

# REPORT OF PERFORMANCE FOR PROBATIONARY EMPLOYEE

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 FIRST  
 SECOND  
 THIRD

## READ INSTRUCTIONS ON BACK BEFORE COMPLETING THIS FORM

NAME (Last)	(First)	(MI)	SOCIAL SECURITY NUMBER (LAST 4 DIGITS)	REPORT DATE
CIVIL SERVICE TITLE			POSITION NUMBER	DATE PROBATION ENDS
DEPARTMENT NAME			DIVISION / UNIT	EMPLOYEE'S HEADQUARTERS

### YOUR WORK PERFORMANCE WILL DETERMINE WHETHER YOU OBTAIN PERMANENT CIVIL SERVICE STATUS

QUALIFICATION FACTORS	RATINGS ARE INDICATED BY "X" MARKS			
	UNACCEPTABLE	IMPROVEMENT NEEDED	STANDARD	OUTSTANDING
1. <b>SKILL</b> —Expertise in doing specific tasks; accuracy; precision, completeness, neatness, quantity.				
2. <b>KNOWLEDGE</b> —Extent of knowledge of methods, materials, tools, equipment, technical expressions and other fundamental subject matter.				
3. <b>WORK HABITS</b> —Organization of work; care of equipment; punctuality and dependability; industry; follows good practices of vehicle and personal safety.				
4. <b>RELATIONSHIPS WITH PEOPLE</b> —Ability to get along with others; effectiveness in dealing with the public, other employees, patients or inmates.				
5. <b>LEARNING ABILITY</b> —Speed and thoroughness in learning procedures, laws, rules and other details; alertness; perseverance.				
6. <b>ATTITUDE</b> —Enthusiasm for the work; willingness to conform to job requirements and to accept suggestions for work improvement; adaptability.				
7. <b>COMMUNICATION</b> —Exhibits aptitude toward good writing and verbal skills, can give concise information in working situations.				
8. <b>ABILITY AS SUPERVISOR</b> —Proficiency in training employees and planning, organizing, assigning and expediting work; leadership; understanding of and effectiveness in implementing departmental and State Personnel Board (SPB) personnel management policies including equal employment opportunity and affirmative action.				
9. <b>ADMINISTRATIVE ABILITY</b> —Promptness of action; soundness of decision, application of good management practices; understanding and effective implementation of departmental and SPB personnel management policies related to equal employment opportunity and affirmative action.				
10. <b>FACTORS NOT LISTED ABOVE</b> (Use additional sheets if more space is needed.)				
<b>OVERALL RATING</b> —The overall rating must be consistent with the factor ratings and comments, but there is no prescribed formula for computing the overall rating.				

**COMMENTS TO EMPLOYEE**—(Supervisor should include factual examples of exceptional or poor work and give suggestions as to how performance can be improved. Factor and overall ratings of unacceptable and overall ratings of outstanding must be substantiated. Use additional sheets if more space is needed).

Rater discussed report with employee  YES  NO

I RECOMMEND YOU BE GRANTED PERMANENT CIVIL SERVICE STATUS

(To be checked only on Final Report. If the probationer is rejected, notification must be given as prescribed by Government Code Section 19173.)  YES  NO

RATER'S SIGNATURE	TITLE	DATE SIGNED
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*In signing this report, I do not necessarily agree with the conclusions of the rater.*

EMPLOYEE'S SIGNATURE	DATE SIGNED	<input type="checkbox"/> I would like to discuss this report with the reviewing officer.
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*I concur in the ratings given by the rater. I have made no change in this report.*

REVIEWING OFFICER'S SIGNATURE

DATE SIGNED

As requested, reviewing officer discussed report with employee on: DATE

## REPORT OF PERFORMANCE FOR PROBATIONARY EMPLOYEE

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### INFORMATION ON PROBATIONARY REPORTS OF PERFORMANCE

1. The Report of Performance system is based on the principle that an employee should be kept informed of his/her supervisor's evaluation of his/her work. When a person is appointed as a probationary employee he/she is considered to be capable of Standard performance, and is presumed to have an initial overall performance rating of Standard. Thereafter, changes in his/her level of performance are shown by the Report of Performance. A probationary period of not less than six months or more than one year is required before permanent civil service status is attained; and reports must be prepared at the end of each one-third portion of the period. Additional reports may be prepared at any time during the probationary period.
2. The purpose of the Report of Performance is to help the supervisor and employee measure how well the employee is adapting to his/her job, and to provide a tool for guidance in training assignments, and granting of permanent civil service status.
3. The qualifications of each probationary employee, as demonstrated by his/her work performance, are rated on not less than five of the factors listed. Factors that do not apply are not rated. For example, Administrative Ability is not rated if the position does not have regular administrative responsibility. Any important qualification factors not listed in items 1 through 9 are described by the Rater and rated under item 10.
4. To indicate the rating on any factor, an "X" mark is placed in the appropriate rating column. (The location of the "X" in the rating column may be varied to give the employee a more precise indication as to his/her qualifications. When this is done, the farther the "X" is placed to the right the stronger the rating.)
5. If some significant aspect of the work is above or below the level indicated by the factor ratings, this may be pointed out by a statement in Comments to Employee. Where feasible, comments will also include suggestions as to how performance can be improved and suggestions regarding desirable training.
6. When the necessary skills or knowledge to do thoroughly satisfactory work have to be acquired on the job, a rating of Improvement Needed on factors 1 or 2 on the First and Second report does not definitely indicate progress is not satisfactory unless a statement as to unsatisfactory progress is made in Comments to Employee. On the Final Report, any rating of Improvement Needed indicates progress has not been satisfactory.
7. Any rating of Unacceptable or an overall rating of Improvement Needed indicates progress has been unsatisfactory.
8. The Rater will discuss the report with the employee and give the employee a copy. In signing the report, the employee merely acknowledges that he/she has seen it. His/her signature does not indicate agreement. If he/she wishes to add a written statement concerning any part of the report, he/she uses the Comments space. His/her comments are not considered a formal appeal from the report.
9. After the report is prepared, it is considered by the Reviewing Officer. If the Rater and Reviewing Officer do not reach agreement on the report, it is referred to the appointing authority or his/her representative. If any changes are made, the report is not valid unless they are reported to the employee and recorded on his/her copy.
10. It is the duty of the appointing authority to reject any probationary employee who fails to demonstrate fitness for the position. In this event the appointing authority must give the employee written notice as prescribed in Government Code Section 19173. A Final Report of Performance may be prepared at that time.

### DEFINITIONS OF RATINGS

**OUTSTANDING**—Performance on the job indicates qualifications are definitely superior—performance by the end of the probationary period can be expected to be well above the standard required of a competent permanent employee in that job. (If the overall rating is Outstanding, the Rater must give a written statement of factual substantiation for the rating. General statements such as "Outstanding in skill and knowledge" are not acceptable.)

**STANDARD**—Performance on the job indicates qualifications are thoroughly satisfactory—performance by the end of the probationary period can be expected to be up to, or somewhat above, the standard required of a competent permanent employee in that job.

**IMPROVEMENT NEEDED**—Performance on the job indicates qualifications are somewhat inadequate—to reach the standard required of a competent permanent employee by the end of the probationary period, greater effort or training is needed.

**UNACCEPTABLE**—Performance on the job indicates qualifications are very inadequate—special training, reassignment, or rejection may be advisable. (Any factor or overall rating of Unacceptable must be substantiated by the Rater's written statement of specific reasons for each such rating.)

**THESE DEFINITIONS MUST BE USED IN MARKING THE PERFORMANCE  
FACTORS AND IN ARRIVING AT THE OVERALL RATING.**

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## RATING THE QUALIFICATIONS OF A PROBATIONARY EMPLOYEE (INFORMATION FOR RATERS, REVIEWERS, AND APPOINTING AUTHORITIES)

### PURPOSE OF THE RATING

This is a progress report to the employee. In addition to letting the employee know how well he/she is doing his/her job, and helping the employee orient his/her efforts, it should be helpful to supervisors in:

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| (a) Making careful analysis of the employee's work.  | (c) Determining the additional training needs of the employee.           |
| (b) Making work assignments that will be to the best advantage of the employee and the organization. | (d) Determining whether the employee should be granted permanent status. |

### DOING THE RATING

Soon after he/she comes to work, the probationer should be given a sample copy of this report and told of the standards of performance upon which his/her qualifications will be rated.

A Report of Performance may be prepared at any time during the probationary period. A report must be prepared for each probationary employee within ten days after the end of each one-third portion of his/her probationary period. If the employee is rejected during probation a final report may be prepared at that time.

Each department designates the Raters. Usually the immediate supervisor does the rating. Two or more supervisors may prepare the report together. All Raters sign the report. The Rater gives the employee his/her copy, and discusses it with the employee.

Only the qualification factors necessary for success in doing the duties of the position are rated. At least five factors must be rated. The examples listed after each factor are for illustration and explanation. They do not include every element that may properly be considered in rating the factor.

A person appointed with civil service status is presumed to have an initial overall performance rating of Standard. Thereafter, changes in his/her level of performance are shown by the Report of Performance. Probationary employees are rated on those factors that are of greatest significance in predicting success in the work, and on progress toward fully competent performance.

The ratings are defined as follows:

**OUTSTANDING**—Performance on the job indicates qualifications are definitely superior—performance by the end of the probationary period can be expected to be well above the standard required of a competent permanent employee in that job. (If the overall rating is Outstanding, the Rater must give a written statement of factual substantiation for the rating. General statements such as "Outstanding in skill and knowledge" are not acceptable.)

**STANDARD**—Performance on the job indicates qualifications are thoroughly satisfactory—performance by the end of the probationary period can be expected to be up to, or somewhat above, the standard required of a competent permanent employee in that job.

**IMPROVEMENT NEEDED**—Performance on the job indicates qualifications are somewhat inadequate—to reach the standard required of a competent permanent employee by the end of the probationary period, greater effort or training is needed.

**UNACCEPTABLE**—Performance on the job indicates qualifications are very inadequate—special training, reassignment, or rejection may be advisable. (Any factor or overall rating of Unacceptable must be substantiated by the Rater's written statement of specific reasons for each such rating.)

**COMMENTS**—Minimum requirements as to the use of comments to support Outstanding or Unacceptable ratings are explained above. Agencies may establish additional requirements. Comments should be made on any aspect of the employee's performance which has a significant influence on his/her effectiveness. Suggestions which may help the employee improve his/her performance should be made. They should be specific, and not merely refer to previous discussion or comments on previous reports.

**EMPLOYEE DISCUSSION**—Constructive discussion with an employee regarding his/her work performance and progress is an essential element of good supervision. The Report of Performance interview provides an excellent opportunity to review with the employee problems relating to his/her work, answer his/her questions, explain departmental or unit objectives or plans, and to develop better supervisor-employer understanding.

### THE REVIEWING OFFICER

The responsibilities of the Reviewing Officer include:

1. Keeping uniformity in the application of standards by the Raters under his/her direction.
2. Securing corrective action when bias or a misinterpretation of rating standards is evidenced in ratings.
3. Making sure reports are thoroughly and promptly prepared.
4. Discussing the report with the Rater or employee when requested, or otherwise appropriate.
5. Checking the statements made in support of Unacceptable or Outstanding to see that the reasons are specific, substantial and accurate.

The Reviewing Officer may discuss a report with the Rater and employee, but cannot change the report. If the Reviewing Officer recommends changes with which the Rater agrees, the Rater either makes the changes or prepares a new report. The changes are not valid unless the employee is notified and the changes are re-recorded on the employee's copy of the report.

If the Rater and the Reviewing Officer do not reach agreement, the matter is forwarded to the head of the department for decision. The department head may designate a different Rater and/or Reviewing Officer. The official report as finally effective must be signed by at least two persons who have been designated officially as the "Rater" and "Reviewing Officer," and who agree on all statements and ratings made in the report.

The Reviewing Officer signs the reports in which he/she concurs. All signed reports are transmitted as directed by the department. General reviews are made by administrative officials to see whether results in different units of the agency are logical and consistent.

### FILING OF REPORTS

Each agency files reports within the agency in the manner prescribed by the appointing authority of that agency. A report should be retained for three years if there is indication of punitive action.