

**PORT OF GUAM**

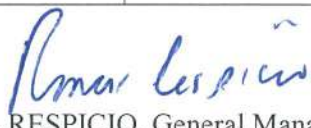
ATURIDAT I PUETTON GUAHAN

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Website: www.portguam.com**Lourdes A. Leon Guerrero**
Governor of Guam**Joshua F. Tenorio**
Lieutenant Governor**POLICY MEMORANDUM NO. 2022-GM01**

To: All Employees	Subject: Performance Appraisal System Procedures
Effective Date: January 6, 2022	Revision Date:
Approved by:  RORY J. RESPICIO, General Manager	

- I. **PURPOSE:** Chapter 7, Performance Appraisal, of the Personnel Rules and Regulations requires the General Manager to establish a system of efficiency rating for the improvement of the service of classified employees within the Authority.
- II. **USE OF PERFORMANCE APPRAISAL REPORTS:** The performance appraisal report shall be used for the following:
 - A. Establish a process whereby the work performance of each employee can be informally evaluated on an ongoing basis;
 - B. Establish standards for quantity and quality of work;
 - C. Provide a formal review of each employee's work performance on a twelve (12) month basis;
 - D. Improve individual performance;
 - E. Identify specific requirements for training and development of employees;
 - F. Strengthen supervisor-employee relationships;
 - G. Grant or deny salary increments;
 - H. Recognize employee accomplishments;
 - I. Determine order of layoffs;
 - J. Grant or deny permanent appointment to an original probationary employee;
 - K. Determine eligibility for promotions or transfers; and
 - L. Determine whether disciplinary action is warranted.
- III. **PERFORMANCE APPRAISAL PERIOD:** Appraisals shall be prepared for:
 - A. Original probational employees on the fifth month of their probationary period.
 - B. Transferred, demoted, reinstated or reemployed permanent employees on the fifth month of their appointment.
 - C. Permanent employees one month prior to their anniversary date of their salary increment.

- D. Permanent employees by each rater under whom the employee has worked for ninety (90) days during any single rating period.
- E. When a supervisor retires, resigns or transfers, an appraisal shall be rendered for assigned employees before leaving the Port.
- F. Employees at the request of the General Manager or whomever deemed necessary by the Division Head.

IV. **RESPONSIBILITIES:**

- A. **General Manager** who is the appointing authority of the Port, has the overall responsibility for establishing, effective implementation, administering and maintaining a performance appraisal system for classified employees.

He is responsible for providing periodic training for all levels of management concerning the performance appraisal system, including the development of performance standards, performance interview techniques and performance ratings.

- B. **Division Heads and Supervisors** are responsible for using the performance appraisal system as a tool for improving the employee's effectiveness and productivity. Specifically, they shall:
 - 1. Responsible for developing key performance indicators, as well as, the completion of the work performance evaluation form with the input from the employee.
 - 2. Ensure timely preparation and submission of the appraisals for all employees under his supervision.
 - 3. Prior to retiring, resigning or transferring, complete an appraisal for all employees under his supervision.
 - 4. Adhere to the policy and Personnel Rules and Regulations.

V. **STEPS IN THE EVALUATION PROCESS**

- A. Raters must familiarize themselves with the contents of the evaluation form, analyze its scope, as well as, the detailed instructions.
- B. Understand thoroughly the duties and requirements of the position held by the employee to be rated—it will be helpful to review the job specification and key performance indicators of the employee's position. These documents could be obtained from the Human Resources Office.
- C. Use a process of objective reasoning, eliminating personal prejudice, bias, or favoritism. For example, personal dislikes or likes of certain mannerism or aspects of personal appearance should not blind the rater to the more important measures of competency or effectiveness.

- D. Excellence in one factor implies excellence in all factors should not be assumed. The employee's performance objectively in terms of each factor listed on the rating form must be observed and analyzed.
- E. The Rater should base his judgement on demonstrated performance—not on anticipated performance. The evaluation is to be based on what has happened, not what might develop.
- F. Evaluate on the experience of the entire rating period—it is better not to consider only single accomplishments or failures, or the most recent performance. Neither should important single instances of faulty or brilliant performance be ignored. They should be considered in context with the total performance for the period.
- G. Consider seniority apart from performance—an employee with short service record may not necessarily be less effective than one with a longer term of employment. Seniority does not guarantee excellence.
- H. Consider the requirements in terms of the level of the position—a Painter II may very well be meeting the requirements of his/her position more effectively than his/her immediate supervisor does in his /her position in a higher classification.

VI. OVERALL RATING OF A PERFORMANCE APPRAISAL

An outstanding or marginal satisfactory rating shall be necessary for the granting of a salary increment. An unsatisfactory rating shall be basis for denial of a salary increment or dismissal from employment with the Agency.

An outstanding rating may be assigned only when all aspects of performance not only exceed normal requirements but are outstanding and deserve special commendation

VII. EVALUATION OF ORIGINAL PROBATIONARY EMPLOYEES

The probationary, or working test period, is the final and most important stage in the selection process of quality employees. By the fifth month of the probationary period, supervisors should have complete confidence that the probationary employee being evaluated fully meets or exceeds the Authority's standards in every important factor if he/she is to be recommended for permanent status.

An overall performance rating of at least a **Satisfactory** shall be necessary before an employee serving an original probationary period may receive a permanent appointment in the class of position he holds.

When an employee serving an original probationary period receives an overall performance rating of **Marginal**, the probationary period shall be extended for a minimum of sixty (60) days during which the employee has the opportunity to improve work performance provided the total probationary period does not exceed twelve (12) months.

The Division Head must justify, in writing, to the General Manager stating specific reasons for the request for extension based on the duties and responsibilities associated with the employee's current position description and job standard. No extension beyond twelve (12) months may be granted.

When an employee, serving an original probationary period, receives an overall performance rating of **Unsatisfactory**, the employee shall be terminated from the Port. A probationary employee who is dismissed has no recourse to file a grievance or appeal his release from employment unless such release is a result of discriminatory action by management.

Failure to submit a probationary letter to the employee prior to the expiration of his established end date of the probationary period does not grant the employee permanent status.

VIII. EVALUATION OF SUPERVISORS

There are various levels and types of supervisory activity within the Authority. It is important, when rating a particular supervisor, to understand how and to what degree each of the factors apply to him. For evaluation purposes, a supervisor is one whom the responsibility has been delegated to evaluate other employees. This definition will necessarily eliminate a number of persons who, while they may direct some activities or provide a degree of technical supervision over other employees, have little or no authority to exercise control over other employees or direct responsibility for the results of their work. For purposes of this report, an employee who is not delegated the responsibility to complete and sign evaluation reports on other classified employees should not be evaluated as a "Supervisor".

IX. PERFORMANCE RATING RESPONSIBILITY

A. Immediate Supervisor or "Rater":

The Rater shall be the individual who oversees, reviews and checks the daily work performance of the employee being rated or is the supervisor who is most closely acquainted with the employee's daily work performance

The Rater's responsibility includes:

1. Informing employees fully of the key performance indicators or performance standards they are expected to meet in doing the work assigned.
2. Discussing performance with employees on a continuing basis.
3. Rendering reasonable assistance when needed to improve employee performance, and otherwise strengthening supervisor-employee relationship.
4. Informing employees of their performance rating.
5. Taking or recommending appropriate action when an employee's sustained performance, whether good or bad, warrants such action.
6. Developing performance requirements or key performance indicators.

B. Division Head or “Reviewer”

The Division Head or “Reviewer” controls and is responsible for the rater and as such is responsible for the initial review of performance ratings.

The purpose of the review is to improve the accuracy and fairness of the rating, including factor marks, evaluation on specified tasks, remarks or supporting documents, and the overall rating. Whenever the Reviewer does not entirely agree with the Rater’s evaluations, a meeting should be held in order that a mutual understanding be reached. Any changes made by the Reviewer should be noted as part of the rating without effacing the Rater’s evaluations.

X. PERSONAL DEVELOPMENT

Personal development focuses on initiatives recommended or taken by employee or with the Port’s support that demonstrated a positive and proactive approach to personal growth and development.

The Rater and Reviewer will indicate the development needs and recommend specific development actions which is believed will help the employee improve his performance or prepare him for greater responsibility beyond his present job.

This section also recognizes and rewards the employees for relevant achievements in excess of the minimum educational requirements of the position, such as, higher educational degree, certification, or license.

The awarding of a one sub-step for the achievement will be reviewed by Human Resources Administrator to determine if it was attained during the performance period and in excess of the minimum educational requirements of the position, e.g., in the form of a higher educational qualification(s), professional qualification(s), certification(s), license(s), etc. Human Resources Administrator will recommend to the General Manager if the additional one sub-step is to be granted. All achievements must be current and valid.

XI. PERFORMANCE RATING CONFERENCE

Both the Rater and the Reviewer should discuss the rating with the employee in a positive and constructive manner that would contribute, insofar as possible, a good supervisor-employee relationship and motivate the employee to sustain or improve his/her performance. The rating and the discussion should give the employee due recognition for his/her achievements. The discussion should assure that the employee is adequately informed of the basis of the proposed rating and how the rating relates to the continuous appraisals of his/her performance which has been made known throughout the rating period. The discussion provides an opportunity for constructive planning for future performance.

XII. ACKNOWLEDGMENT OF RATING BY EMPLOYEE

When a rating is discussed with the employee, the Rater and Reviewer should acknowledge the discussion by signing and dating the rating report. The employee should be advised that signing of

the form indicates that the conference has been held and that he/she has had the opportunity to read the report.

If the employee refuses to sign for any reason, explain that his/her signature does not necessarily imply or indicate agreement with the report, and that space is provided for him/her to state any disagreement.

Further refusal shall be noted on the report and forwarded to the Human Resources Office. The supervisor must sign the notation. All signatures shall be in ink. Changes and corrections shall be initiated by the employee and rater.

XIII. DIFFERENCE BETWEEN PERFORMANCE APPRAISAL AND PERFORMANCE RATING

Performance appraisals occurs throughout the year while work is being accomplished. It is through this approach that the supervisor lets the employee know how he/she is doing on a recurring basis. A rating, on the other hand, is a total evaluation of work throughout the rating year and finalized by five (5) distinct ratings, i.e., unsatisfactory, marginal satisfactory, satisfactory, highly satisfactory and outstanding.

XIV. RATING SCALE

The performance range is 0 to 6 sub-steps on an annual basis. The performance evaluation rating factors can generate to a total score between 0–65.

Upon receipt of the employee's performance evaluation report, the Human Resources staff will calculate the performance factors. Copies of the performance evaluation point sheet, performance evaluation form, notice of overall performance evaluation results, and/or salary increment personnel action, shall be provided to the employee. The calculation sheet is also attached to the performance evaluation rating report and filed in the personnel jacket.

A. Performance Factor Points: The points for each performance factor in the performance evaluation report are:

1. E = 5 points each
2. D = 4 points each
3. C = 3 points each
4. B = 2 points each
5. A = 1 point each

For example, the employee receives 5 each E; 3 each D; and 4 each C, the rating scale would be:

5 x 5 points = 25
3 x 4 points = 12
4 x 3 points = 12

Total: 49

- B. Based on the total points, the overall evaluation rating the employee would earn salary sub-steps as follows:

Total Points	Overall Evaluation Rating	No. of Salary Sub-steps
0 to 25	Unsatisfactory	0
26 to 34	Satisfactory (Marginal)	2
35 to 49	Satisfactory	3
50 to 59	Satisfactory (Highly)	4
60 to 65	Outstanding	5
Personal Development	Educational Achievement, License, Certification	+1

- C. Training certification, license or educational achievements acquired during the performance period and in excess of the minimum educational requirements of the employee's official position title, the employee may be entitled to a 1 sub-step on top of his overall rating salary increment sub-steps.

- XV. **OVERALL PERFORMANCE EVALUATION RESULTS:** Human Resources will prepare a Notice of Results of Performance Evaluation Report for the General Manager's signature. The results will indicate the following:

- A. Performance Period: From and To
- B. If performance evaluation report is for:
1. Training Rating
 2. Probationary Rating
 3. Annual Rating
- C. Overall Rating:
1. Outstanding
 2. Highly Satisfactory
 3. Satisfactory
 4. Marginal Satisfactory
 5. Unsatisfactory
- D. One of the following will be check marked to indicate the employee's employment status as a result of this rating:
1. Granted permanent appointment as a classified employee in his current position title
 2. Probationary period is to be extended for an additional x number of months
 3. Eligible for a salary increment
 4. Not eligible for a salary increment
 5. Other

XVI. **APPEALS**

A permanent employee may appeal the overall rating he has received by following the appeal procedures outlined in Rule 7.100, Appeal Procedures for Re-determination of Performance Appraisal of the Personnel Rules and Regulations.

XVII. **FORMS**

The attached forms are referenced in this policy:

- A. Employee Performance Evaluation Report
- B. Performance Evaluation Point Sheet
- C. Notice of Results of Performance Evaluation Report

PORT AUTHORITY OF GUAM
EMPLOYEE PERFORMANCE EVALUATION REPORT



Name of Employee _____ Position Title: _____
Period Covered From _____ To _____ Division/Section: _____
Name of Supervisor _____ Report Due Date _____
Type of Rating ANNUAL Date of Last Evaluation _____

INSTRUCTIONS:

1. Review the evaluation in its entirety prior to beginning the written evaluation. If you feel you are not qualified to answer any of the specific items, please leave them blank.
2. A description of the column headings "A", "B", "C", "D" and "E" follows:
 - A. Unsatisfactory – Fails to meet position requirements or meets them only in part. Definitely below acceptable standards.
 - B. Satisfactory (Marginally) – In general meets minimum requirement of the job.
 - C. Satisfactory – Meets practically all position requirements.
 - D. Satisfactory (Highly) – Meets all job requirements and, in many instances, exceeds them.
 - E. Outstanding – In general exceeds position requirements. Operates at substandard performance.
3. The evaluation should encompass the entire period since the last evaluation as shown above. Recent happenings or isolated dramatic incidents should be minimized.
4. The supervisor and employee should have a common understanding of acceptable standards for the job being evaluated. Be certain that both employee and supervisor are familiar with the job description because the evaluation must embrace the entire job.
5. The performance factors exist, to some degree, in every job. However, some factors are more relevant than others. In the "Comments" section, then, the supervisor should indicate those factors, which he/she considers more pertinent to the job that he/she is evaluating.
6. Comments are essential to the evaluation. When comments are requested, a one-word reply is neither satisfactory nor fair. Comments should be used to explain ratings; also to make specific suggestions for improvement and/or development.
7. Section III is of particular importance to the supervisor and the employee. Before an employee can improve his /her job performance, the employee must know his/her strengths and areas of need. The supervisor must share this information so that the employee will know his/her status and needed development.
8. Whenever an "Unsatisfactory" or "marginal" rating is given on any of the performance factor, the rater must state in Section IV just what action is planned to correct the situation.
9. Whenever an "outstanding" rating is given on any of the performance factors, the rater must state his/her justification for this rating in the respective comment section.
10. After completing the rating on the individual performance factors, the supervisor assigns one of three overall ratings to the employee i.e., unsatisfactory, satisfactory or outstanding by checking the appropriate block.
11. Employee signs and dates form only after the evaluation; comments, recommendations and rating have been explained and discussed by the rater/reviewer. The employee's signature does not denote concurrence with the rating. It is merely signifies that the contents of the completed form were discussed with the employee. If the employee refuses to sign the form, the rater should note on the form that employee refused to sign and then sign the notation.
12. Upon completion of the report, forward on or before the due date to the Personnel Services Office.

I.A

JOB PERFORMANCE FACTORS

A	
---	--

B	
---	--

C	
---	--

D	
---	--

E	
---	--

QUANTITY OF WORK

Produces an acceptable volume of work.

Comments

A	
---	--

B	
---	--

C	
---	--

D	
---	--

E	
---	--

QUALITY OF WORK

Produces an acceptable grade of work

Comments:

A	
---	--

B	
---	--

C	
---	--

D	
---	--

E	
---	--

TIMELINESS OF WORK

Complete work assignments on or ahead of schedule.

Comments:

A	
---	--

B	
---	--

C	
---	--

D	
---	--

E	
---	--

COST

Minimizes controllable cost and effectively utilizes resources on the job.

Comments:

A	
---	--

B	
---	--

C	
---	--

D	
---	--

E	
---	--

SAFETY

Observes safety and health standards.

Comments:

I.B

FACTORS AFFECTING JOB PERFORMANCE

A	
---	--

B	
---	--

C	
---	--

D	
---	--

E	
---	--

INITIATIVE

Performs assigned jobs in a self-confident, eager manner without detailed instruction.

Comments:

A	
---	--

B	
---	--

C	
---	--

D	
---	--

E	
---	--

ATTITUDE

Shows interest, enthusiasm and cooperation.

Comments:

A	
---	--

B	
---	--

C	
---	--

D	
---	--

E	
---	--

ADAPTABILITY

Learns new duties and adjusts to new situations.

Comments:

A	
---	--

B	
---	--

C	
---	--

D	
---	--

E	
---	--

COMMUNICATON

Effectively presents facts and ideas both orally and writing: keeps his/her supervisors and others informed of pertinent matters.

Comments:

RELATIONSHIPS WITH OTHERS

A	
---	--

B	
---	--

C	
---	--

D	
---	--

E	
---	--

Effectively works and deals with others, including co-workers, superiors and customers.

Comments:

JUDGMENT

A	
---	--

B	
---	--

C	
---	--

D	
---	--

E	
---	--

Decides correct course of action when some choice can be made.

Comments:

RESPONSIBILITY

A	
---	--

B	
---	--

C	
---	--

D	
---	--

E	
---	--

Assumes and carries out assigned jobs and is accountable for his/her results and actions.

Comments:

PUNCTUALITY AND ATTENDANCE

A	
---	--

B	
---	--

C	
---	--

D	
---	--

E	
---	--

Total hours LWOP status _____.

Comments:

- II. SUPERVISORY AND/OR TECHNICAL ABILITY (Comments on areas as applicable: supervisory ability, leadership potential, technical ability. If possible, cite with examples on: ability to plan, organize, inspire teamwork and morale, delegate authority, give recognition and handle subordinates.)

- III. OVER-ALL EVALUATION AND RECOMMENDATION. (Describe the results ACHIEVED compared with results EXPECTED Consider the individual's strengths as well as his/her areas of need)

- IV. DEVELOPMENT GUIDE. (Indicate development needs and recommend specific development actions which you believe will help the employee improve his/her performance or prepare him/her for greater responsibility beyond his/her present job.)

- V. In accordance with good supervisory practice, have you discussed with you discussed with this employee his/her good points as well as his/her limitations, with a view toward improving his/her value to the Agency? (Check One) _____ Yes _____ No (If "Yes" is checked, give approximate date, indicate subjects discussed and the employee's reaction.)

- VI. RATING (OVER-ALL)
- ☐ Outstanding
- ☐ Satisfactory (Highly)
- ☐ Unsatisfactory

VII. SIGNATURES

Rater: I have been the supervisor on the employee From _____ To _____

Signature

Date

Reviewer: Employee has been under my general supervision From _____ To _____

Signature

Date

Employee: I have reviewed this rating in an interview with my supervisor. My signature does not necessarily indicate my concurrence with the evaluation, recommendations or rating.

Signature

Date

Conference Date _____

PERSONNEL OFFICE USE ONLY

The Personnel Office has reviewed this performance evaluation report.

Signature

Date

PORT AUTHORITY OF GUAM
Jose D. Leon Guerrero Commercial Port
HUMAN RESOURCES DIVISION
PITI, GUAM 96925

PERFORMANCE EVALUATION POINT SHEET

EMPLOYEE NAME:	POSITION TITLE:
DEPARTMENT/DIVISION:	EMPLOYEE NO:

1. Equivalent Points from Performance Evaluation:

E's	_____ x 5 PTS. = _____
D's	_____ x 4 PTS. = _____
C's	_____ x 3 PTS. = _____
B's	_____ x 2 PTS. = _____
A's	_____ x 1 PTS. = _____
TOTAL POINTS:	

2. Overall Evaluation Rating Earned:

	0-25 pts. = Unsatisfactory Performance	0
	26-34 pts. = Satisfactory (Marginal) Performance	2
	35-49 pts. = Satisfactory Performance	3
	50-59 pts. = Satisfactory (Highly) Performance	4
	60-65 pts. = Outstanding Performance	5

3. Eligibility for additional Sub-Step for certification or educational achievements:

	Additional sub-step granted for obtaining certifications, licenses or educational achievements during the period. For eligibility purpose, please indicate the type of certification.
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TOTAL INCREMENTAL SUB-STEP INCREASE: _____

HUMAN RESOURCES SIGNATURE: _____

**PORT OF GUAM**

ATURIDAT I PUETTON GUAHAN

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Lourdes A. Leon Guerrero

Governor of Guam

Joshua F. Tenorio

Lieutenant Governor

Date: _____

NOTICE OF RESULTS OF PERFORMANCE EVALUATION REPORT

Period Covered From: _____ To: _____

☐

Training Rating

☐

Probationary Rating

☐

Annual Rating

Employee's Name _____ Social Security No. _____

Position Title _____ Division/Section _____

OVERALL RATING☐

Outstanding

☐

Satisfactory

☐

Unsatisfactory

☐

This following indicates your employment status as a result of the above rating:

☐

You are given a permanent appointment as a classified employee on your current position.

☐

Continuation of probationary period to be extended an additional _____ months

☐

Eligible for salary increment.

☐

Not Eligible for salary increment.

☐

Other _____

Should you desire a review of your rating, you may see your immediate supervisor or contact the Human Resources Division.

GENERAL MANAGER