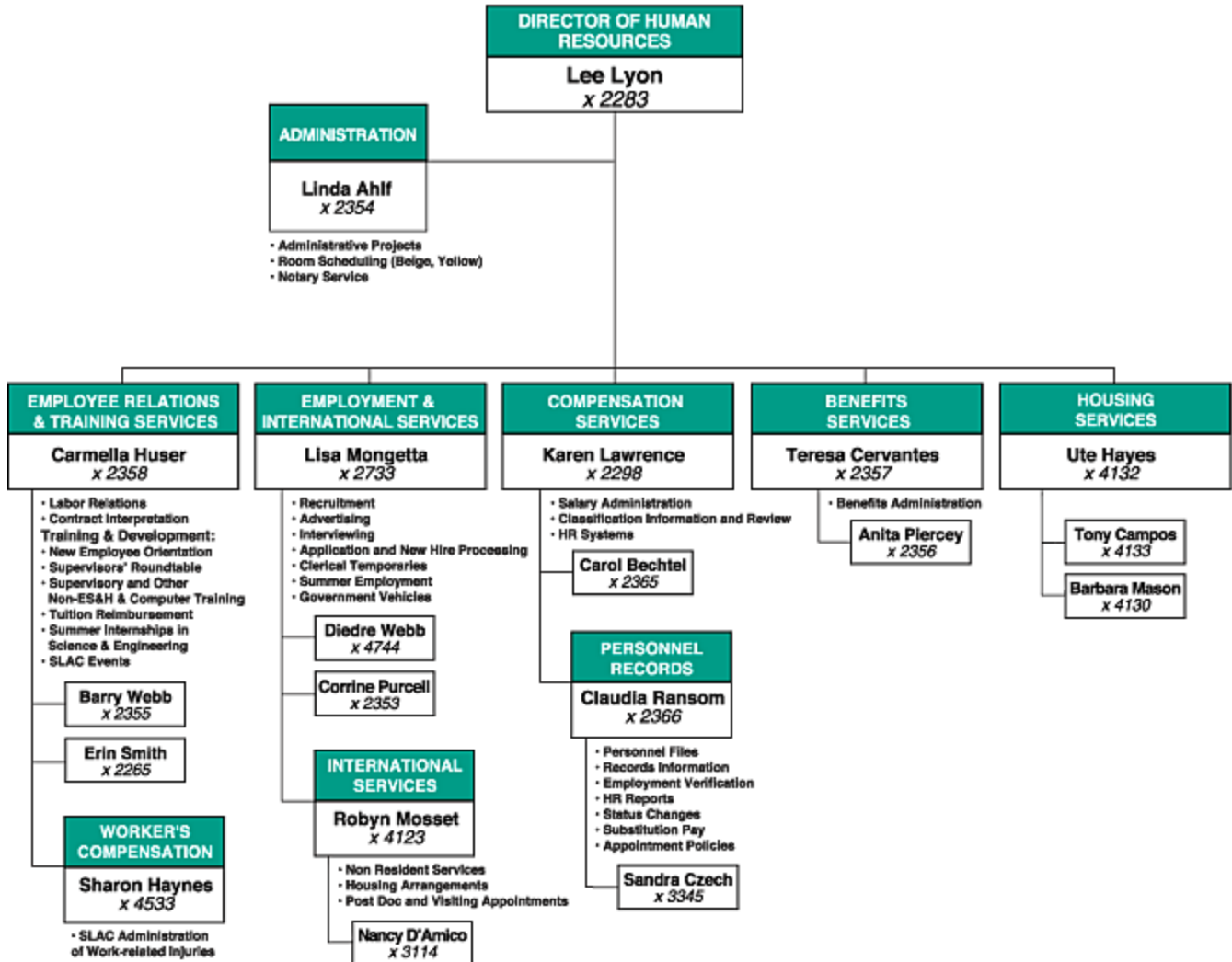


APPENDIX A

STANFORD LINEAR ACCELERATOR CENTER
HUMAN RESOURCES DEPARTMENT, April 2003



APPENDIX B

**STANFORD LINEAR ACCELERATOR CENTER
PERFORMANCE EVALUATION
Bargaining Unit**

EVALUATION PERIOD: April 1, 2001 through March 31, 2002

EMPLOYEE _____ SUPERVISOR _____

JOB CLASSIFICATION _____ DEPT /GROUP NO. _____

If the employee is on loan to another group, the supervisor in that group should prepare this evaluation. Additional comments from the supervisor in the home group may be attached. Complete for all employees. Use additional sheets, if necessary.

DESCRIPTION OF DUTIES:

Attach a current job description if duties have changed since the last evaluation.

1. Performance:

Use the code (below) which corresponds to the evaluation most closely matching employee's performance in that category. The basis for these ratings should be discussed with the employee:

O	Outstanding	S	Satisfactory	E	Excellent
M	Marginal	VG	Very Good	U	Unsatisfactory
		NA	Non Applicable		

- a. _____ **Knowledge of Work:**
Understanding of all phases of work
- b. _____ **Environment, Safety, and Health:**
Understanding of and attention to ES&H requirements in carrying out assignments
- c. _____ **Quality of Work:**
Thoroughness, neatness and accuracy of work
- d. _____ **Volume of Work:**
Quantity of acceptable work
- e. _____ **Dependability:**
Reliability in following through on assignments and instructions, timeliness of job completion
- f. _____ **Cooperation:**
Positive attitude toward people and job assignments; respectful and civil to others
- g. _____ **Leadership (if in a lead position):**
Ability to train others and get results through teamwork
- h. _____ **Attendance and Punctuality:**
Dependable record of attendance; adherence to lunch and break times
- i. _____ **Respect for Diversity:**
Level of cooperation in helping SLAC maintain a productive work environment for all people

2. Summary of Noteworthy Accomplishments:

List special achievements; e.g., suggestions or practices which have resulted in improved work procedures; excellence in ES&H compliance.

3. Areas in Need of Improvement:

List desired improvements; e.g., specific practices, which will result in, improved performance.

4. Performance Summary:

Please check the word which best identifies the employee's overall performance during the evaluation period:

Outstanding

Satisfactory

Excellent

Marginal

Very Good

Unsatisfactory

5. Coming Year's Goals:

List specific training required to improve and/or update skills, including certification or other requirements due to changing ES&H regulations.

Supervisor _____
(signature) (date)

Employee _____
(signature) (date)

The employee's signature acknowledges only that he/she has received this evaluation and does not mean that he/she agrees with it. If an employee disagrees with the evaluation, he/she has the right to add written comments below or attach a separate memo. The employee may also send a copy to the Human Resources Department, where it will be added to his/her personnel file. Any comments sent to the Human Resources Department will also be read by the Associate Director for the employee's division.

Employee Comments (Optional):

APPENDIX C

STANFORD LINEAR ACCELERATOR CENTER PERFORMANCE EVALUATION Non-Bargaining Unit EVALUATION PERIOD: April 1, 2001 through March 31, 2002

EMPLOYEE _____ SUPERVISOR _____

JOB CLASSIFICATION _____ DEPT. /GROUP NO. _____

If the employee is on loan to another group, the supervisor in that group should prepare this evaluation. Additional comments from the supervisor in the home group may be attached.

Complete Sections 1 through 3 and Sections 5 and 6 for all employees. In addition, complete Section 4 for employees with supervisory responsibilities.

DESCRIPTION OF DUTIES:

Attach a current job description if duties have changed since the last evaluation. If a current job description is not available, briefly describe the duties.

1. Performance:

Please make specific comments about performance considering the following as appropriate:

- **Planning/Organization of Work:** Planning, developing, and implementing ongoing tasks and/or special projects; establishing priorities; meeting schedules;
- **Quality/Quantity of Work:** Efficiency in use of time; consistency and reliability of output; follow through with assignments;
- **Accomplishments:** Identify tasks performed and effectiveness in meeting set goals; impact on individual, departmental or laboratory effectiveness;
- **Problem Solving/Innovation:** Ability to recognize and define problems, develop sound conclusions, and implement effective solutions;
- **Environment, Safety, and Health:** Understanding of and attention to ES&H requirements in carrying out assignments;
- **Relationships:** Teamwork/cooperation; assistance to others; effectiveness of communication; respectful and civil to others;
- **Dedication:** Punctuality, regularity of attendance; willingness to accept work and schedule changes;
- **Initiative:** Self-starting capacity; resourcefulness; extent of supervision required;
- **Respect for Diversity: Level of cooperation in helping SLAC maintain a productive work environment for all people.**

2. **Other Factors Not Included Above:**

3. Job Knowledge:

Understanding of and ability to carry out essential responsibilities of job; technical competence; keeping current in field; degree to which employee meets all qualifications of the position, including certification or other requirements due to changing ES&H regulations.

4. Supervision or Lead Responsibilities **(for persons who oversee the work of others). Consider the following as appropriate:**

- **Group Leadership:** Ability to lead group to achieve performance results which support department mission;
- **Environment, Safety, and Health:** Steps taken to implement ES&H policies, including communicating relevant procedures to all staff through documentation and training;
- **Quality Assurance:** Attention to quality assurance;
- **Knowledge of Policies and Procedures,** e.g. Administrative Guide, Collective Bargaining Agreement;
- **Affirmative Action:** Understanding of the program and effectiveness in application.

5. Performance Summary: **Based on the above information,** please check and write a brief summary statement, **which identifies the employee's overall performance during the evaluation period as one of the following:**

Outstanding Excellent Very Good Satisfactory Marginal Unsatisfactory

Summary:

6. Goals:

- **Coming Year's Goals:** Establish new and/or continuing goals; list specific training required to improve and/or update skills, including all necessary ES&H training planned over the next year.
- **Development:** Identify any additional training, which may enhance job or career development.

Supervisor _____
(signature) (date)

Employee _____
(signature) (date)

The employee's signature acknowledges only that he/she has received this evaluation and does not mean that he/she agrees with it. If an employee disagrees with the evaluation, he/she has the right to add written comments below or attach a separate memo. The employee may also send a copy to the Human Resources Department, where it will be added to his/her personnel file. Any comments sent to the Human Resources Department will also be read by the Associate Director for the employee's division.

Employee Comments (Optional):

APPENDIX D

STANFORD LINEAR ACCELERATOR CENTER
PERFORMANCE EVALUATION
EVALUATION PERIOD: April 1, 2002 through March 31, 2003

EMPLOYEE _____ SUPERVISOR _____

JOB CLASSIFICATION _____ DEPT* _____

DESCRIPTION OF DUTIES: Attach a current job description if duties have changed since the last evaluation. If a current job description is not available, briefly describe the duties.

DIRECTIONS: Indicate how well the employee has performed in each of the categories below. Comments may be added for any of the competencies but are <i>REQUIRED</i> if employee is rated "N – Needs Improvement."		
N = Needs Improvement	M = Meets Expectations	S = A Strength

Section I: EMPLOYEE COMPETENCY (Circle competency that applies)

Has competence to perform job: N M S
 Has and maintains current knowledge and/or skills necessary to perform work competently. Participates in opportunities to enhance proficiency in accomplishing work and goals of group.

Demonstrates high quality of work: N M S
 Delivers high quality products/service. Work is accurate, thorough and documented appropriately. Follows through to assure work is completed. .

Meets schedules, commitments and productivity levels: N M S
 Uses time efficiently and effectively to meet job responsibilities. Contributes to efficient workflow, meets deadlines; ensures that commitments are on time and productivity levels are sustained. Where appropriate, establishes priorities, anticipates potential problems, and organizes workflow.

Takes responsibility for achieving work: N M S
 Has depth of knowledge and skill to perform assignments with minimal supervision. Takes initiative in identifying and completing tasks. Uses appropriate judgment in seeking help and in keeping supervisor informed on the progress/status/issues relating to work.

*If the employee is on loan to another supervisor, that supervisor should prepare this evaluation. Additional comments from the supervisor of record may also be attached

Is flexible and adaptable to change: **N M S**
Responds willingly to changes in procedures, processes, technology, responsibility and/or assignments.
Adjusts to changes in the work environment. Recommends changes when appropriate.

Contributes to accomplishment of team/ group objectives: **N M S**
Actively participates in and reinforces the efforts of the team or work group.

Demonstrates commitment to a diverse and respectful workplace: **N M S**
Treats others with respect. Contributes to an atmosphere that encourages cooperation. Has a positive attitude toward people and job assignments. Contributes to a workplace free of discrimination and consistent with SLAC policy.

Demonstrates sound judgment: **N M S**
Evaluates objectives, alternatives and solutions carefully. Makes well-reasoned, timely and effective decisions within the scope of his/her authority. Effectively identifies and resolves problems.

Contributes to environmental health and safety of workplace: **N M S**
Understands and carries out applicable ES&H practices and procedures. Identifies hazards for each work process and systems and the requirements used to control hazards. Implements systems/requirements, where appropriate. Contributes to improvement of a safe work environment for self and co-workers. Does not engage in unsafe activities.

Contributes to security at SLAC and protection of government assets: **N M S**
Understands and carries out applicable physical and/or cyber security practices and procedures.
Contributes to the security effort at SLAC. Promptly reports irregularities.

SECTION II: Supervisory/Lead Competency (Complete if applicable.)

Provides group leadership: **N M S**
Establishes and/or communicates organizational goals, objectives, priorities and changing priorities. Knows and implements SLAC/Stanford policies (e.g. Administrative Guide, Bargaining Agreement, Respectful Workplace). Leads group to achieve performance results that support department/SLAC mission. Promotes respectful communication and positive working relationships among staff. Contributes to management of larger work group.

Promotes optimum performance of individuals: **N M S**
Establishes and communicates individual performance expectations. Provides appropriate guidance, coaching, and feedback to employees. Shares knowledge and skills with others. Encourages employee development of new concepts/ideas. Effectively assigns and delegates work. Seeks to improve performance of others by applying effective coaching/counseling techniques.

Manages resources:

N M S

Demonstrates ability to effectively and efficiently allocate and coordinate resources, such as staff, budget, facilities, schedules, technology, and information.

Promotes environmental health and safety:

N M S

Communicates ES&H policies, systems, practices and procedures to staff and holds staff accountable for working within ES&H systems. Identifies hazards for each work process, identifies and implements systems/requirements used to control hazards, checks that systems are controlling the hazards and improves ES&H practices where required. Evaluates ES&H training needs for staff and ensures that they are appropriately met.

Promotes awareness of staff's role in security and protection of government assets: N M S

Keeps current on applicable security procedures and policies and ensures that they are communicated to staff, understood, and implemented. Evaluates security awareness levels of staff and ensures that they are appropriately aware of their continuing role in SLAC's security program

Promotes affirmative action:

N M S

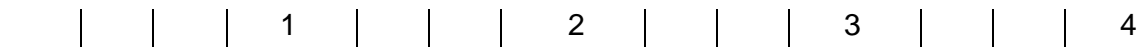
Understands and effectively implements affirmative action techniques in hiring and promotion.

Section III: Supervisor's Summary of Accomplishments and Progress on Goals

Section IV: Overall Performance Summary

DIRECTIONS:

- Read the Rating Summaries below and determine which rating **most closely** describes the employee's overall performance. Remember that not all aspects of the suggested criteria in each rating may apply and some may overlap.
- Place an "X" on the ruler below at a spot that most accurately indicates the employee's rating for the performance period.
- Write a paragraph (or more) describing the specific performance that explains the rating.



Rating Summaries

1. Does Not Fully Meet Job Expectations:

Employee's overall performance is not satisfactory because of a serious deficiency in one or more of the following areas: knowledge and/or skills; quality of work; quantity of work; timeliness of work; flexibility and/or adaptability to change, attendance; or behavior (cooperation, adherence to respectful workplace policy, positive attitude, etc.)

2. Consistently Meets Job Expectations:

Employee completes assignments accurately and on time; assumes new responsibilities/duties when asked; develops and applies new skills or techniques as required; adapts to changing work environment and assignments with little difficulty; requires minimal direction; maintains regular attendance; contributes to a respectful work environment.

3. Consistently Exceeds Job Expectations:

Employee consistently produces superior results on schedule; takes initiative in identifying and completing tasks; assumes responsibilities beyond those normally assigned; seeks new challenges; provides creative solutions to varying problems; rapidly adapts and applies new skills to assignments; helps others achieve work goals; maintains high performance during planned or unplanned changes in work environment; promotes a respectful work environment through treatment of co-workers, supervisors, and customers.

4. Far Exceeds Job Expectations:

Employee consistently demonstrates performance, competence, judgment, depth of knowledge and creativity well beyond expected standards for his/her position; demonstrates outstanding ability when assuming unusually demanding responsibilities; has made major contribution(s) to the work group, department, or Laboratory in the current evaluation year.

EXPLANATION OF RATING:

Section V: Performance Objectives for the Coming Year

Jointly establish performance objectives that will improve, sustain or increase employee's effectiveness in the job. Stated objectives will contribute to the next performance review.

Section VI: Employee Comments

Employees are encouraged to add their comments to this review or to comment on other issues/concerns in the workplace. Attach an extra sheet if needed.

Supervisor's signature _____ Date _____

Employee's signature _____ Date _____

The employee's signature acknowledges only that he/she has received this evaluation and does not mean that he/she agrees with it. If an employee disagrees with the evaluation, he/she has the right to add written comments above or in an attached memo. The employee may also send a copy to the Human Resources Department, where it will be added to his/her personnel file. The Associate Director for the employee's division will also read any comments sent to Human Resources.

APPENDIX E

Stanford Linear Accelerator Center Performance Evaluation Workshop – 2003

Slide 2¹ – Performance Management Process

- Setting expectations
- Giving feedback
- Reinforcing positive performance
- Correcting inadequate performance or inappropriate behavior
- Documenting performance and behavior

Slide 3 – Mission Statement

At SLAC, We do great science, safely and respectfully.

Slide 4 – Performance = What + How

- What includes skills, work
- How includes interactions, workplace

Slide 5 – Reasons Employees Fail to Perform

1. They are confused about what to do
2. They don't know why they should do it
3. They don't think you will check in on their progress
4. They believe that something else is more important
5. They believe that they are doing what you requested
6. They fear falling short of impossibly high expectations
7. They think their way is better
8. THEY GET REWARDED FOR NOT DOING IT

Slide 6 – A Good Performance Evaluation

- Maintains and/or improves performance
- Is honest
- Recognizes accomplishments
- Corrects deficiencies
- Documents effectively

Slide 7 – Who Gets Evaluated

- Who must be evaluated?
 - All regular employees
 - Employees on loan - coordinate between day-to-day supervisor and administrative supervisor
 - Transferred employees - coordinate between current and former supervisor
- Who is not evaluated?
 - Employees here less than one year
 - Research Associates

¹ This presentation was originally in PowerPoint format and has been reformatted into a Word document.

Slide 8 – Where are The Evaluation Forms?

- In your packet
- On-Line:
 - SLAC homepage
 - Working at SLAC
 - Human Resources
 - Forms
- Or go directly to:
 - <http://www-group.slac.stanford.edu/hr/forms.html>

Slide 9 – Timing & Turning In

- What period do they cover?
 - April 1, 2002 through March 31, 2003
- When are they due?
 - Non-Bargaining Unit - June 1, 2003
 - Bargaining Unit - June 30, 2003
- Who gets the forms?
 - Claudia Ransom, Records Manger, in Human Resources (M/S 11)

Slide 10 – New Form - Overview of Form

- Description of Duties
- I. Employee Competency
- II. Supervisory/Lead Competency
- III. Supervisor's Summary of Accomplishments and Progress on Goals
- IV. Overall Performance Summary
- V. Performance Objectives for Coming Year
- VI. Employee Comments
- Signatures

Slide 11 – Description of Duties

- Use job description or paragraph
- Consult employee
- May need to be revised if job has changed

Slide 12 – Section I: Employee Competency

- Based on:
 - Last year's goals
 - Employee self evaluation
 - Conversations throughout the year
 - Measurable results
 - Your observations
 - Objective & subjective criteria

Slide 13 – New Ratings for Employee Competency

- N = Needs Improvement
- M = Meets Expectations
- S = Strength

Slide 14 – Section I: EMPLOYEE COMPETENCY

(Circle competency that applies)

Has competence to perform job:

N M S

Has and maintains current knowledge and/or skills necessary to perform work competently. Participates in opportunities to enhance proficiency in accomplishing work and goals of group.

Demonstrates high quality of work:

N M S

Delivers high quality products/service. Work is accurate, thorough and documented appropriately. Follows through to assure work is completed.

Slide 15 – Example 1: Has Competence to Perform Job

Robert is highly qualified and knowledgeable in most aspects of his job. He stays abreast of government regulations. However, Robert must learn newer techniques and systems to more efficiently do his job. No improvement from last year was made in this area.

Slide 16 – Section I: EMPLOYEE COMPETENCY

Meets schedules, commitments and productivity levels: **N M S**

Uses time efficiently and effectively to meet job responsibilities. Contributes to efficient workflow, meets deadlines; ensures that commitments are on time and productivity levels are sustained. Where appropriate, establishes priorities, anticipates potential problems, and organizes workflow.

Takes responsibility for achieving work:

N M S

Has depth of knowledge and skill to perform assignments with minimal supervision. Takes initiative in identifying and completing tasks. Uses appropriate judgment in seeking help and in keeping supervisor informed on the progress/status/issues relating to work.

Slide 17 – Example 2

Meets Schedules, Commitments and Productivity Levels

Lisa continues to be excellent in organizing the department's work to meet established schedules. Quarterly and monthly reports are submitted on time. Nearly all of the inventory control reports were done during the month scheduled, despite limited staff which made it difficult to meet schedules during periods when people were ill or on vacation.

Slide 18 – Section I: EMPLOYEE COMPETENCY

Is flexible and adaptable to change:

N M S

Responds willingly to changes in procedures, processes, technology, responsibility and/or assignments. Adjusts to changes in the work environment. Recommends changes when appropriate.

Contributes to accomplishment of team/ group objectives: **N M S**

Actively participates in and reinforces the efforts of the team or work group.

Slide 19 – Example 3

**Is Flexible and Adaptable to Change
Contributes to the Accomplishment of Team/Group Objectives**

Year 1

Jim’s personal style is to speak his mind and to expect his colleagues to perform professionally. He has had noteworthy success in meeting the Laboratory’s technical goals, but there have been several instances where those working with Jim have commented that he has been inflexible and overly demanding...

Goal – None

Rating – Excellent

Year 2

It took Jim longer than others to build up a good working relationship with his colleagues. In several cases, coworkers have initially reacted negatively to his demands for professional performance.

Goal – None

Rating – Excellent

Slide 20 – Section I: EMPLOYEE COMPETENCY

Demonstrates commitment to a diverse and respectful workplace:

N M S

Treats others with respect. Contributes to an atmosphere that encourages cooperation. Has a positive attitude toward people and job assignments. Contributes to a workplace free of discrimination and consistent with SLAC policy.

Demonstrates sound judgment:

N M S

Evaluates objectives, alternatives and solutions carefully. Makes well-reasoned, timely and effective decisions within the scope of his/her authority. Effectively identifies and resolves problems.

Slide 21 – Example 4

John has a reputation for frankness and competence that are well known at SLAC and also at other DOE laboratories.

Slide 22 – Example 5

In Jane’s former position, she was perceived as capable but that her strength was not working with people. Since coming to this department, Jane has shown this perception to have been, at least, an artifact of the work culture in that division generally rather than a characteristic of her own work persona.

Slide 23 – Section I: Employee Competency

Contributes to environmental health and safety of workplace: N M S

Understands and carries out applicable ES&H practices and procedures. Identifies hazards for each work process and systems and the requirements used to control hazards. Implements systems/requirements, where appropriate. Contributes to improvement of a safe work environment for self and co-workers. Does not engage in unsafe activities.

Slide 24 – Section I: EMPLOYEE COMPETENCY

Contributes to security at SLAC and protection of government assets:

N M S

Understands and carries out applicable physical and/or cyber security practices and procedures. Contributes to the security effort at SLAC. Promptly reports irregularities.

Slide 25 – Section II: Supervisory/Lead Competency

Provides group leadership:

N M S

Establishes and/or communicates organizational goals, objectives, priorities and changing priorities. Knows and implements SLAC/Stanford policies (e.g. Administrative Guide, Bargaining Agreement, Respectful Workplace). Leads group to achieve performance results that support department/SLAC mission. Promotes respectful communication and positive working relationships among staff. Contributes to management of larger work group.

Promotes optimum performance of individuals:

N M S

Establishes and communicates individual performance expectations. Provides appropriate guidance, coaching, and feedback to employees. Shares knowledge and skills with others. Encourages employee development of new concepts/ideas. Effectively assigns and delegates work. Seeks to improve performance of others by applying effective coaching/counseling techniques.

Slide 26 – Example 6

Provides Group Leadership

Harry has the ability to recognize problems and develop practical solutions. He is particularly good at recognizing personnel problems before they become a major issue. He then either solves them himself or refers them to the group leader as necessary.

Slide 27 – Section II: Supervisory/Lead Competency

Manages resources:

N M S

Demonstrates ability to effectively and efficiently allocate and coordinate resources, such as staff, budget, facilities, schedules, technology, and information.

Slide 28 – Section II: Supervisory/Lead Competency

Promotes environmental health and safety:

N M S

Communicates ES&H policies, systems, practices and procedures to staff and holds staff accountable for working within ES&H systems. Identifies hazards for each work process, identifies and implements systems/requirements used to control hazards, checks that systems are controlling the hazards and improves ES&H practices where required. Evaluates ES&H training needs for staff and ensures that they are appropriately met.

Slide 29 – Section II: Supervisory/Lead Competency

Promotes awareness of staff's role in security and protection of government assets: **N M S**

Keeps current on applicable security procedures and policies and ensures that they are communicated to staff, understood, and implemented. Evaluates security awareness levels of staff and ensures that they are appropriately aware of their continuing role in SLAC's security program

Promotes affirmative action: **N M S**

Understands and effectively implements affirmative action techniques in hiring and promotion.

Slide 30 – Section III: Supervisor's Summary of Accomplishments and Progress on Goals

Slide 31 – Example 7

Summary of Accomplishments

Helen consistently demonstrates a high degree of initiative. As an example, she developed two manuals, one a job manual covering her tasks and responsibilities in sufficient detail that someone could use it to do the posting job. In fact, a co-worker unfamiliar in the process used it successfully to become a contributor in this area. This was a lengthy and valuable effort.

Slide 32 – Example 8

Summary of Accomplishments

Joan is exceedingly reliable, frequently takes work home and regularly calls her staff during her days off to ensure that all is well. She is flexible and readily accepts additional tasks.

Slide 33 – Section IV: Overall Performance Summary

Rating Summaries

1. Does Not Fully Meet Job Expectations:

Employee's overall performance is not satisfactory because of a serious deficiency in one or more of the following areas: knowledge and/or skills; quality of work; quantity of work; timeliness of work; flexibility and/or adaptability to change, attendance; or behavior (cooperation, adherence to respectful workplace policy, positive attitude, etc.)

2. Consistently Meets Job Expectations:

Employee completes assignments accurately and on time; assumes new responsibilities/duties when asked; develops and applies new skills or techniques as required; adapts to changing work environment and assignments with little difficulty; requires minimal direction; maintains regular attendance; contributes to a respectful work environment.

3. Consistently Exceeds Job Expectations:

Employee consistently produces superior results on schedule; takes initiative in identifying and completing tasks; assumes responsibilities beyond those normally assigned; seeks new challenges; provides creative solutions to varying problems; rapidly adapts and applies new skills to assignments; helps others achieve work goals; maintains high performance during planned or unplanned changes in work

environment; promotes a respectful work environment through treatment of co-workers, supervisors, and customers.

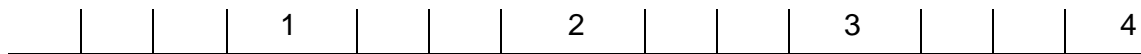
4. Far Exceeds Job Expectations:

Employee consistently demonstrates performance, competence, judgment, depth of knowledge and creativity well beyond expected standards for his/her position; demonstrates outstanding ability when assuming unusually demanding responsibilities; has made major contribution(s) to the work group, department, or Laboratory in the current evaluation year.

Slide 34 – Section IV: Overall Performance Summary

DIRECTIONS:

- Read the Rating Summaries below and determine which rating **most closely** describes the employee's overall performance. Remember that not all aspects of the suggested criteria in each rating may apply and some may overlap.
- Place an "X" on the ruler below at a spot that most accurately indicates the employee's rating for the performance period.
- Write a paragraph (or more) describing the specific performance that explains the rating.



Slide 35 – Section V: Performance Objectives for the Coming Year

Jointly establish performance objectives that will improve, sustain or increase employee's effectiveness in the job. Stated objectives will contribute to the next performance review.

Slide 36 – Setting Goals/Objectives: S.M.A.R.T.

- **Objectives**
 - S – Specific:** Do you and the employee both understand exactly what is being asked of the employee?
 - M – Measurable:** Do you and the employee both understand how success will be defined? How much/many of the tasks must be completed? What level must the performance meet?
 - A – Attainable:** Can this employee meet this expectation? Does he/she need training or additional help to do so?
 - R – Realistic:** Can the employee meet the expectation in the current environment or circumstances? Does he/she need additional resources or help to do so?
 - T – Time-based:** What are the deadlines? How much time should this expectation take? What percentage of the employee's time should it take?

Slide 37 – Example 9

Goals

1. Ensure that the staff attend all training courses in their ES&H training plan when offered.
2. Issue quarterly utilization report to John Smith no later than three weeks after the end of the quarter.
3. Complete all scheduled equipment inspections no later than two weeks after the end of the month scheduled.
4. Attend at least one management training class.
5. Attend at least two computer skill classes.
6. Attend all ES&H training courses in your ES&H training plan when offered.

Slide 38 – Example 10

Goals

Continue to improve sensitivity when communicating with coworkers

Slide 39 – Section VI: Employee Comments

- Employees are encouraged to add their comments to this review or to comment on other issues/concerns in the workplace. Attach an extra sheet if needed.

Supervisor's signature _____ Date_____

Employee's signature _____ Date_____

The employee's signature acknowledges only that he/she has received this evaluation and does not mean that he/she agrees with it. If an employee disagrees with the evaluation, he/she has the right to add written comments above or in an attached memo. The employee may also send a copy to the Human Resources Department, where it will be added to his/her personnel file. The Associate Director for the employee's division will also read any comments sent to Human Resources.

Slide 40 – Complete the Form

- Meet with the employee
- Minimize surprises
- Use consistent standards
- Address established goals
- Focus comments on the employee's job performance and/or behaviors.
- Have specific examples to illustrate any generalizations you make about performance

Slide 41 – Performance Review Meetings

- Constructive discussion with employees about reaching performance goals and expectations
- Opportunity to revise goals and expectations
- Opportunity to assess interim progress or lack of progress
- Obtain the employee's perspective
- Listen to the employee's comments
- Answer any questions
- Let the employee know if you will consider making any changes based on the discussion

Slide 42 – Talking about Performance

- What the employee actually did
- Results and contributions
- Impact/Import

Slide 43 – Talking about Performance

- Be specific
- Be constructive
- Be clear about conditions and consequences
- Be focused on winning performances
- Be quick with feedback and recognition

Slide 44 – Process

- Solicit employee input (but do not ask the employee to write his or her own evaluation)
- Give the employee a draft of the evaluation for review
- Schedule a private meeting with the employee to review the draft together (make sure the employee has adequate notice and time to review the draft ahead)

Slide 45 – Input from the Employee

- What does the employee believe are his/her major achievements during the current evaluation period (that is, April 1, 2002 – March 31, 2003)
- What does she/he believe has stood in the way of accomplishing job expectations or goals
- What help does the employee want from you and the Laboratory in order to meet these expectations and accomplish these goals.

Slide 46 – Meeting with the Employee

1. Opening
 - Friendly
 - Explain purpose
 - Outline meeting format
2. Seek employee's assessment of his/her performance. Engage in "Active Listening"
3. Explain your evaluation of his/her performance.
4. Work out differences
5. Summarize discussion

Slide 47 – “Hotbuttons”

Use language that is factual and emotionally neutral whenever possible. Avoid using words or phrases which may elicit an emotional response from an employee.

Examples:

- You never/always ...
- I can't believe you did/said ...
- Why you ever did ... I will never know.
- What you should do is ...

Slide 48 – Focus on Behavior

How do you describe these behaviors?

- Have a positive attitude
- Be a good employee
- Show cooperation
- Perform confidently
- Work conscientiously
- Be a team player

Slide 49 – But if You Do Hit A Hotbutton

Listen attentively without interrupting. Take several deep breaths to help you control your physical reactions.

Make a conscious choice about your response. You can get angry, try to solve the problem or ignore it (Trying to solve the problem is the best way to keep it from happening again).

Acknowledge the other person's feelings. Make it okay for them to feel the way they do.

Ask objective questions for clarification. Open-ended questions are useful.

Try to see the other person's point of view. Agree where you can and feed back what you are hearing.

Slide 50 – But if You Do Hit A Hotbutton

Stick to the subject. Define your problems and don't let other issues interfere.

Be patient. Problems don't always have immediate solutions. Be patient with the other person **and** yourself.

Express your point of view. Don't force proof. Present your evidence without backing them into a corner.

Explain why. A reasonable explanation can often take the sting out of an emotional issue.

Work out a “win-win” plan. Make sure your solution is fair and workable for both, or all, of the people involved.

Slide 51 – Potential Pitfalls

- Not bothering – no one is perfect
- Not wanting to “rock the boat”
- Excusing shortfalls – “Yes, but...”

Slide 52 – Avoiding Possible Pitfalls

- Rate the job performance, not the person
- Describe behavior rather than characterize it with charged or judgmental words
- Consider the whole evaluation period, not just recent performance
- Avoid the “halo” effect – evaluating the individual based on most recent ‘best’ or ‘worst’ performance

Slide 53 – Seven Principles of Leadership

1. Set clear standards
2. Expect the best
3. Pay attention
4. Tell the story
5. Personalize recognition
6. Celebrate together
7. Set the example

Slide 54 –

*Respect employees for who they are;
Recognize them for what they do.*

APPENDIX F

Stanford Linear Accelerator Center

Operated for the U.S. Department of Energy by Stanford University



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Date: May 5, 2003

To: All SLAC Employees

From: Lee Lyon
Director of Human Resources

Subject: New performance evaluation form and process

In the next several weeks, your supervisor will be conducting your annual performance evaluation. This year, there will be a new form and a somewhat different process for reviewing your performance. The new form and process have been endorsed by the Associate Directors in all Divisions and will be used consistently throughout SLAC. The questions and answers below are intended to help you to understand the purpose of the new form and process and how they will be used to review your performance.

Q. Why did we change the form and process?

A. Performance evaluation is not a single event. It is part of a process that requires your supervisor to communicate expectations to you throughout the year and to document your successes and areas for growth or improvement. This on-going communication and documentation provides a basis for a fair, complete, and honest evaluation of your performance.

Our old performance evaluation form and process had been in place for over ten years. In some cases, supervisors were using the form and process very well. But often, the performance evaluations were not a complete and/or accurate summary of the year's performance. Last year, most SLAC employees were rated as "Outstanding" or "Excellent." Deficiencies in performance or behavior were often not noted, or if they were, no goals were set for the next year to correct these deficiencies or to improve performance.

Sometimes accomplishments were not recognized and documented. In addition, little attention was given to helping employees grow in their jobs or in their careers. The new form and process will give us a *fresh start*. Your supervisor will evaluate your performance based on what he/she expects from you, based on your skills, abilities, experience and the nature of your work. In other words, your performance will be judged against the individual expectations for your job.

Q. Why bother with performance evaluations this year when there is no salary program?

A. The performance evaluation process has other important functions in addition to assisting with salary setting. The evaluation form is a useful tool for helping you and your supervisors communicate about job expectations, accomplishments, progress on goals, deficiencies in performance or behavior, and to set goals for the next year. It also provides a good opportunity to discuss what resources you may need in order to accomplish your goals, to learn new skills, to explore other areas of your work, or to enhance your career development.

Although it was not planned, this year is actually a very good year to introduce a new form and process for performance evaluations because we will have a year to use and refine the form and process before we link it to salary setting.

Q. What is the difference between the old form and process and the new one?

A. There are three key differences in the form: (1) there is one form for all employees; (2) the rating scales have changed; and (3) the content has been revised.

There is also a new focus on the evaluation process. This year, your supervisor will be rating you *separately* in two areas: (1) job competencies and (2) overall job performance. In the job competencies sections, your supervisor will rate you on the individual expectations for the position you are in. It is anticipated that most employees will meet the expectations for their positions, but those expectations may differ from person to person, depending upon such factors as job classification, educational background or skills, years of experience in the job, resources available to do the job, and the type of work to be done.

Q. What are the new rating scales?

A. The ratings for the job competencies are:
N - Needs Improvement
M – Meets Expectations
S – A Strength

The ratings for the overall performance are:
1 – Does Not Fully Meet Job Expectations
2 – Consistently Meets Job Expectations
3 – Consistently Exceeds Job Expectations
4 – Far Exceeds Job Expectations

Q. What do the new ratings for job competencies mean and how will they be used?

A. Needs Improvement indicates that an employee’s performance or behavior needs to be improved or changed in that particular competency to meet the expectations of the position the employee holds. But, it also can mean that an employee needs to “grow” in a certain area to advance in his/her job or career at SLAC.

For example, an employee may be doing satisfactory work, but may need to update his/her skills in a particular area in order to achieve optimal performance in the job. Or, a high performing employee may need to improve his/her interaction with colleagues so that group is able to work more effectively as a team.

If “Needs Improvement” is noted in a competency, the supervisor must explain the reason for the rating and should discuss with the employee how improvement can be made or how growth can be achieved.

Meets Expectations means that an employee’s competency is at the expected level given the employee’s classification, educational background, skills, years of experience, etc. For example, an employee who has been in a job for 10 years would be expected to perform with more skill than a new employee who is just learning the job. Although the experienced employee may be producing more than the inexperienced employee, both would be rated as “Meets Expectations” because their supervisor would expect more from the experienced employee.

A Strength recognizes that an employee excels in a competency. For example, an employee who is otherwise meeting the expectations of his/her position may excel in the area of contributing to the accomplishment of group objectives because that employee is able to generate enthusiasm in the group for tackling new or difficult challenges that the group faces. Or, an employee whose overall performance rating may be below the expectations for the job may have strength in a particular competency that the supervisor wants to recognize. The supervisor should explain the reason for the rating.

Q. Will a high performer get “S”, an adequate performer get “M” and a low performer get “N” on most competencies?

A. No. Most of us are meeting the expectations of our jobs, and we probably will be rated as “M” on most of the competencies. However, there are some competencies in which we may excel and others in which we may lag—the competency ratings help highlight these areas.

The ratings on the competencies are determined by how an employee performs given the supervisor's expectations for that individual employee. Thus, if an employee is rated as "N" in many or most competencies, the employee may have a serious deficiency in performance or behavior that needs to be corrected if the employee is to continue working at SLAC. (In such a case, Employee Relations should be notified.) At the other extreme, if an employee is rated as "S" in many or most competencies, that employee may be ready for more challenging work assignments.

The most important function of these ratings is to give you and your supervisor a way to recognize strengths, to deal with areas needing improvement or growth, and to help you reach your optimal performance.

Q. Isn't it unfair for a supervisor to rate the competency of a high performing employee as simply meeting expectations?

A. No. These competency ratings should *not* be compared to grades on a report card. They are intended to communicate to you how you are performing compared to what your supervisor expects from you. If you have been a high performing employee, your supervisor will probably expect you to continue your high performance because you have proven that you are capable of performing well. "Meets Expectations" is a positive rating for you. Given your high performance, however, you and your supervisor may also want to talk about such things as how you can grow in your job, what new assignments you may want to take on to add more interest or challenge to your work, or what you can do to advance your career at SLAC.

Q. There are three levels of competencies and four levels of overall performance. Why don't they match up?

A. Competency ratings are directed at an individual's performance as compared to what his/her supervisor expects given the individual's job classification, education, skills, experience, past performance, etc. Some competencies have much more impact in a particular job than others. Thus, even though the competencies are rated individually, their relative importance may affect the outcome of the overall performance rating.

The Overall Performance Summary is a separate rating. It is broader than the competencies and is intended to provide perspective on how the individual job performance is reflected within the context of the work group. The Overall Performance Summary rates the employee's performance relative to what is expected for individuals with similar skills, experience and education in comparable jobs. If there is no comparable job within the work group, jobs in comparable classifications at SLAC may be considered.

Q. How will the ratings in the Overall Performance Summary be used?

A. The ratings for the Overall Performance Summary are numbers from 1 to 4 and are described in some detail on the evaluation form. These rating should *not* be compared to the old ratings of "Outstanding," "Excellent," etc. Remember that in changing our performance

evaluation form and process, we are getting a *fresh start* in trying to make the performance evaluation process more accurate and helpful to you in achieving optimal performance for your job.

Does Not Fully Meet Job Expectations means there is a serious deficiency in the employee's performance or behavior. This rating puts the employee on notice as to what the deficiency is and what improvement is required. It also gives the employee an opportunity (and, if applicable, the resources) to improve his/her performance so that it meets the expectations of the job.

Consistently Meets Job Expectations means that the employee consistently performs his/her work competently, safely and respectfully in accordance with the expectations for someone in that employee's position and with that employee's education, skills, experience, etc. Most employees at SLAC, who do their jobs well and as expected, perform at this level.

Consistently Exceeds Job Expectations will be used for those employees who consistently perform *beyond* the expectations for that job. This rating should not be used simply to recognize that an employee is performing well. Rather, it should be used to reflect how an employee is performing in relationship to the expectations for an employee at that job classification and with particular education, skills, experience, etc.

For example, a physicist with a Ph.D. and ten years of experience at SLAC performing at a level consistent with his/her education and experience may be rated as "Meets Expectations" while another physicist with a similar background and experience may be rated as "Consistently Exceeds Job Expectations" because the second person consistently performs beyond what is expected for a person in that job with a comparable background and experience.

Far Exceeds Job Expectations will be used when an employee has made an exceptional contribution to his/her group, department or to the Laboratory in the current evaluation year. This rating is reserved for those instances when an employee has had the opportunity to assume an *unusually* demanding responsibility (well beyond the normal expectations for his/her job) and has succeeded in achieving the task presented by this situation. Given this definition of a "4" rating, it would be unusual for any employee to receive this rating year after year.

If you have further questions about the new performance evaluation form or process, please call Carmella Huser at Ext. 2358. We also welcome your input or suggestions for improving the form or process and for making the process more helpful to you.

APPENDIX G

Comparison of SLAC Benchmark Salaries to Market

	Company A	Company B	Company C	Average SLAC Position
Administrative Associate	-5.93%	7.51%	5.01%	2.20%
Applications Programmer	4.44%	8.29%	6.49%	6.40%
Senior Mechanical Engineer	16.35%	-6.15%	22.38%	10.86%
Senior Electrical Engineer	14.74%	-9.14%	-5.02%	0.19%
Average Percentage				4.9%

Note: Negative = SLAC Lag, Positive = SLAC Lead

Company A will be implementing 4% increase to Admin
and 5% increase to Technical jobs in a month or so.

APPENDIX H

Benefits Comparison of SLAC to Selected Local Companies

	SLAC	Company A	Company B	Company C
LEAVES (Days)				
Holidays	11	11	10	10
Vacation after 1 year EX,NX	20, 15 - avg 18	10	15	na
Sick	12	10	10	na
PTO	3	na	na	18
Birthday	1	na	1	na
Leave Totals	45	31	36	28
SLAC Position	5% Higher			
EDUCATION				
Staff Tuition:				
STAP (classes, workshops)	\$800/year	na	per manager's approval & budget	na
STRP (degree program)	up to \$5,250/year +	up to \$8,500	up to \$5,250/year +	up to \$7,500
Children's College Tuition	up to \$13,602	na	na	na
SLAC Position	Higher			
CONTRIBUTORY RETIREMENT				
Nonmatch Employer Contribution	5%	na		after 2 years:
100% Employer Match	5%	3%	50% up to 6%	100% up to 6%
Other		50% match next 3%	1 - 5% deferred profit sharing	
SLAC Position	6% Higher			
MISCELLANEOUS				
Child Care Subsidy	up to \$5,000	na	na	na
Help Center (Employee Assistance)	yes	no	yes	yes
Profit-sharing	no	yes, 0% this year (max 15%)	target 5% (can be 0-10%)	
SLAC Position	Indeterminate			
HEALTH PLANS				
Any option to pay whole HMO premium for EE-only?	yes	no	no - \$75/month	EE pays 30% of cost
SLAC Position	Indeterminate			