



Annual Performance Discussion FY__

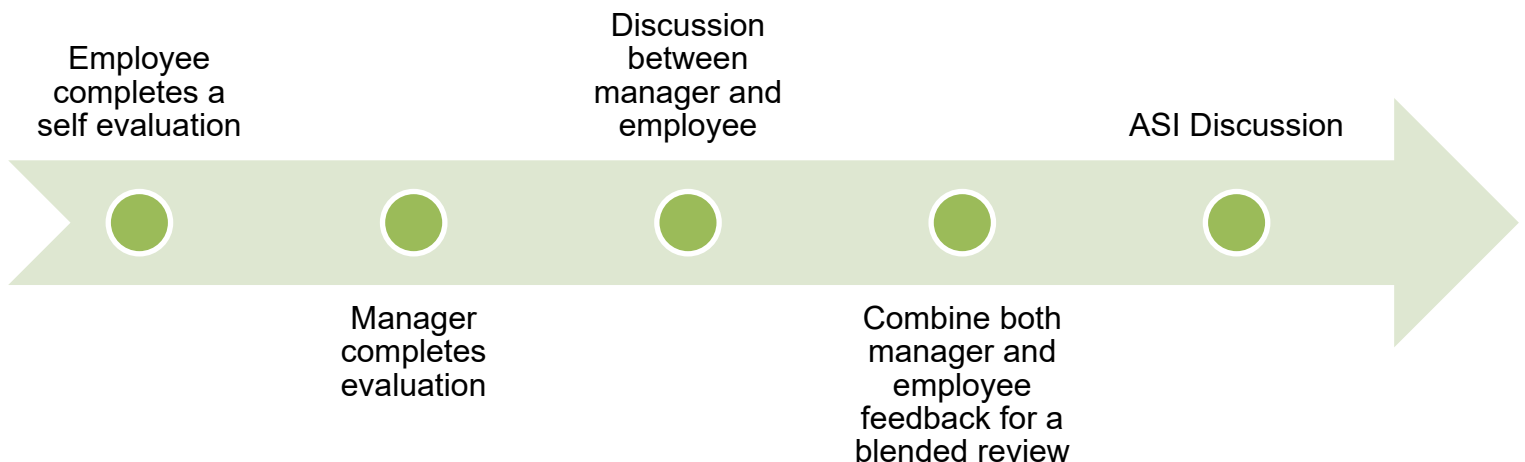
Human Resources is engaging in a coordinated performance process for the Fiscal (FY__). Annual performance discussions will be completed by _____.

The purpose of this process is for each manager to engage in a substantive discussion with their employees. These discussions should include information about personal and professional goal development, performance standards, project identification and feedback.

It is the goal of this process to create transparency, strengthen communication and provide an opportunity for conversation between each team member and their manager.

It is our hope that each team member will feel comfortable contributing to this process and welcome the chance to have solid developmental discussions.

The Process



Instructions:

This document is a tool provided to facilitate performance discussions between employees and their managers. Both employee and manager should complete the entire document and then meet to discuss their notes. After the employee and manager meet, the manager will update the manager's document to incorporate employee input. The final product will be retained by both the employee and the manager for follow-up discussions over the next fiscal year.

Date	
Employee Name	
Employee Title	
Supervisor Name	
Supervisor Title	
Completed By	

New Assignments

Please summarize any new assignments responsibilities, tasks, or projects assigned this year.

Accomplishments and Quality of Job Performance

Describe major accomplishments and quality of job performance over the past year as well as things you have done to advance the mission of the Institute.



Areas for Improvement

Describe areas which need improvement. These areas could include, but are not limited to tasks, goals, assignments, customer service, teamwork, follow-up or interactions.

Roadblocks (to be answered by the employee only)

What roadblocks might have kept you from being as successful as you hoped?

Long-term Outlook (to be answered by the employee only)

What do you imagine doing in 5 years' time? What type of activities would contribute to your career development and progress towards your career goals?



Performance Rating

This section requires you to measure employee performance during the last year. Please feel free to use decimals when completing this section (i.e. 3.5 or 2.5)

Performance Levels	Performance Level Definitions
5: Exceptional	The employee has performed at a level that consistently exceeded the requirements of the job and has affected a significantly positive difference in job results. One of the best employees I have ever supervised.
4: Outstanding	Always or almost always demonstrates top performance. Often surpasses expectations for the role. Regularly does more than what is required.
3: On Target	Achieves effective results. Making a contribution that meets operating and functional requirements or is effectively developing in this area.
2: Inconsistent	Demonstrates an ability to meet expectations, but does so erratically. Requires reminders and guidance in the particular performance area. Corrective action may need to be taken to improve the performance.
1: 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. The employee's performance has not met the objectives and the requirements of the job, and there are serious concerns about future performance.



5 or 4 is above target

(5 means you are ready to teach and coach that competency to someone else)

3 is right on target

(3 is where an employee should be)

2 or 1 is below the desired target



1-Unsatisfactory; 2- Inconsistent; 3-On Target; 4 – Outstanding; 5- Exceptional; N/A – Not Applicable	Employee Self-Rating	Manager Rating
Excellence: Degree to which work has been accomplished with required accuracy, thoroughness, and completeness.		
Output: How the volume of work completed during the review period compares with what is reasonable to expect.		
Problem Solving: Degree to which employee has found solutions to obstacles encountered in completing assignments.		
Teamwork: Degree to which employee has maintained an effective level of communication, respectful behavior, civility and teamwork with coworkers to maximize attainment of group tasks.		
Collaboration: As a Caltech ambassador and community builder, the degree to which employee has established good working relationships with Caltech community.		
Leadership: If applicable, the degree to which employee has provided guidance and direction for the growth development of peers and/or subordinates.		
Communication Skills: Ability to express thoughts, ideas or facts in a clear, civil and concise manner in both verbal and written formats. Listens to and understands others.		
Job Knowledge: Degree to which employee knows, understands, and applies knowledge and skills to effectively perform job assignments.		
Time Utilization: How effectively the employee uses work hours.		
Initiative: 1) Degree to which employee originates independent action to obtain desired job objectives. 2) Degree to which employee trains, educates, teaches self and others.		
Accountability & Integrity: Taking responsibility for the work performed in three dimensions: 1) Owning any problem or task to resolve the issue quickly and effectively. 2) Taking responsibility for one’s actions, including recognition and correction of errors in a responsive and timely manner. 3) Being trustworthy and responsible with confidential and sensitive information as well as being reliable and honest.		



Performance Objectives for next fiscal year

It is important that the objectives be as specific as possible and should be influenced by the performance discussion between employee and manager.

Goals for Job Performance and Productivity in Coming Year:

Goals for Employee Skill Development in the Coming Year:

(what opportunities do you want to take to train, educate or teach yourself?)

Signatures

We are signing this form to indicate that we have participated in a performance discussion and have completed the performance discussion process.

Employee:	Date:
Supervisor:	Date:

