Review Meeting

The supervisor and employee meet to discuss the Performance/Progress Review. The document is modified as necessary to correct errors of fact.

The employee is encouraged to add comments to the document.

Both the employee and supervisor sign the document.

Step 8 Disposition of the Review

The signed Performance/Progress Review is sent to the Associate Director for final review and placement in the employee's Personnel File. Employee comments written on the final version of the Performance/Progress Review will be acknowledged by the Associate Director's signature.

A copy of the final Performance/Progress Review is sent to the employee.

HOW TO FILL OUT THE GUIDED NARRATIVE FORM

Boxes to be marked (X)

The guided narrative form contains three separate boxes under the general heading of Performance: 1) high, 2) recommend strengthening, and 3) not adequate. In addition, the form contains one box for Progress—Supervisor Comment and one for Not Applicable.

- **Performance—High** The supervisor should indicate by marking an X in this box if the employee is operating at the high level of performance expected of an LBL employee. The mark may be supplemented by a supervisory comment in the blank space provided below the list of job factors. In particular, **outstanding** performance should be recognized with a supervisory comment.
- **Performance—Recommend Strengthening** This box would be marked with an X if the employee's performance is satisfactory but could be strengthened. The supervisor should supplement this mark with a comment. In addition, the supervisor should address the job factor in the Employee Development section of the form.
- **Performance—Not Adequate** This box would be marked with an X if the employee's performance is not adequate and needs to be upgraded. The supervisor is required to supplement this mark with a comment and to address the job factor in the Employee Development section of the form.
- **Progress—Supervisor Comment** A mark in this box is **in addition to** a mark in one of the **Performance** boxes and indicates that the supervisor is making a comment on the employee's progress during the review period. For example, the supervisor might check this box as well as **Performance—Recommend Strengthening** if the employee's performance is satisfactory but could be strengthened to merit the mark of **Performance—High**. The supervisor then comments on the nature of the improvement. As another example, suppose the box **Performance—Not Adequate** had been checked in the previous Review and the employee had shown no improvement during the current Review period; then, the supervisor would check both this box and **Performance—Not Adequate** and would comment on the lack of improvement.

OTHER JOB-RELATED FACTORS

The space allowed for other job-related factors is for supervisors to add relevant job factors.

SUMMARY STATEMENT

The space allowed for the summary statement should include a concise integration of the job factors that indicates the overall performance and progress of the employee.

EMPLOYEE DEVELOPMENT

The Employee Development Section identifies three areas: short-range plans, long-range plans, and professional development. If the supervisor marked a box indicating that a job factor recommend strengthening, or was not adequate, then either short- or long-range goals should be addressed. Supervisory comments should include approaches for enhancing the employee's skill level. These approaches could include the setting of goals, milestones, and timelines or identifying educational or training opportunities for specific skills.

The area of professional development could address such subjects as a change in the employee's duties, roles, or responsibilities; advancement in classification; enhanced recognition in the group, department, or division; or identification of a career plan.

It must be recognized that the responsibility for employee development rests with the employee; however, supervisors are encouraged to identify development plans which will result in more effective performance by the employee.

EMPLOYEE COMMENTS

Space is provided for employee comments. Employees are encouraged to comment.

SIGNATURES

Space is provided for employee, supervisor, and division head signatures. The employee's signature acknowledges that the Written Review has been read and that a discussion has taken place, but not that the employee necessarily agrees with the Review.

GUIDELINES FOR CONDUCTING THE ANNUAL PERFORMANCE/PROGRESS REVIEW

ADMINISTRATIVE EMPLOYEES

*Recommended for use in the following classifications; nonrepresented employees only:
166.1, 167.2-3, 168.2-3, 169.2-3, 518.1-5, 519.1, 567.1, 568.1*

PURPOSE

The purpose of the Laboratory's performance/progress review is to help develop and motivate employees to contribute to the Laboratory's mission. Further, the review should serve to help employees succeed in their current jobs and develop their potential.

The review is intended to be a positive, highly interactive process. Specific objectives include:

- Providing employees and supervisors with a mutual understanding of job responsibilities and a yearly review of performance and progress
- Developing and maintaining positive attitudes and open communications between employees and their supervisors
- Encouraging discussion of employee career development
- Be consistent with the salary review process and other personnel actions

The performance/progress review is a continuing year-round process involving interaction and communication between supervisors and employees about assignments, development plans, goals, accomplishments, and problems. The employee's performance and progress is documented during the annual performance/progress review. *The performance/progress review reflects the performance of the individual in the assignment. It does not compare employees in the same or similar job.*

PROCESS

Administrative employees at LBL have a wide variety of responsibilities, duties, levels of professional development, and aspirations. The Performance/Progress Review must necessarily allow for this variety. There are, however, common areas. The form is designed to take advantage of these areas by providing a guide to both the supervisor and the employee as to items to be considered in the review. The items are suggestive, rather than restrictive or mandatory. Not all of the items will be applicable to the employee, and the applicable ones will certainly not be of equal importance. Parts of the form that are not applicable may be so marked or left blank.

STEPS IN CONDUCTING THE PERFORMANCE/PROGRESS REVIEW

Step 1 Preliminary Material

The employee may prepare an informal statement of any issues that the employee wants to discuss during the review. These might include a desired change in responsibilities or duties, aspirations toward professional development, job-related difficulties, etc. The informal statement would normally be reflected in the final version of the Performance/Progress Review and may be attached to the final version if requested.

The supervisor prepares a draft of the current Job Description using Appendix A to Contract 98 guidelines in establishing appropriate job content for each job classification. The supervisor must also prepare an informal statement of any issues that the supervisor wants to discuss during the review. These might include anticipated changes in responsibilities or duties, suggestions on professional development, performance problems, etc. The informal statement would normally be reflected in the final version of the Performance/Progress Review and must be attached to the final version. (Attachment A is the employee worksheet; Attachment B is the supervisor worksheet; Attachment C is the insert for Current Job Description, and it must be placed in the Performance/ Progress Review form.)

Step 2 Exchange of Material

The supervisor and employee exchange the above material several days before meeting to discuss it.

Step 3 Initial Meeting

The employee and supervisor meet to discuss the preliminary material, any special topics or problems, and the supervisor's intent regarding the content of the Performance/Progress Review.

At this stage both the employee and supervisor should have a common understanding (not necessarily agreement) as to the general thrust of the draft Performance/Progress Review.

Step 4 Written Draft of Performance/Progress Review

The supervisor prepares a written draft of the Performance/Progress Review.

Step 5 Management Review of Draft Performance/Progress Review

The Associate Director reviews the draft Performance/Progress Review. The nature of this review is at the discretion of the Associate Director but should generally focus on omissions, unclear or incorrect statements, etc.

Step 6 Copy of Draft Performance/Progress Review to Employee

After making modifications (if any) to the draft Performance/Progress Review as a result of the management review, the supervisor gives the employee a copy and schedules a discussion meeting.

Step 7 Performance/Progress Review Meeting

The supervisor and employee meet to discuss the Performance/Progress Review. The document is modified as necessary to correct errors of fact.

The employee is encouraged to add comments to the document.

Both the employee and supervisor sign the document.

Step 8 Disposition of the Review

The signed Performance/Progress Review is sent to the Associate Director for final review and placement in the employee's Personnel File. Employee comments written on the final version of the Performance/Progress Review will be acknowledged by the Associate Director's signature.

A copy of the final Performance/Progress Review is sent to the employee.

HOW TO FILL OUT THE GUIDED NARRATIVE FORM

Boxes to be marked (X)

The guided narrative form contains three separate boxes under the general heading of Performance: 1) high, 2) recommend strengthening, and 3) not adequate. In addition, the form contains one box for Progress—Supervisor Comment and one for Not Applicable.

- **Performance—High** The supervisor should indicate by marking an X in this box if the employee is operating at the high level of performance expected of an LBL employee. The mark may be supplemented by a supervisory comment in the blank space provided below the list of job factors. In particular, **outstanding** performance should be recognized with a supervisory comment.
- **Performance—Recommend strengthening** This box would be marked with an X if the employee's performance is satisfactory but could be strengthened. The supervisor should supplement this mark with a comment. In addition, the supervisor should address the job factor in the Employee Development section of the form.
- **Performance—Not Adequate** This box would be marked with an X if the employee's performance is not adequate and needs to be upgraded. The supervisor is required to supplement this mark with a comment and to address the job factor in the Employee Development section of the form.
- **Progress—Supervisor Comment** A mark in this box is **in addition to** a mark in one of the **Performance** boxes and indicates that the supervisor is making a comment on the employee's progress during the review period. For example, the supervisor might check this box as well as **Performance—Recommend Strengthening** if the employee's performance is satisfactory but could be strengthened to merit the mark of **Performance—High**. The supervisor then comments on the nature of the improvement. As another example, suppose the box **Performance—Not Adequate** had been checked in the previous Review and the employee had shown no improvement during the current Review period; then, the supervisor would check both this box and **Performance—Not Adequate** and would comment on the lack of improvement.

OTHER JOB-RELATED FACTORS

The space allowed for other job related factors is for supervisors to add relevant job factors.

SUMMARY STATEMENT

The space allowed for the summary statement should include a concise integration of the job factors that indicates the overall performance and progress of the employee.

EMPLOYEE DEVELOPMENT

The Employee Development Section identifies three areas: short-range plans, long-range plans, and professional development. If the supervisor marked a box indicating that a job factor recommend strengthening, or was not adequate, then either short- or long-range goals should be addressed. Supervisory comments should include approaches for enhancing the employee's skill level. These approaches could include the setting of goals, milestones, and timelines or identifying educational or training opportunities for specific skills.

The area of professional development could address such subjects as a change in the employee's duties, roles, or responsibilities; advancement in classification; enhanced recognition in the group, department, or division; or identification of a career plan.

It must be recognized that the responsibility for employee development rests with the employee; however, supervisors are encouraged to identify development plans which will result in more effective performance by the employee.

EMPLOYEE COMMENTS

Space is provided for employee comments. Employees are encouraged to comment.

SIGNATURES

Space is provided for employee, supervisor, and division head signatures. The employee's signature acknowledges that the Written Review has been read and that a discussion has taken place, but not that the employee necessarily agrees with the Review.

APPENDIX B

The following five sample completed Performance/Progress Review Forms, Employee Worksheets, Supervisor Worksheets, and Job Descriptions (for fictitious employees) provide examples of how the forms are to be completed and show the printed-form format as well as the electronic form format.

Scientist and Engineers Form (Electronic Form)
Raymond McLagan, Staff Scientist (103.4)

Scientist and Engineers Form
Dennis Galloway, Senior Mechanical Engineer (122.8)

Management and Administrative Professional Employee Form
Martha Owens, Administrative Specialist 4 (168.4)

Technical Employees Form
Jack Brownlowe, Electronics Engineering Technologist I (702.1)

Administrative Employees Form
Mary Hernandez, Administrator 2 (167.2)

Employee Name: Raymond McLagan

Classification: Staff Scientist 2 Title Code: 103.4

Dept./Division: Biology and Medicine

**Lawrence Berkeley Laboratory
University of California**

**Performance/Progress Review
(Scientists and Engineers)**

PERFORMANCE AND PROGRESS ANALYSIS

(An analysis of the employee's performance and progress over the course of the review period)

Accomplishments (Possible Topics for Discussion)

Progress: On going efforts, specific achievements, project completion, project initiation

Publications: Refereed articles, books, conference proceedings, LBL reports

Presentations: Invited talks, seminars, conference presentations, technical reviews

Other Forms of Recognition: Awards, honors, patents

Ongoing Research or Projects: Participation in project planning, analysis of results, determining future directions

New Research: Ideas, proposals written, projects funded

Industry Participation: Technology transfer, collaboration

Analysis

Your productivity over the past year, in terms of research projects managed, papers completed, and new initiatives (including funding proposals) launched, has been truly exceptional. In particular, your persistence in pursuing sponsorship of xyz research is finally beginning to pay; hopefully the same will be true for other initiatives you have spearheaded in the ABC and QRX data arenas. You have been unique in your efforts to develop new xx proposal - not only in areas of your most direct interest, but also in support of projects that interested others in the group (such as the TVV and the CDE project).

In the same time period, you have somehow managed to complete an impressive number of papers and seminar presentations, as indicated in your ASPR materials. And, you have successfully begun transferring our ideas on EFG, by initiating new research activities including your two papers and the symposium you are organizing this fall.

Your work on FTS seems to have considerable promise for future development and support from new funding sources. Finally, you have accepted challenging new responsibilities with respect to the ZZZ project, for conducting research (and directing GSRA's).

Managerial Responsibilities
(Possible Topics for Discussion)

Leadership Positions: Deputy/assistant division head, group leader, department head, program leader

Project Management: Principal investigator, project leader, task manager

Supervision: Adherence to EEO and AA in personnel actions, adherence to DOE and Laboratory safety regulations, timely completion of Progress Reviews, development of employees, frequent communication with employees, effective organization and distribution of workload, understanding of labor agreements.

Analysis

In your role as PI on the XYZ research, and as leader of work on the EFG project, you have demonstrated great patience and willingness to work with junior staff and an openness to bring in interested staff from other groups, as well as campus faculty. These linkages have not always been easy, nor immediately successful in all cases, but you deserve credit for your continued efforts and (if needed) additional support from me in clarifying your working relationships with both technical and support staff in the future. On the other hand, your conscientious efforts to develop and maintain good communication with colleagues on campus have set a high standard for such activities in the future.

Professional Service
(Possible Topics for Discussion)

Professional Societies: Offices; committees, study groups; organization of conferences, workshops, and technical sessions; journal editorships.

Government: Study groups, advisory panels, testimony, peer review panels, planning processes

Other Institutions: Technical review panels, advisory committees

Laboratory and Division: Committees, working groups, task forces

Analysis

Your professional services have been most notable in the work with the GHI committee and in your participation as a panel leader in the upcoming conference. You have also given generously of your time in reviewing LBL reports and refereed papers (both within your group and outside the group). Finally, your untiring efforts in planning new research proposals under KLM have been a mainstay of that developing effort.

Job-Related Communications Characteristics
(Possible Topics for Discussion)

Formal Communications: Writing, oral presentations

Informal Communications: Interactions with peers, subordinates, superiors

Analysis

You have been especially prolific during the past year in producing both research papers and proposals for new projects. Most of these are thoughtful and well organized; however, you could sometimes use additional editorial work. Sometimes it is easy to obtain these services (e.g., for formal journal articles, with ample deadlines), but for other instances, including briefings, proposals, and short-deadline reports, you may find it useful (as many of us would) to seek some additional training courses in technical - writing including those offered through the Lab.

Summary Statement:

On the whole, your enthusiasm, initiative, and hard work over the past year have produced many tangible products, and the prospects of even more in the coming year. You are performing at a level that not only meets but, in several respects, surpasses the high standards expected of an LBL employee, and have often shown your readiness to accept new challenges. If anything, you need to guard against taking on too many new (and old) responsibilities at once.

Employee Development

Short-range plans, long-range plans, and professional development.

I would recommend, as noted, additional training in technical writing and presentations, to help further improve your skills. I see you continuing on your recent track, of assuming increased responsibilities within the group, and serving as a major link with other LBL groups and those outside the Lab. A set of issues we need to discuss and resolve in the coming months is how best to reaffirm your role as a technical leader of special projects within the group and how to maximize the benefit from your further involvement in ZZZ projects and other non-DOE projects. This will also involve some careful thinking about competing demands on your time and wide-ranging interests.

Employee Comments

Signatures:

Employee _____ Supervisor _____ Division Head _____

Date _____ Date _____ Date _____

EMPLOYEE WORKSHEET

Name: Raymond McLaganDate: May 9, 1987Classification: Staff Scientist 2Title Code: 103.4

The performance/progress review involves an interactive exchange of information between employee and supervisor. Please provide your supervisor with your input by filling out this Employee Worksheet. The information that you provide is not required but rather is at your discretion. The following are offered as possible topics:

Check here if you would like this Worksheet to be included in your Performance/Progress Review form and thus in your personnel file.

Accomplishments

Accomplishments during the review period which are particularly notable and/or that you are particularly proud of, special assignments, education, training, honors, awards.

Had managing and technical directing responsibilities of the following projects: a) ABC
b) XYZ
c) QRX

Prepared proposals for DOE, HiJ, KLM, and Director's PDF. Contacted sponsors for project funding. Presented project reviews to possible sponsors. Designed and planned programs XYZ, ABC, and CDE.

Directed GSRA's Research Technicians, a Staff Scientist I, and a Visiting professor.

Participated in general group activities.

Assisted researchers in ABC in analyzing collected data.

Organized a symposium for GHI, July 87, in San Diego. Assisted a Chinese visiting scholar on special project. Prepared several publications and reports including:

- a) a paper for Science (Refereed),
- b) a paper for Biotechnology Progress (Refereed)
- c) a paper for Nature (Refereed),
- d) a paper for Applied Microbiology (Not Refereed),

Prepared the following proposals:

- a) DEF (funded)
- b) QRZ (funded)
- c) TRE (funded)
- d) three XXX proposals (under review)

Special assignments:

- 1) Reviewed papers for Science and Biotechnology Progress.
- 2) Reviewed proposals for BBB.

Future Goals

Short- or long-term goals for your development as an employee, changes to your assigned job duties and responsibilities that you would like your supervisor to consider.

Try to help those whom I supervise achieve higher-level technical ability in order to carry out better and more complete assignments.

Begin discussions and preparation for XYZ related activities.

Take a Technical Writing course.

Develop a program at LBL on xxx.

Topics for Discussion

List any topics or issues or problem areas that you wish to discuss with your supervisor during the discussion session.

- 1) Career development: Where is my future in LBL? (last year question)
- 2) Reclassification: My SS III is overdue (I believe)
- 3) Challenge: How can my experience and educational background be best used at LBL? (last year question)

SUPERVISOR WORKSHEET

Name of Supervisor: Michael WhiteDate: 15 May 1987Name of Employee: Raymond McLaganClassification: Staff Scientist 2Title code: 103.4

The performance/progress review involves an interactive exchange of information between employee and supervisor. Please provide your employee with your input (beyond that which you are already providing in the Job Description) by filling out this required Supervisor Worksheet. The following are offered as possible topics:

- Accomplishments:** Accomplishments of the employee during the review period which you regard as particularly notable
- Problems:** Problems that you, working with the employee, would like to address in the next review period.
- Changes:** Discussion of the changes to the employee's job duties and responsibilities as identified in the Job Description
- Goals:** Short- or long-term goals for the employee's development

Major accomplishments - lots of papers completed, underway.

New initiatives and funding proposals - exceptional efforts.

Potential problem: Taking on too much; too many directions (I have considerable empathy)

Staff leadership style (career devel. courses?)

Future: How manage with little research-support staff?

Staff Scientist 3 plans are indefinite.

Options for further development of writing skills.

JOB DESCRIPTION

Employee: Raymond McLagan **Date:** 15 May 1987
Classification: Staff Scientist 2 **Title code:** 103.4
Supervisor: Michael White
Current Review Period: May 86 **through** May 87
Next Review Period: May 87 **through** May 88

The *supervisor* provides a concise description of the major job duties and responsibilities of the *employee* for the time period of the current Review. In addition, the *supervisor* identifies the major job duties and responsibilities for the next review period in so far as these represent a change: ending, new, increasing, or decreasing.

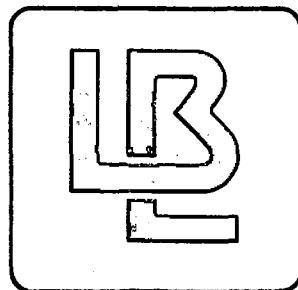
The Job Description must be included in the employee's Performance/Progress Review form and thus in his/her personnel file.

Working under the general supervision of the group leader, plan research, explore new funding sources, and lead other scientific and technical staff in projects related to ABC and XYZ projects. Participate in or lead work on zzz and yyy. Serve as PI and project leader for research related to xyz including DOE and non-DOE work. Lead research and field tests on xx.

Employee Name Dennis Galloway

Classification Sr. Mechanical Engineer Title code 122.8

Dept./Div. Plant Engineering
Administration Div.



Lawrence Berkeley Laboratory
University of California

**Annual Progress Review
Scientists and Engineers**

Recommended for use in the 100-150 classification series

PROFESSIONAL SERVICE

(Possible Topics for Discussion)

Professional Societies: offices; committees; study groups; organization of conferences, workshops, & technical sessions; journal editorships

Government: study groups, advisory panels, testimony, peer review panels, planning processes

Other Institutions: technical review panels, advisory committees

Laboratory and Division: committees, working groups, task forces

Analysis

During this review period you have served on both the Professional and Technical Salary Review Committees for the Plant Engineering Department. You also were an LBL representative on the critical design review for the XXX Support System and are scheduled to serve on the DOE review team to review the AAA Conceptual Design.

JOB-RELATED COMMUNICATIONS

CHARACTERISTICS

(Possible Topics for Discussion)

Formal Communications: writing, oral presentations

Informal Communications: interactions with peers, subordinates, superiors

Analysis

During this review period while you were on the ABC project you were heavily involved in various Conceptual Design Review effort: for the principal XXX DOE review of the yyy cost estimate you prepared, assembled, and presented most of the cost estimate materials for review; for the section DOE for the reconciliation of the cost estimate you led the defense of the ABC material during three separate trips to Washington; and during the Investigation Panel you successfully led the defense.

During your recent work as Project Manager of the TRW Project, you have led the group presentations for various DOE and other reviews during the last three months. Also, you completed the DOE IRA review, a semiannual technical review, cost and schedule review, and a validation review. Presently, you are in the advanced stages of planning to start the project rolling with \$15-M appropriation next year.

PERFORMANCE AND PROGRESS ANALYSIS

(An analysis of the employee's performance and progress over the course of the review period)

ACCOMPLISHMENTS

(Possible Topics for Discussion)

Progress: ongoing efforts, specific achievements, project completion, project initiation

Publications: refereed articles, books, conference proceedings, LBL reports

Presentations: invited talks, seminars, conference presentations, technical reviews

Other Form of Recognition: awards, honors, patents

Ongoing Research or Projects: participation in project planning, analysis of results, determining future directions

New Research: ideas, proposals written, projects funded

Industry Participation: technology transfer, collaboration

Analysis

Dennis, this has been an outstanding year for you, and because of your involvement in both the ABC and the TRW Project you have gained recognition outside of LBL. DOE has picked you to serve on the DEF review team because of your management experience with the ABC and TRW Projects.

Your involvement with the project budgets, cost estimates, and construction planning has helped with the early planning and documentation for the TRW project. You developed the overall construction plan schedule and began the process of developing detailed logic diagrams and expanded schedule details for the various technical systems. During the last several months, since taking command of the TRW project, you have been involved in formalizing the building program and in negotiating two separate contracts. The first contract for the overall site development is nearly complete, and the second major contract for the design is being reviewed by DoE.

MANAGERIAL RESPONSIBILITIES

(Possible Topics for Discussion)

Leadership Positions: deputy/assistant division head, group leader, department head, program leader

Project Management: principal investigator, project leader, task manager

Supervision: adherence to EEO and AA in personnel actions, adherence to DOE and Laboratory safety regulations, timely completion of Progress Reviews, development of employees, frequent communication with employees, effective organization and distribution of workload, understanding of labor agreements

Analysis

For the first part of the review period you served as the Deputy Head for the Special Projects Division of the ABC Group. In this capacity you were responsible for developing the overall project schedules and plans. You also worked with others on the development of the project management information system for use in the project management plan to control the project. You formed a committee to review and select the most appropriate management software system. You selected packages that were the most appropriate to serve the needs of both the ABC and TRW programs. Since then you have been involved with implementing these packages and in customizing the various files and reports for the specific project needs.

During the second half of the review period you joined the TRW Project as the Project Manager. These duties include overall management and administrative responsibility for the TRW Project. The specifics of these responsibilities include staffing, cost and schedule development and control, technical systems research and development, fabrication, installation, and testing as well as interacting and interfacing with DOE, user communities, scientific program leaders, and other interested groups.

Summary of Analysis:

Dennis, you have had an outstanding year. Please continue the fine work on the \$50.3-M TRW Project. This is an important project for the Laboratory and I am confident that you will achieve a technically successful project within the cost and schedule envelopes.

Employee Development

Short-range plans, long-range plans, and professional development.

Your primary goal for the future is to see that the TRW. Project is successful at LBL. This requires you (with my help and the help of others) to assemble a top-quality staff and to provide them with the necessary support from all levels throughout the Laboratory. This project must be accomplished within budget and on time.

Additionally, I would appreciate your assistance in training Tom Spurlock as the ABC Group Leader for XYZ Department.

Employee Comments

B-14

Signatures:

Employee _____

Supervisor _____

Division Head _____

Date June 1, 1987

Date May 12, 1987

Date May 12, 1987

EMPLOYEE WORKSHEET

Name: Dennis Galloway

Date: _____

Classification: Sr. Mechanical Engineer

Title Code: 122.8

The performance/progress review involves an interactive exchange of information between employee and supervisor. Please provide your supervisor with your input by filling out this Employee Worksheet. The information that you provide is not required but rather is at your discretion. The following are offered as possible topics:

Check here if you would like this Worksheet to be included in your Performance/Progress Review form and thus in your personnel file.

Accomplishments

Accomplishments during the review period which are particularly notable and/or that you are particularly proud of, special assignments, education, training, honors, awards.

NOTE: Employee did not complete this form.

Future Goals

Short- or long-term goals for your development as an employee, changes to your assigned job duties and responsibilities that you would like your supervisor to consider.

Topics for Discussion

List any topics or issues or problem areas that you wish to discuss with your supervisor during the discussion session.

SUPERVISOR WORKSHEET

Name of Supervisor: Earl Marchant **Date:** 5/12/87
Name of Employee: Dennis Galloway
Classification: Sr. Mechanical Engineer **Title code:** 122.8

The performance/progress review involves an interactive exchange of information between employee and supervisor. Please provide your employee with your input (beyond that which you are already providing in the Job Description) by filling out this required Supervisor Worksheet. The following are offered as possible topics:

Accomplishments: Accomplishments of the employee during the review period which you regard as particularly notable
Problems: Problems that you, working with the employee, would like to address in the next review period.
Changes: Discussion of the changes to the employee's job duties and responsibilities as identified in the Job Description
Goals: Short- or long-term goals for the employee's development

Additional information requested from:

Simmons -- 4/17/87, received 5/5/87.

Chew -- 4/17/87, received 5/5/87.

ACCOMPLISHMENTS: This year you have switched from your involvement on the ABC project management and administration to full time Project Manager for the TRW Project. You have had an excellent start in this capacity and should continue the good work. All DoE reviews this year have gone well and you have organized your team in an efficient and effective manner in anticipation of a large funding start 10/1/87. You have started to setup a cost and schedule tracking and control system for the project that is consistent with Laboratory practices and is presently being considered by the ABC Group. Having two teams using the same system should make the implementation somewhat easier. Earlier in the review period, you were group leader for ABC Groups. Your people were well informed and managed properly. This was particularly good with the organization difficulties in the ABC Group. Overall you have had an outstanding year.

PROBLEMS: None.

CHANGES: During the coming review period, you should have no changes in assignment. Your duties as Project Manager for the TRW project should keep you busy.

GOALS: To help with the job pressure and demands on your time (which will be greater next year), you might want to consider developing and training a deputy. Additionally, I would appreciate your help in training Tom as the ABC Group Leader.

JOB DESCRIPTION

Employee: Dennis Galloway **Date:** 4/23/87
Classification: Sr. Mechanical Engineer **Title code:** 122.8
Supervisor: Earl Marchant
Current Review Period: May 1986 **through** April 1987
Next Review Period: May 1987 **through** April 1987

The supervisor provides a concise description of the major job duties and responsibilities of the employee for the time period of the current Review. In addition, the supervisor identifies the major job duties and responsibilities for the next review period in so far as these represent a change: ending, new, increasing, or decreasing.

The Job Description must be included in the employee's Performance/Progress Review form and thus in his/her personnel file.

Your current classification is that of Senior Mechanical Engineer 2, 122.7 which is the level where an employee has significant responsibilities for and contributes to the long-range directions of the Laboratory and the development of major research policy. At this level, an employee generally has major leadership responsibilities such as that of a Division, and/or has attained distinction in the scientific world by specific outstanding contributions to scientific knowledge.

Specifically for this review period you had two assignments. Early in the period you were Deputy Division Head for XYZ and Group Leader for the ABC Group. More recently in the present review period you have been named and served as the Project Manager for the TRW Project.

As the ABC Group Leader your duties include:

- Responsibility for the coordination of the work performance appraisals for the group personnel,
- Responsibility for the ranking and salary management for the group personnel,
- Responsibility for the career development including travel and training of the personnel in the group, and
- Responsibility for the safety of group personnel.

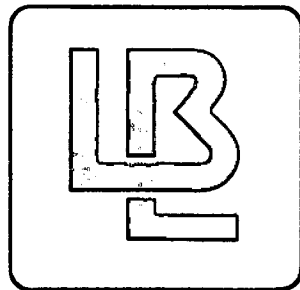
As Project Manager for the TRW Project you duties include:

- Responsibility for the overall management and administration of the construction project.
- Overall responsibility for the R&D effort, design, fabrication, interface definition, installation, and testing of all project elements,

- Responsibility for the cost and schedule control and reporting, and
- Responsibility for the DoE/LBL interactions at the project level.

During the next review period, you will continue as the TRW Project Manager. The other aforementioned assignments are no longer applicable.

Employee Name Martha Owens Classification Administrative Spec.4 Title code 168.4 Dept./Div. Personnel/Administration



Lawrence Berkeley Laboratory
University of California

**Performance/Progress Review
Management and Administrative Professional Employees**

*Recommended for use in the following classifications (nonrepresented employees only):
167.4-5, 168.4-5, 180.1-2, 191.1-5, 194.1-5, 199.1-4, 280.1-3, 344.0-1, 345.0-1*

Possible Topics for Discussion

• **Problem solving:**

clearly define problems and central issues, identify information needed to resolve problems, explore numerous alternative ideas and approaches to problems, generate innovative ideas to solve organizational problems, demonstrate ability to arrive at sound conclusions, solve problems by own initiative, anticipate problems before they develop and take steps to avoid them.

• **Decision-Making:**

make high quality decisions that take into account both short- and long-range considerations, take into account the interests and ideas of people involved, set objectives or outcomes desired, develop methods to measure outcomes of decisions.

Analysis

All routine problems are dealt with effectively and Martha consults as appropriate on more sensitive issues.

Martha displayed her strong analytical ability in developing the new benefits plan implementation procedure. She also identified the need for a new supervisor workshop and developed and presented it. Both of these activities resulted in good employee understanding of the issues and prevented, I believe, a lot of potential problems.

Possible Topics for Discussion

• **Conflict Management:**

maintain a calm and constructive response in the face of conflict, encourage discussion on areas of disagreement, encourage cooperative resolution of conflict, listen to all sides of disagreement, respond to conflict with objectivity and fairness, maintain effective interactions across lines of authority and responsibility.

• **Communication:**

express ideas clearly, concisely, and directly; give recognition to others for their ideas and actions; give negative feedback constructively; listen attentively, be considerate of subordinates and coworkers. Organize writing into logical format; express ideas clearly, concisely, and effectively; use visual aids where appropriate to clarify points.

Analysis

Martha displays excellent oral and written communications skills. Although she has improved since the last review, she needs to continue to make increased efforts to keep her supervisor informed.

• **Professional service:**

participate on committees, working groups, and task forces; serve on advisory panels, peer review panels, and technical committees; participate in professional societies and outside institutions and organizations for interaction.

Analysis

Performance and Progress Analysis

(An analysis of the employee's performance and progress over the course of the review)

General/Specific Management Capabilities

Possible Topics for Discussion

- **Organization of unit/work:**

set priorities and accomplish tasks according to their relative importance to group/unit goals and within fiscal constraints, develop specific procedures to improve work organization, monitor budgetary plans.

- **Planning:**

develop orderly, logical, and effective approaches to tasks and responsibilities; assess present and future group needs; match people and tasks appropriately; contribute to improved procedures.

- **Delegation:**

reach clear decisions on who will implement an action and what they will do, set due dates and timetables for progress checks, ensure that appropriate level of authority is delegated with the responsibility.

Analysis

Martha's work group is well organized; priorities are set, plans made and tasks accomplished accordingly. Her planning ability is especially important during the fall "crunch" on recruiting which she continues to handle smoothly.

Possible Topics for Discussion

- **Personnel Management and Supervision:**

adherence to EEO and AA in personnel actions, adherence to DOE and Laboratory safety regulations, understanding of labor agreements, provide subordinates with clearly defined goals; provide training to help employees effectively perform their assignments; be prompt in addressing employee concerns, provide timely feedback to employees on performance issues; hold subordinates responsible for performance; counsel employees straightforwardly on discipline problems; avoid impulsively applying strong corrective measures; create and implement employee development plans; conduct progress reviews in a timely manner; identify and develop employees in anticipation of future staffing needs; recruit, attract, and select the most qualified staff to meet organizational needs with due consideration for equal employment opportunity goals.

Analysis

Martha adheres to all applicable personnel policies, and, as her position requires, encourages and instructs other supervisors to do so. Her coordination of the recruiting effort is a major factor in the success of our operation, and she has expanded that effort since last year.

Martha needs to work more intensely with the computer programmer to improve her performance. Expectations must be clarified, goals set and frequent feedback is required, especially on inadequate performance.

Summary Statement:

Over the last year, Martha has continued at the high level of performance expected of an LBL employee.

Employee Development

Short-range plans, long-range plans, and professional development.

Short range:

- Evaluate justification for adding more colleges to recruiting schedule
- Take short course in business statistics
- Schedule periodic (probably monthly) reviews with computer programmer.

Long range:

- Look for opportunities to broaden personnel expertise - e.g., service on grievance committees, other inter-Divisional groups

Employee Comments

B-24

Signatures:

Employee _____

Supervisor _____

Division Head _____

Date _____

Date _____

Date _____

EMPLOYEE WORKSHEET

Name: Martha OwensDate: 3/15/87Classification: Administrative Specialist 4Title Code: 168.4

The performance/progress review involves an interactive exchange of information between employee and supervisor. Please provide your supervisor with your input by filling out this Employee Worksheet. The information that you provide is not required but rather is at your discretion. The following are offered as possible topics:

Check here if you would like this Worksheet to be included in your Performance/Progress Review form and thus in your personnel file.

Accomplishments

Accomplishments during the review period which are particularly notable and/or that you are particularly proud of, special assignments, education, training, honors, awards.

Expanded college recruiting program, adding 1 college and 2 recruiters.
Planned, developed "And Now You Are One" and presented innovative workshop for new supervisors.

10 supervisors trained
First use of video-tape role playing in Division training.
Completed short course in "Time Management."

Future Goals

Short- or long-term goals for your development as an employee, changes to your assigned job duties and responsibilities that you would like your supervisor to consider.

Would like to move programming responsibility to the data processing section.
Add 2 more colleges to next year's recruiting schedule.

Topics for Discussion

List any topics or issues or problem areas that you wish to discuss with your supervisor during the discussion session.

Promotion to Manager of Unit.
Work on Lab-wide committee.

SUPERVISOR WORKSHEET

Name of Supervisor: Harold Vann **Date:** 3/25/87
Name of Employee: Martha Owens
Classification: Administrative Specialist 4 **Title code:** 168.4

The performance/progress review involves an interactive exchange of information between employee and supervisor. Please provide your employee with your input (beyond that which you are already providing in the Job Description) by filling out this required Supervisor Worksheet. The following are offered as possible topics:

Accomplishments: Accomplishments of the employee during the review period which you regard as particularly notable
Problems: Problems that you, working with the employee, would like to address in the next review period.
Changes: Discussion of the changes to the employee's job duties and responsibilities as identified in the Job Description
Goals: Short- or long-term goals for the employee's development

Accomplishments

Held two training sessions for new supervisors on techniques for effective supervision

Drafted an implementation plan for benefit plan switch over

Continued good college recruiting program

Problems

Supervisory - work to improve performance of programmer reporting to you

Technical - provide management with more meaningful and timely recruiting reports

Goals

Short range:

Develop an improved understanding and ability to manipulate and interpret statistical data - specific goals are to independently produce the EEO report due next fall, and provide weekly recruiting update reports

JOB DESCRIPTION

Employee: Martha Owens **Date:** 3/25/87
Classification: Administrative Specialist 4 **Title code:** 168.4
Supervisor: Harold Vann
Current Review Period: April 1986 **through** April 1987
Next Review Period: April 1987 **through** April 1988

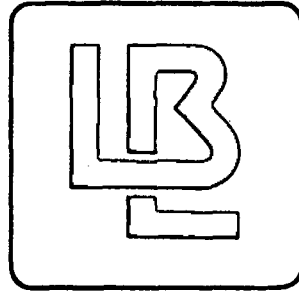
The *supervisor* provides a concise description of the major job duties and responsibilities of the *employee* for the time period of the current Review. In addition, the *supervisor* identifies the major job duties and responsibilities for the next review period in so far as these represent a change: ending, new, increasing, or decreasing.

The Job Description must be included in the employee's Performance/Progress Review form and thus in his/her personnel file.

Martha holds the position of personnel and compensation analyst. Her duties includes:

- managing the annual college recruitment function
- developing and maintaining data, records and statistical information regarding employees, and applicants
- providing training and other support to supervisors for their hiring, evaluation and other personnel actions
- supervising a computer programmer and a secretary
- reviewing, and referring as appropriate, all job applications
- evaluating and recommending special requests from employees, such as educational and leave requests

Employee Name Jack Brownlow Classification Electronics Engineering Technologist Title code 702.1 Dept./Div. Electronics/Engineering



Lawrence Berkeley Laboratory
University of California

**Performance/Progress Review
Technical Employees**

Recommended for use in the 300, 600, 700 classification series; nonrepresented employees only

<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	2. Consistently follows preventive maintenance schedule.
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	3. Maintains security and protection of materials and equipment.

<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	2. Develops equipment that meets programmatic deadlines while maintaining a high level of workmanship.
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	3. Uses time effectively.

All too often your quantity of work does not meet the estimates, mainly because of errors or rejects.

SAFETY

<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	1. Consistently follows all safety regulations and guidelines set down by DOE and the Laboratory.
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	2. Accepts safety advice from management and peers.
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	3. Explains safety rules to others.
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	4. Corrects unsafe practices and work-conditions and informs proper authorities of hazardous conditions.

FOR SUPERVISORS

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1. Creates and implements development plans for employees.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2. Communicates with employees frequently.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3. Organizes and distributes workloads effectively.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	4. Produces timely progress reviews.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	5. Adheres to EEO and AA in personnel actions.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	6. Adheres to DOE and Laboratory safety regulations.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	7. Understands labor agreements, if applicable.

ACCEPTANCE OF ASSIGNMENTS

<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	1. Takes on assignments productively.
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	2. Seeks clarification of assignments from supervisor when needed.
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	3. Responds appropriately during emergencies.
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	4. Adapts to policy or procedural changes.
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	5. Follows instructions.

At times not attentive to job. Too many personal calls.

OTHER RELATED JOB FACTORS

JOB FACTORS TO BE REVIEWED

The guided narrative form contains three separate boxes under the general heading of Performance: 1) high, 2) recommend strengthening, and 3) not adequate. **Performance—High:** The employee is operating at high level of performance expected of an LBL employee. In particular, outstanding performance should be recognized with a supervisory comment. **Performance—Recommend Strengthening:** The employee's performance is satisfactory but could be strengthened. The supervisor should supplement this mark with a comment. **Performance—Not Adequate:** The employee's performance is not adequate and needs to be upgraded. The supervisor is required to supplement this mark with a comment. In addition, the form contains one box for **Progress—Supervisor Comment** and one for **Not Applicable. Progress—Supervisor Comment:** A mark in this box is in addition to a mark in one of the Performance boxes and indicates that the supervisor is making a comment.

	Performance	Progress
Not Applicable		
High		
Recommend Strengthening		
Not Adequate		
		Supervisor Comment

GENERAL JOB CAPABILITIES

	Performance	Progress	
X			1. Is technically competent to analyze, propose, and implement workable solutions to problems.
X			2. Has a working knowledge of and follows group/Laboratory procedures, processes, and documentation guidelines.
X			3. Clearly and easily explains areas of expertise to both technical and nontechnical personnel.
X			4. Carries out essential job responsibilities.
X			5. Is recognized as a knowledgeable resource in area of responsibility.
X			6. Expands knowledge of job-related developments at the Laboratory.
<i>you are very inconsistent in being responsible.</i>			

SUPERVISION REQUIRED

	Performance	Progress	
X			1. Informs supervisor on progress of assignments rather than waiting for supervisor to ask.
X			2. Originates action on assignments without instruction or direction from supervisor or others.
X			3. Completes job-related tasks as assigned with little or no supervision.

RESPONSIBILITY FOR MATERIALS/EQUIPMENT

	Performance	Progress	
X			1. Ensures that supplies do not become exhausted during normal operation.

	Performance	Progress
Not Applicable		
High		
Recommend Strengthening		
Not Adequate		
		Supervisor Comment

ACCURACY OF WORK

	Performance	Progress	
X			1. Produces work that conforms to specifications and is error free.
X			2. Maintains complete records and files for future, historical, or research purposes.
X			3. Works accurately and in a timely manner.
X			4. Performs special assignments independently.
<i>The accuracy of your work has been very erratic. At times, you have produced accurate work, but all too often you have errors. Too many rejects.</i>			

AVAILABILITY FOR WORK

	Performance	Progress	
X			1. Has acceptable absenteeism/tardiness rate.
X			2. Works overtime when needed.
X			3. Provides information on whereabouts in case of emergency situations.
<i>There was a period of time that you were frequently late.</i>			

QUANTITY OF WORK

	Performance	Progress	
X			1. Produces a quantity of work that meets work unit demands.

Summary Statement:

Although you have the knowledge and skill to perform well, but you are very inconsistent. For a period of time you produce well, but all too often your quality and quantity are not adequate.

Employee Development

Short-range plans, long-range plans, and professional development.

- ① To produce an acceptable amount of work consistently
- ② To eliminate personal telephone calls during work time.
- ③ To start performing all the time at the level you have shown you're capable of.
- ④ If your quality of work improves enough, I will train you on our other equipment when the budget allows.

Employee Comments

B-32

Signatures:

Employee Jack Brownlowe

Supervisor _____

Division Head _____

Date 5-26-87

Date 5-26-87

Date 5-16-87

EMPLOYEE WORKSHEET

Name: Jack Brownlowe Date: 4/25/87Classification: Electronics Engineering Tech I Title Code: 702.1

The performance/progress review involves an interactive exchange of information between employee and supervisor. Please provide your supervisor with your input by filling out this Employee Worksheet. The information that you provide is not required but rather is at your discretion. The following are offered as possible topics:

Check here if you would like this Worksheet to be included in your Performance/Progress Review form and thus in your personnel file.

Accomplishments

Accomplishments during the review period which are particularly notable and/or that you are particularly proud of, special assignments, education, training, honors, awards.

- Repairing data lines
- SET UP and repaired CRT terminals
- Took Computer Maintenance course at Chabot college

Future Goals

Short- or long-term goals for your development as an employee, changes to your assigned job duties and responsibilities that you would like your supervisor to consider.

Topics for Discussion

List any topics or issues or problem areas that you wish to discuss with your supervisor during the discussion session.

- Additional courses in computer maintenance

SUPERVISOR WORKSHEET

Name of Supervisor: Tom Reddick Date: 4/25/87
 Name of Employee: Jack Brownlowe
 Classification: Electronics Engineering Title code: 702.1
Technologist I

The performance/progress review involves an interactive exchange of information between employee and supervisor. Please provide your employee with your input (beyond that which you are already providing in the Job Description) by filling out this required Supervisor Worksheet. The following are offered as possible topics:

- Accomplishments:** Accomplishments of the employee during the review period which you regard as particularly notable
- Problems:** Problems that you, working with the employee, would like to address in the next review period.
- Changes:** Discussion of the changes to the employee's job duties and responsibilities as identified in the Job Description
- Goals:** Short- or long-term goals for the employee's development

Problems:

- . inconsistent work production
- . too many errors
- . too many personal telephone calls
- . tardiness

Changes:

- . Improve work habits
- . TAKE on more challenging assignments

Goals:

- . Train on new computer equipment as time and budget allows

JOB DESCRIPTION

Employee: Jack Brownlowe **Date:** 4/25/87
Classification: Electronics Engineering **Title code:** 702.1
Technologist I
Supervisor: Tom Reddick
Current Review Period: 4-1-86 **through** 4-1-87
Next Review Period: 4-1-87 **through** 4-1-88

The supervisor provides a concise description of the major job duties and responsibilities of the employee for the time period of the current Review. In addition, the supervisor identifies the major job duties and responsibilities for the next review period in so far as these represent a change: ending, new, increasing, or decreasing.

The Job Description must be included in the employee's Performance/Progress Review form and thus in his/her personnel file.

Under direct supervision, provide technical support and assistance to higher level staff in the field of electronics technology in one or more of the following areas: Maintenance, development, installation and fabrication relating to instrumentation, control systems, computers and peripheral equipment, telecommunication systems, accelerators and ancillary research apparatus.

Perform generally standardized assignments. Follow prescribed work methods or explicit instruction. May use computer programs and operate associated equipment to accomplish assignments.

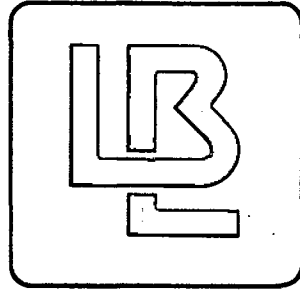
According to specific instructions, maintain, test, inspect, calibrate, operate, troubleshoot, repair, modify, install, layout, fabricate, or assemble a variety of components, device, instruments, circuits, equipment or systems and perform related technical support activities.

Must demonstrate a general working knowledge of electronics technology, in one or more of the specified areas, usually acquired through a combination of education and experience.

In addition, your specific responsibilities have included:

- Following all acceptable safety precautions and procedures including keeping a safe and clean work area.
- Maintaining thorough familiarity with all Develcon SOI command structures and formats.
- Following established procedures in installing, maintaining, documenting, and repairing data lines and circuits interfacing users in GANDALF and DEVELCON dataswitches. This includes ETHERNET and APPLNET Local Area Networks, computer interfaces, I/O devices and other telecommunications equipment.
- Maintenance of supporting equipment, including dedicated lines, modems, data terminals, long line driving equipment, multiplexers, data line support units, and remote line communications units.
- Operation, initial set-up and repair of existing CRT data terminals and simple hardcopy printer repairs.
- Keeping the shop on-line trouble log records up-to-date and printed out.

Employee Name Mary Hernandez Classification Administrator 2 Title code 167.2 Dept./Div. Electronic Engineering
Engineering Division



Lawrence Berkeley Laboratory
University of California

**Performance/Progress Review
Administrative Employees**

*Recommended for use in the following classifications; nonrepresented employees only:
166.1, 167.2-3, 168.2-3, 169.2-3, 518.1-5, 519.1, 567.1, 568.1*

QUALITY OF WORK

✓				1. Produces documents that conform to specifications and are error free.
✓				2. Maintains complete records and files.
✓				3. Produces neat, accurate, and well formatted docum
✓				4. Minimizes errors by double checking assignments.
✓				5. Performs special assignments independently.
✓				6. Exercises sound judgment in carrying out duties.

AVAILABILITY FOR WORK

✓				1. Has an acceptable attendance record.
✓				2. Works overtime when necessary.
✓				3. Provides information regarding whereabouts in case of emergencies.

ADMINISTRATIVE KNOWLEDGE

✓				1. Understands how groups, departments, and divisions of the Laboratory work with each other.
✓				2. Understands role of LBL as a national laboratory and its relations with DOE and the University of California.
✓				3. Follows Laboratory, DOE, and University of California rules and policies.
✓				4. Can identify key people and organizations as sources of support.
✓				5. Establishes strong relationships with key people by sharing information and expertise.

The Lab and do an excellent job.

WRITTEN COMMUNICATIONS

✓				1. Organizes writing logically.
✓				2. Expresses ideas clearly, concisely, and effectively.
✓				3. Uses correct grammar and spelling.

FOR SUPERVISORS

✓				1. Creates and implements development plans for employees.
✓				2. Communicates with employees frequently.
✓		✓		3. Organizes and distributes workloads effectively.
✓				4. Produces timely progress reviews.
✓				5. Adheres to EEO and AA in personnel actions.
✓				6. Adheres to DOE and Laboratory safety regulations.
✓				7. Understands labor agreements, if applicable.

You do not supervise directly, but do interact with staff to cover work loads, meet deadlines, etc. You did this without disruption to on-going work of the unit.

OTHER RELATED JOB FACTORS

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JOB FACTORS TO BE REVIEWED

The guided narrative form contains three separate boxes under the general heading of Performance: 1) high, 2) recommend strengthening, and 3) not adequate. **Performance—High:** The employee is operating at high level of performance expected of an LBL employee. In particular, *outstanding* performance should be recognized with a supervisory comment. **Performance—Recommend Strengthening:** The employee's performance is satisfactory but could be strengthened. The supervisor should supplement this mark with a comment. **Performance—Not Adequate:** The employee's performance is not adequate and needs to be upgraded. The supervisor is required to supplement this mark with a comment. In addition, the form contains one box for **Progress—Supervisor Comment** and one for **Not Applicable**.

Progress—Supervisor Comment: A mark in this box is in addition to a mark in one of the Performance boxes and indicates that the supervisor is making a comment.

Not Applicable	Performance		Progress	Supervisor Comment
	High	Recommend Strengthening		
✓				1. Carries out essential job responsibilities.
✓				2. Is able to analyze, propose, and implement workable solutions to problems.
✓				3. Is recognized as a knowledgeable resource in area of responsibility.

GENERAL JOB CAPABILITIES

Not Applicable	Performance		Progress	Supervisor Comment
	High	Recommend Strengthening		
✓				1. Produces a quantity of work that meets work unit demands.
✓				2. Uses time effectively.

QUANTITY OF WORK

Not Applicable	Performance		Progress	Supervisor Comment
	High	Recommend Strengthening		
✓				1. Informs supervisor on progress of assignments rather than waiting for supervisor to ask.
✓				2. Originates action on assignments rather than waiting for supervisor to follow up.
✓				3. Completes job-related tasks as assigned with little or no supervision.
<i>You are a little reluctant to accept new technologies, as in computers, but have shown good growth and acceptance in that area this year.</i>				

SUPERVISION REQUIRED

Not Applicable	Performance		Progress	Supervisor Comment
	High	Recommend Strengthening		
✓				1. Sets priorities and accomplishes tasks according to their relative importance.
✓				2. Develops specific procedures to improve work organization.
✓				3. Completes work on time.
✓				4. Accepts delays and other constraints.
✓				5. Functions productively under pressure.

ORGANIZATIONAL SKILLS

Not Applicable	Performance		Progress	Supervisor Comment
	High	Recommend Strengthening		
✓				1. Seeks clarification of assignment from supervisor when needed.
✓				2. Responds effectively during emergencies.
✓			✓	3. Adapts readily to policy or procedural changes.
✓				4. Follows instructions.

ACCEPTANCE OF ASSIGNMENTS

Not Applicable	Performance		Progress	Supervisor Comment
	High	Recommend Strengthening		
✓				1. Expresses ideas clearly, concisely, and directly.
✓				2. Works to clear misunderstandings with peers, users, or management.
✓				3. Provides immediate supervisor with pertinent information on a timely basis.
✓				4. Communicates effectively at all levels.
<i>you interact at all levels, both in and outside</i>				

ORAL COMMUNICATIONS

Summary Statement: you generally perform above the high level expected of an LBL employee. your work and interactions demonstrate a professional approach. you can always be counted on to meet deadlines and produce error-free work.

Employee Development

Short-range plans, long-range plans, and professional development.

- Training as available and as applicable for the Macintosh and in your areas of responsibility. You have expressed interest in learning Excel, beginning with the basics.
- Learn travel system more in depth including preparation of vouchers
- Accept responsibilities for interactions with the Office of Sponsored Research.
- Possible involvement in a department or lab committee to broaden your knowledge of the organization.
- You have expressed an interest in more people contact. I don't know how to accommodate that right now, but we will look for work to help. The 8000 work may open some avenues.

Employee Comments

B-40

Signatures:

Employee _____

Supervisor _____

Division Head _____

Date 5/22/87

Date 5/18/87

Date 5/18/87

EMPLOYEE WORKSHEET

Name: Mary HernandezDate: 5/4/87Classification: Administrator 2Title Code: 167.2

The performance/progress review involves an interactive exchange of information between employee and supervisor. Please provide your supervisor with your input by filling out this Employee Worksheet. The information that you provide is not required but rather is at your discretion. The following are offered as possible topics:

[] Check here if you would like this Worksheet to be included in your Performance/Progress Review form and thus in your personnel file.

Accomplishments

Accomplishments during the review period which are particularly notable and/or that you are particularly proud of, special assignments, education, training, honors, awards.

I felt it was an accomplishment to have been part of the successful XYZ project. Other noteworthy items included the good rapport I maintained with CARA (California Association for Research in Astronomy) personnel, my ability to get along with the diverse personnel associated with XYZ and the ABC department, and viewing the various changes, such as the introduction of the Macintosh Plus, in a growth perspective.

T. Jones asked me to set up a Purchase Request monitoring index using the Macintosh; this system proved very useful to the project. I was pleased to participate in the purchase process.

Future Goals

Short- or long-term goals for your development as an employee, changes to your assigned job duties and responsibilities that you would like your supervisor to consider.

Take a project management course.

Topics for Discussion

List any topics or issues or problem areas that you wish to discuss with your supervisor during the discussion session.

New travel responsibility

SUPERVISOR WORKSHEET

Name of Supervisor: Joan Barry Date: 5/12/87
 Name of Employee: Mary Hernandez
 Classification: Administrator 2 Title code: 167.2

The performance/progress review involves an interactive exchange of information between employee and supervisor. Please provide your employee with your input (beyond that which you are already providing in the Job Description) by filling out this required Supervisor Worksheet. The following are offered as possible topics:

- Accomplishments:** Accomplishments of the employee during the review period which you regard as particularly notable
- Problems:** Problems that you, working with the employee, would like to address in the next review period.
- Changes:** Discussion of the changes to the employee's job duties and responsibilities as identified in the Job Description.
- Goals:** Short- or long-term goals for the employee's development

Additional information requested from:

V. Pickett -- 5/1/87, received 5/5/87.

A. Kim -- 5/1/87, received 5/5/87.

ACCOMPLISHMENTS: Your've had a great year Mary and have helped XYZ stay on the path as well as aided in the transition of leadership on TFG. You go the extra step in making things happen on time, and voluntarily put in the time it takes to get the job done. You continue to work independently with little or no supervision. You continue to be our "Wang Specialist" and maintain the overview of this equipment for Electronic Engineering. Specific areas where I feel you made excellent progress this year are in the use of the Macintosh-expanding your capabilities and knowledge of it, and becoming more comfortable with it. You assumed my supervisory responsibilities and oversaw the workload during the month of October 1986, while I was on vacation. I left comfortable in the fact that things would run smoothly during my absence, and was not disappointed. I agree with you that you have maintained excellent personnel relations with CARA personnel and the diverse personalities that people the TFG project--that indeed is an accomplishment! Keeping Sam's feathers unruffled is also an accomplishment, even though difficult at times. When Sam volunteered to buy us a Wang Laser Printer, I really appreciate the fact that you pursued the required information and took action to make the purchase a reality.

PROBLEMS: None that I am aware of. Are there things we can do to make office life better for you?

CHANGES: With Judy's retirement and the ultimate winding down of xxx we need to discuss where we go from here. Something always seems to come along. I would like to involve you more in the 8000 work AAA and in the interactions with the office of Sponsored Research that this entails. In fact, I would like to turn this whole thing over to you. Let's talk about it, and any other changes you envision. You have a better perspective from your day-to-day interactions with projects and people than I do in terms of what's happening downstream.

GOALS: Training as available and as applicable for the Macintosh, and in the areas of your responsibility. Work with Lee to learn the travel system more in depth, including preparation of vouchers. Involvement in a department or lab committee of some sort, to broaden your knowledge of the organization.

JOB DESCRIPTION

Employee: Mary Hernandez **Date:** May 1, 1987
Classification: Administrator 2 **Title code:** 167.2
Supervisor: Joan Barry
Current Review Period: May 1986 **through** April 1987
Next Review Period: April 1987 **through** April 1988

The *supervisor* provides a concise description of the major job duties and responsibilities of the *employee* for the time period of the current Review. In addition, the *supervisor* identifies the major job duties and responsibilities for the next review period in so far as these represent a change: ending, new, increasing, or decreasing.

The Job Description must be included in the employee's Performance/Progress Review form and thus in his/her personnel file.

You perform the functions of an Administrator 2. In this capacity, under direction, you perform assignments of moderate complexity and develop solutions to a variety of problems of moderate scope and complexity. Your work is reviewed for soundness of judgment and overall adequacy and accuracy. You represent the organization in providing solutions to problems associated with specific projects. Full delegation of authority may be given in your assigned area and work would be reviewed in terms of meeting overall goals and objectives. Independent use and/or application of basic principles, theories and concepts as well as independent use of special knowledge and/or skills is required to meet established objectives. You have frequent intra- and inter-organizational and outside-Laboratory contacts.

Specifically, you provide administrative/secretarial support to yyy and other Programs supported by BBB as well as to Division management. This has included:

- independent cost control functions;
- preparing financial reports and analyses for inclusion in progress and management reports to sponsors;
- frequent contacts with internal and external organizations, frequently at management levels;
- preparing programmatic materials and handling arrangements for workshops and technical meetings;
- establishing priorities and reassigning work to others to meet deadlines;
- arranging travel, and providing backup to our travel coordinator as required;
- coordinating AB use of Wang system;
- covering workload demands in coworkers absence;

° performing other administrative/secretarial duties and responding to requests and special assignment.

It is expected that your job responsibilities will remain the same during the next review period. Your assignment with Joe is basically complete because of his retirement, though his project responsibilities will continue under the direction of Eleanor. I hope to turn over to you responsibility for monitoring our Work for Others accounts, and the interaction with the Office of Sponsored Research that goes along with this function.