

Completing the Performance Appraisal Form

Employee Appraisal Information Section

The Merit System Performance Appraisal Cover Page

3 Month Appraisal

7 Digit Employee ID
or Last 4 of SSN

Employee Name

Jurisdiction

Status

Class Title

Merit Increase Date
(must be within + - 8 days
of the anniversary date)
N/A if not applicable

Period applicable to this appraisal from _____ to _____

This section of the Performance Appraisal Form provides information about the employee being appraised. Appraisals may be conducted at any time, but must be conducted at least annually.

3-Month, 6-Month, and 9-Month appraisal forms are recommended for probationary employees as a way of letting the employee know how they are doing and whether there are any areas in which they need improvement.

Off-Cycle appraisals may be conducted anytime a supervisor feels it would be advantageous to document an employee's performance. They may also be used where an employee's performance on their annual appraisal reflects important and immediate performance improvement goals. If a merit increase is denied because of performance deficits reflected on an annual appraisal form, the employee may, if approved by an appointing authority, be granted the increase when their performance improves sufficiently. The improved performance would be documented on an Off-Cycle Performance Appraisal Form. Delayed merit increases change the employee's anniversary date to the effective date of the merit increase.

Employee ID - The employee number assigned by the Personnel Board's Human

Resource Information Management System (Lawson) when an employee is appointed to the Merit System. This number is used in lieu of an employee's SSN for reporting purposes and for accessing Merit System restricted websites. Use of the complete SSN is not advisable. If using SSN, use the last four (4) digits only.

Employee Name - The employee's full legal name, not their nickname.

Jurisdiction - The name of the jurisdiction in which the employee is employed.

Class Title – The class currently held by the employee reflecting the duties and responsibilities being evaluated.

Merit Increase Date – The effective date for the employee's merit increase, if applicable. An employee whose salary is at the maximum step in grade cannot receive a merit increase. Merit increase effective dates must be within plus or minus eight days from the employee's anniversary date. If the employee is already at his or her maximum step in grade or the performance appraisal is not otherwise associated with a salary increase, enter N/A in the field for not applicable.

Period Applicable – Reflects the range of dates for which the employee's performance is being evaluated.

If you need information to complete this section, contact your jurisdiction's payroll coordinator or HR Department or the Personnel Board's Records Management Department.

How to Use This Form Section

Step 1: Supervisor (Rater) completes the responsibility statements review.

The Performance Appraisal Form contains a list of classification-specific responsibility statements. These statements reflect the duties performed by employees in the class. The statements may be general in nature where there are many incumbents or more specific where there are fewer incumbents.

Employee should be rated on no more than 10 of the listed task statements that **best** reflect the employee's duties and responsibilities. Other documentation may be attached.

A - Below Expectations | B - Needs Improvement | C - Meets Expectations | D - Commendable | E - Exceeds Expectations

For each selected statement below, circle A, B, C, D or E (See above rating scale).

- A B C D E MEETS DEPARTMENTAL REQUIREMENT ON COMPLIANCE WITH RULES, POLICIES AND PROCEDURES.
- A B C D E DEVELOPS COURSE OUTLINES AND APPROPRIATE TRAINING COURSES TO MEET TRAINING CURRICULUM GOALS AND OBJECTIVES.
- A B C D E MAKES DETERMINATION OF TRAINING COURSE DESIGN AND FORMAT AND THE SPECIFIC TRAINING MATERIALS NEEDED FOR PROGRAM DELIVERY.
- A B C D E DEVELOPS TRAINING TOOLS AND OTHER INSTRUCTIONAL MATERIALS FOR CLASS IMPLEMENTATION.
- A B C D E SERVES AS INSTRUCTOR FOR ASSIGNED TRAINING COURSES USING APPROPRIATE AND VARIED TRAINING TECHNIQUES.
- A B C D E ESTABLISHES AND IMPLEMENTS PROCEDURES FOR EVALUATING TRAINING INITIATIVES TO INCLUDE DEVELOPING AND ADMINISTERING QUESTIONNAIRES OR OTHER INSTRUMENTS TO MEASURE TRAINING EFFECTIVENESS.
- A B C D E MAINTAINS KNOWLEDGE OF CURRENT TRAINING TRENDS AND DEVELOPMENTS IN THE FIELD BY READING APPROPRIATE BOOKS, JOURNALS & OTHER LITERATURE; ATTENDS RELATED SEMINARS AND CONFERENCES ON TRAINING INNOVATIONS.
- A B C D E INTERACTS WITH MEMBER JURISDICTIONS & CO-WORKERS TO ESTABLISH & MAINTAIN GOOD COMMUNICATION AND WORK RELATIONSHIPS WITH EMPLOYEES.
- A B C D E MAINTAINS A CONSISTENT, HIGH QUALITY, CUSTOMER-FOCUSED ORIENTATION WHILE FACILITATING EMPLOYEE TRAINING SESSIONS.
- A B C D E MAINTAINS RECORDS OF TRAINING PROGRAMS & SEMINARS CONDUCTED; SUBMITS REPORTS OUTLINING PLANNED TRAINING, SESSIONS CONDUCTED & SUBSEQUENT EVALUATIVE SURVEYS OF TRAINING PRESENTED.

The number of statements varies from class to class.

- If more than 10 statements are listed, the Rater should appraise the employee on no more than 10 of those listed. Those selected should be the ones that **best** reflect the employee's duties and responsibilities and the work performed during the appraisal period.
- It is acceptable for an appraisal to contain fewer than 10 statements.
- If needed, a Rater may add up to ten statements that more accurately reflect the employee's duties and responsibilities. **Note:** These statements will not be permanently incorporated into the Performance Appraisal Form. It is suggested that you save them to your desktop by employee name or ID and copy and paste them into the employee's next Performance Appraisal Form.

Again, the total number of appraisal statements should not exceed ten.

If you determine it necessary to write in additional appraisal statements, be specific and to the point. Make sure that the statements are substantively different from any existing statements.

Circle the Appropriate Letter.

Circle the letter (A – E) that best describes the employee’s performance relative to the listed responsibility statement.

A Below Expectations rating requires that the Rater document what performance substantiates the rating.

A – Below Expectations

Circling A means that the employee’s performance in this area has been unsatisfactory and below established department expectations. This rating requires the Rater to document on the Appraisal Form or in an attachment, incidents of unsatisfactory performance to substantiate the rating.

An employee who receives two or more “Below Expectation,” ratings is not eligible for a merit increase.

B – Improvement Needed

Circling “Improvement Needed” means the employee’s overall performance in this area has been marginally satisfactory; however, the employee has demonstrated sufficient poor performance to justify communicating that the employee needs to improve. No documentation is required for this rating.

C – Meets Expectations

Circling “Meets Expectations” means that the employee’s performance has been satisfactory in this area. This indicates performance is well within the range of established expectations. No documentation is required for this rating.

D – Commendable

Circling “Commendable” means the employee’s overall performance in this area has been very satisfactory. Additionally, sufficient exceptional performance has been demonstrated to warrant acknowledgment. No documentation is required for this rating.

E – Exceeds Expectations

Circling “Exceeds Expectations” means the employee’s performance in this area

has exceeded established goals, standards or objectives. Documentation is suggested for a rating in this category. Such documentation should explain what was expected and how the employee exceeded the expected level of performance.

An “Exceeds Expectations” rating does not negate a “Below Expectations” rating.

Review Acknowledgement Section

REVIEW ACKNOWLEDGEMENT

A merit increase cannot be awarded if employee receives two or more marks in the "Below Expectations" column.
This employee received a total of _____ marks in the "Below Expectations" column.

The Rater enters the total number of “Below Expectations” for the employee. If the employee received two or more “Below Expectations” ratings, the employee is not eligible for a merit increase.

Note: Communicate with your jurisdiction’s payroll coordinator or HR Department immediately about a rating that would not warrant a merit increase.

Step 2: Rater reviews performance appraisal with higher-level Management Official and completes Box 1.

BOX 1	Management Approvals
_____	_____
Rater Signature	Rating Date

Rater Print Name Here	

Rater's Phone#	

Rater's E-Mail Address	

Rater's Employee ID#:	

_____	_____
Management Official's Signature	Date

Ideally, the Rater and Management Official collaborate on an appraisal. However, when that is not feasible, the Rater should discuss his or her appraisal ratings with the Management Official to verify concurrence.

If the Management Official determines a rating change is needed, he or she changes it by erasing the old rating and circling a new one. The Management Official must initial the change. Any change by Management Official must, as in the initial review, be based on facts related to performance standards, goals and objectives.

If the Rater and the Management Official cannot agree on a rating, the Rater has the right to consult with the Management Official's supervisor regarding the appraisal. If so, the change/initial procedure above should be used again.

Before discussing the appraisal with the employee, the Rater and the Management Official(s) should agree on the ratings. If agreement is not possible, the supervisor should use the rating by the Management Official. Any change in the number of "Below Expectations" should be reflected in the Review

Acknowledgement.

Step 3: Box 2 - Employee Acknowledgment - Rater reviews performance appraisal with employee and secures signature.

BOX 2	Employee Acknowledgement
My supervisor has reviewed this appraisal with me and:	
<input type="checkbox"/>	I agree with it
<input type="checkbox"/>	I disagree with it (You may attach supporting documents)
<input type="checkbox"/>	The employee refuses to sign this appraisal
_____	_____
Employee's Signature	Date

In Box 2 are spaces for both the employee's acknowledgment of the appraisal and the employee's agreement or disagreement with the ratings.

The Rater should ask the employee to check the appropriate box, sign and enter the date in the appropriate spaces.

If an employee disagrees with a rating, the employee may attach documents of specific performance to support his or her claim.

If an employee refuses to sign the appraisal, the Rater should check the appropriate statement in the space provided.

Step 4: Return form to PBJC

The Rater should copy the appraisal for jurisdiction or department files and send the original and any supporting documentation through normal administrative channels to the PBJC Records Management Department. The PBJC address is:

Personnel Board of Jefferson County
Records Management Department
2121 8th Avenue North, Suite 100
Birmingham, AL, 35203.

The PBJC enters the appraisal date noted by the Rater and enters either an “S” (satisfactory) or a “U” (unsatisfactory) into the employee’s electronic personnel record. PBJC also scans the original Performance Appraisal Form for permanent recordkeeping.

Employee Appeal of Performance Appraisal Rating

Pursuant to Rule 14.4 of the Rules and Regulations, an employee may appeal an efficiency rating (performance evaluation) to the Reviewing Officer and Department Head within his or her jurisdiction. There is no appeal of efficiency ratings to the PBJC Personnel Director or the Three-Member Personnel Board.