



Caltech 2009 Employee Review

INSTITUTE CONFIDENTIAL

EMPLOYEE INFORMATION

| | |
|-----------------|--|
| Employee Name | |
| Title | |
| Department | |
| Supervisor Name | |



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Individual Job Objectives / Initiatives FY09

| Individual Objectives / Initiatives FY09 | Target Completion Date FY09 (MM/YYYY) | Actual Completion Date FY09 (MM/YYYY) | Remarks FY09 |
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TRAITS & CHARACTERISTICS DEFINITIONS

1. KNOWLEDGE OF WORK

Skills-Experience-Special Abilities

This factor concerns the employee's knowledge of the elements that make up the job and the skills or special abilities required to carry out the tasks with a high degree of competence. Disregard knowledge, skills, and abilities in unrelated work that does not affect performance in this job.

- What degree of proficiency has the employee demonstrated in the skills required for the job?
- Can the employee perform any phase of the job and related work without assistance?
- Does the employee show a thorough knowledge of the procedures, processes, equipment, materials and practices relating to the job?
- Does the employee possess the special abilities required or desirable for effective performance in his or her job?

2. QUALITY OF WORK

Consistency-Presentation-Accuracy-Thoroughness

Since concentration on details is of extreme importance in some positions, but in others means a misdirection of effort, it is essential that the requirements of the position be used as the standard in reviewing "Quality" of work.

- Does the employee's work have to be revised or redone; how free is it from mistakes or error?
- Does the employee's work meet presentation requirements of the job?
- Is the employee's work complete in all details, or is it frequently lacking in one or another aspect?
- How consistently is the quality of the employee's work under varying conditions?

3. OUTPUT

Quantity-Results-Effectiveness-Speediness

Standard output will vary for different kinds and levels of positions. The supervisor should refer to the job description in determining a reasonable standard.

- How does the volume of work completed during the review period compare with what was reasonable to expect?
- How effective was the employee in completing tasks on time, especially where stringent time limitations may have been involved?
- Does the employee achieve the expected results in completing assigned tasks?

4. COMMUNICATION

Clear-Concise-Courteous

A skilled communicator is an employee who initiates and shares information by expressing ideas, concepts, and technical or non-technical data in a manner that is received through listening or verbal and written techniques.

- Can the employee communicate effectively with supervisors, associates, subordinates, customers and others?
- Can the employee write clearly and concisely using correct grammar?
- Is the employee courteous and helpful?
- Does the employee provide timely updates to supervisor on own initiative?
- Does the employee foster communication among work group members?
- Does the employee solicit input from the customer and actively listen to the customer needs?
- Does the employee respond appropriately and accurately to internal and external (if applicable) customers?



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5. COOPERATION

Willingness-Adaptability-Teamwork-Relationships

Cooperation is an essential ingredient of high-level performance and should be rated both in terms of how it is reflected in the employee's own work and in terms of the employee's impact on those with whom he or she comes into contact or works with in the course of activities.

- Has the employee shown eagerness to get the job done under varying circumstances?
- Will the employee modify his or her schedule or plan when needed to fit in better with the requirements of others, or due to a change in conditions or schedules?
- Has the employee contributed to cooperation and good performance in his or her group?
- Can the employee be described as a "team player" or is he or she more productive working alone?
- Does the employee exhibit a good working relationship with customers?

6. DEPENDABILITY

Reliability-Discretion-Punctuality

A fully dependable employee is one who can be trusted completely and who can be relied upon at all times to do what is expected, follows directions, asks questions when in doubt, carries out tasks conscientiously, and requires only limited supervision and follow-up.

- Can you have absolute confidence that you will get what you want when you want it?
- Can you depend on the employee to proceed on the tasks at hand and apply full effort, even though you are not "looking over the employee's shoulder"?
- Is the employee punctual in his or her work habits? Can the employee be counted on to put in a full day of work?
- Can the employee be relied upon to abide by generally accepted rules and standards and to use good judgment and discretion?
- Does the employee anticipate and meet the customer needs?

7. INITIATIVE

Self Starter-Problem Solver-Self Confident

Initiative considers the tendency to contribute to, develop and/or carry out new ideas or methods. The employee is aggressive in seeking out and accepting responsibilities. The employee takes ownership of assigned projects, is energetic and zealous in the performance of duties.

- Is the employee judicious in carrying out assignments without direction?
- Is the employee a solution seeker?
- Does the employee make practical suggestions?
- Does the employee identify new areas for opportunity?
- Does he or she apply new concepts and techniques?
- Does the employee continuously find new and better ways of performing the job?
- Does the employee display ingenuity in anticipating and meeting unexpected situations?



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8. PEOPLE MANAGEMENT

Supervising-Motivating- Leading: *managers and supervisors only*

A manager defines roles and responsibilities, motivates and challenges employees, delegates effectively, provides feedback and coaching, evaluates performance, recognizes contributions, and manages collaboratively.

- Effectively resolves conflicts between the individuals' needs and the requirements of the organization
- Encourages subordinates to take ownership of their projects thereby being accountable for the results
- Displays an effective productive management style
- Provides unity to the organization
- Achieves high productive output while maintaining high morale
- Encourages efforts toward common goals
- Provides subordinates with the resources to obtain results
- Gives clear direction
- Maintains high ethical standards
- Effectively manages change

9. OVERALL PERFORMANCE RATING

This determination constitutes the core of the review, and requires careful attention. It represents the supervisor's judgment as to the overall performance of the job's responsibilities and requirements. In determining the overall evaluation, consideration should be given to the relative importance of each key performance factor and the performance level definitions given on Page 6.



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PERFORMANCE LEVEL DEFINITIONS

Exceptional: One of the best I have ever supervised.

Leads the Way: Always or almost always demonstrates top performance. Often surpasses expectations for the role. Regularly does more than what is required.

Effective: Achieves good results. Making a contribution that meets or exceeds operating and functional requirements.

Developing: An acceptable / average level of performance. Meets expectations with supervisor's effort and guidance, however required to develop additional skills and areas of work.

Needs Improvement: An employee rated at this level is performing below the expectations. Effort, guidance, and remedial action to be taken to improve the performance.

Unsatisfactory: An unacceptable level of performance. Employee does not fulfill basic requirements of the position. Urgent remedial steps should be taken to address the deficiencies.

Not Applicable: This item does not apply to the employee's position or role.



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Traits and Characteristics

The purpose of this section is to rate and evaluate the employee for competence, strength, and qualities possessed by the employee relative to the requirements of the job.

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| KNOWLEDGE OF WORK <small>Skills-Experience-Special Abilities</small> | <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 12.5%;">Unsatisfactory</td> <td style="width: 12.5%;">Needs</td> <td style="width: 12.5%;">Developing</td> <td style="width: 12.5%;">Effective</td> <td style="width: 12.5%;">Leads</td> <td style="width: 12.5%;">Exceptional</td> <td style="width: 12.5%;">Not</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;">Improvement</td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </table> | Unsatisfactory | Needs | Developing | Effective | Leads | Exceptional | Not | <input type="checkbox"/> | Improvement | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
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| COMMUNICATION Clear-Concise-Courteous | Unsatisfactory | Needs Improvement | Developing | Effective | Leads the Way | Exceptional | Not Applicable |
| | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Comments | | | | | | | |

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| COOPERATION Willingness-Adaptability-Teamwork-Relationships | Unsatisfactory | Needs Improvement | Developing | Effective | Leads the Way | Exceptional | Not Applicable |
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| DEPENDABILITY Reliability-Discretion-Punctuality | Unsatisfactory | Needs Improvement | Developing | Effective | Leads the Way | Exceptional | Not Applicable |
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| INITIATIVE Self Starter-Problem Solver-Self Confident | Unsatisfactory | Needs Improvement | Developing | Effective | Leads the Way | Exceptional | Not Applicable |
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| PEOPLE MANAGEMENT Supervising-Motivating-Leading <i>Managers and supervisors only</i> Comments | <table style="width: 100%; text-align: center;"> <tr> <td style="width: 12.5%;">Unsatisfactory</td> <td style="width: 12.5%;">Needs Improvement</td> <td style="width: 12.5%;">Developing</td> <td style="width: 12.5%;">Effective</td> <td style="width: 12.5%;">Leads the Way</td> <td style="width: 12.5%;">Exceptional</td> <td style="width: 12.5%;">Not Applicable</td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> </table> | Unsatisfactory | Needs Improvement | Developing | Effective | Leads the Way | Exceptional | Not Applicable | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
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| OVERALL PERFORMANCE RATING | <table style="width: 100%; text-align: center;"> <tr> <td style="width: 12.5%;">Unsatisfactory</td> <td style="width: 12.5%;">Needs Improvement</td> <td style="width: 12.5%;">Developing</td> <td style="width: 12.5%;">Effective</td> <td style="width: 12.5%;">Leads the Way</td> <td style="width: 12.5%;">Exceptional</td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> </table> | Unsatisfactory | Needs Improvement | Developing | Effective | Leads the Way | Exceptional | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
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Summary – FY09 Performance Appraisal

(To be completed by Supervisor)

Summary - FY09 Performance Appraisal

(To be completed by Employee)

Employee Acknowledgment/Date

Preparer Signature/Date
(Immediate Supervisor)

Reviewed by/Date
(Next Level Management)



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Development Plan FY09

| Skills and Knowledge to be developed FY09 | <u>Priority</u> <u>FY09</u> (C,M,G) | Action Plan FY09 | Estimate Date of Completion (MM/YYYY) |
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