



All employees who are not represented by a union and their supervisors should complete this form.

Instructions:

Employee: Insert your name in the footer below and complete the "Employee" self-assessment sections (tan color) to document your most notable accomplishments and impact in this performance year. Use of bullet points is strongly encouraged. If certain sections are not applicable to you, leave them blank. For additional information, see the Guidance sheet available on the Performance Management website (click on "Performance Management" in the A-Z Index).

Supervisor: Complete the "Supervisor" sections (blue color) and provide a rating in the "Overall Rating" section. Provide evaluative comments on the employee's overall performance, most notable accomplishments and impact, and areas for development and improvement, if any. Use of bullet points is strongly encouraged. For additional information, see the Guidance sheet available on the Performance Management website.

Table with 4 columns: Name, Employee ID, Job title, Supervisor, Division/Dept, Job code, Date prepared, Period covered from/to.

Form sections: 1a. Employee Goals, 1b. Employee Goals, 2a. Performance Summary. Includes instructions for employee and supervisor input.

Employee ---- Doug XXX

**2b. Performance Summary**

**Supervisor:** Evaluate the employee’s performance, top achievements, and areas for development including:

- Overall statement on the employee’s performance this year, particularly in relation to goals.
- Four to six most significant accomplishments and impact.
- Improvements made on any performance issues that you and the employee discussed this year, and the most critical areas to focus on for the coming year.

Doug has met expectations regarding managing the day to day research activities of the group, initiating and conducting experiments, providing guidance to students and postdocs, and developing good relationships with our collaborators.

However, his performance continues to need improvement in the three most critical areas of his responsibilities, all directly related to the promotion and expansion of the research group, which is a key goal for our Division. I discussed these areas for improvement with him several times throughout the year:

- **Develop new equipment and software interface:** Doug has failed to achieve the most critical item on this list: design and install the XYZ device. This item has been on Doug’s priority list for several years, with installation initially scheduled for the fall of [date]. However, this device, which is key to securing future funding for the program, has not been completed. Doug has not made this project a key priority, and he has neglected to delegate critical tasks to his staff.
- **Disseminate research results by publishing papers and speaking at scientific conferences:** Although Doug has published 4 papers over the past year, none of them focused on the primary research goals of our group. In addition, he has been listed as first author on only one of these papers, and he has had no speaking engagements this year.
- **Initiate and contribute actively to successful grant applications:** Doug has submitted several grant proposals to the DOE and NIH over the last year, but none have been funded. He needs to develop funding proposals that are better aligned with our established strategic research goals.

**3a. Areas of Strength**

**Employee:** List several of your most valuable strengths.

**4a. Areas for Development (or Improvement)**

**Employee:** List several areas where you need further development.

**3b. Areas of Strength**

**Supervisor:** Indicate whether you agree and add your own perspective.

- Collaborative: has established good working relationships with various universities and other research group collaborators.
- Creative: develops unique approaches to hardware and software design.

**4b. Areas for Development (or Improvement)**

**Supervisor:** Indicate whether you agree and add your own perspective.

- Needs to meet his objectives for developing new equipment and software, disseminating research results, and initiating and contributing to successful grant applications.
- Needs to improve project management and resource management skills to ensure successful completion of responsibilities.

Employee ---- Doug XXX

<p><b>5a. Safety</b></p> <p><b>Employee:</b> Describe your efforts this year to enable a positive safety culture at work and to protect yourself, team, division, Laboratory and public. Include accomplishments related to identification, evaluation, control, prevention, and/or mitigation of potential hazards. Also indicate if you participated in any of the Laboratory's opportunities to improve safety (e.g., Division/Laboratory Safety Committee, "safety minute" presentations in meetings, ergonomic advocate program, fire extinguisher use and/or first aid training, employee volunteer responder programs such as Building Emergency Team (BET) and Community Emergency Response Team (CERT)).</p>													
<p><b>5b. Safety</b></p> <p><b>Supervisor:</b> Indicate whether you agree and whether the employee has met your expectations for safety. Add comments if necessary.</p> <p>I agree with Doug's description of the safety programs he has taken and his commitment to safety.</p>													
<p><b>6a. Diversity and Inclusion</b></p> <p><b>Employee:</b> Describe how you contributed to and/or participated in diversity and inclusion activities in your Division or for the Laboratory. Some examples may be (but are not limited to): ensured staff/everyone in meeting had opportunity to share his/her perspective; solicited diverse perspectives on issue from staff/others; attended a job fair, diversity conference or event; participated in a diversity council, focus group, implicit bias training, selection committee, Employee Resource Group; etc.</p>													
<p><b>6b. Diversity and Inclusion</b></p> <p><b>Supervisor:</b> Indicate whether you agree and/or provide evaluative comments.</p> <p>I agree with Doug's description of his Diversity and Inclusion activities.</p>													
<p><b>7a. Supervisory/Host Responsibility</b></p> <p><b>Employee:</b> If applicable, indicate the number of individuals you directly supervise or host in each category.</p> <table border="1"> <tr> <td>3</td> <td>Postdoctoral fellows and scientists</td> </tr> <tr> <td>2</td> <td>Research associates and technicians, etc.</td> </tr> <tr> <td>1</td> <td>Graduate students</td> </tr> <tr> <td></td> <td>Affiliates (Guests)</td> </tr> <tr> <td></td> <td>Supervisors</td> </tr> <tr> <td></td> <td>Operations and administrative employees</td> </tr> </table>		3	Postdoctoral fellows and scientists	2	Research associates and technicians, etc.	1	Graduate students		Affiliates (Guests)		Supervisors		Operations and administrative employees
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<p><b>7b. Supervisory/Host Performance</b></p> <p><b>Employee:</b> If applicable, summarize your performance as a supervisor. Include your efforts: to ensure that employee performance and conduct adhere to applicable requirements and policies, and to encourage employee development.</p>													
<p><b>7c. Supervisory/Host Performance</b></p> <p><b>Supervisor:</b> If applicable, indicate whether you agree and/or provide evaluative comments.</p> <p>I agree with Doug's comments about developing his staff. However, he needs to more effectively delegate work to them and manage their performance so that the team can achieve its goals.</p>													

Employee ---- Doug XXX

<b>8a. Laboratory, Professional and Community Service</b> <b>Employee:</b> Briefly describe your laboratory/university/professional/community service and/or committee work.
<b>8b. Laboratory, Professional and Community Service</b> <b>Supervisor:</b> Indicate whether you agree and/or provide evaluative comments.
<b>9a. Publications, Reports</b> <b>Employee:</b> If applicable, list in order of significance, and cite only items not submitted on previous self-assessments <ul style="list-style-type: none"> <li><b>Order of citation information:</b> author(s), year, title, journal, DOI</li> </ul> <p><i>Journal Articles: Published, Accepted, or In Press (include DOI):</i></p> <p><i>Journal Articles: Submitted, In review, etc.:</i></p> <p><i>Other published works (e.g. book chapters, published reports, etc.):</i></p>
<b>9b. Publications, Reports</b> <b>Supervisor:</b> If applicable, provide evaluative comments on the employee’s accomplishments, and identify areas for improvement.
I agree with Doug’s list. However, none of his publications focus on the primary research goals of our group.
<b>10a. Invited Talks and Conferences</b> <b>Employee:</b> If applicable, list invited talks and conferences in this performance year. <ul style="list-style-type: none"> <li><b>Order of citation information:</b> author(s), year, title, meeting/conference name, date(s)</li> </ul> <p><i>Invited, keynote or plenary presentation (at nationally/internationally recognized professional scientific meetings/forums, as a university distinguished seminar, etc.)</i></p> <p><i>Contributed oral or poster presentation at professional scientific meetings or forums</i></p>
<b>10b. Invited Talks and Conferences</b> <b>Supervisor:</b> If applicable, provide evaluative comments.
<b>11a. Proposals Funded or Submitted, and Active Projects:</b> <b>Employee:</b> If applicable, list proposals funded or submitted, and current projects which received funding during this review period. This includes projects where you have financial oversight, however may not be the PI (add more rows, if necessary).

Employee ---- Doug XXX

Type of Proposal	Sponsor	Annual Amount You Manage	Role in Project PI/Co-PI /Senior Personnel	Funded (F) or Submitted (S) or Ongoing (O)

**11b. Proposals Funded or Submitted**  
**Supervisor:** If applicable, provide evaluative comments on the impact of the funded proposals.

I agree with Doug's list. However, none of his proposals have been funded.

**12a. Knowledge and Technology Transfer**  
**Employee:** If applicable, cite accomplishments in the following areas that have occurred during this review period. Cite only those not submitted on previous self assessment.

- Knowledge and/or technology transfer accomplishments, such as intellectual property, patents, software releases etc. Describe significance of top accomplishment/s.

**12b. Knowledge and Technology Transfer**  
**Supervisor:** If applicable, provide evaluative comments on the employee's accomplishments, and identify areas for improvement.

**13a. Awards and Honors**  
**Employee:** If applicable, provide award name and brief description, including how selection was made.

**13b. Awards and Honors**  
**Supervisor:** If applicable, provide evaluative comments on the importance of these accomplishments.

**For Next Performance Year**

**14a. Employee Goals**  
**Employee:**  
List your recommended goals for the next performance year, including:

- **Performance goals:** position expectations and goals
- **Job development goals:** skills or development needed in order to achieve performance goals
- **Career development goals:** broader goals for your long-term learning and growth (optional)

See Next Steps below for directions on how to submit at [pmp.lbl.gov](http://pmp.lbl.gov).

**14b. Employee Goals**  
**Supervisor:** Indicate whether you agree with the goals listed, and/or add or revise goals as needed.

**Performance goals:**  
In order to improve his performance to fully meet the expectations of his job, Doug needs to meet the following

Employee ---- Doug XXX

goals by the dates indicated. These goals were originally set in [date]. We have discussed these goals regularly throughout the year, but he continues to focus on lower-priority activities, does not manage projects effectively, and does not effectively delegate work to his staff.

- Complete current critical projects:
  - XYZ device by [date]
  - Hardware by [date]
  - Software by [date]
- Identify and author successful grant applications to secure necessary funding within the year.
- Publish at least two papers and complete at least one speaking engagement on his primary area of research by [date].
- Draft plan for expanding and promoting new capabilities for researchers. Take lead role in working out shared usage and costs of new equipment and software. Complete by [date].

**15. Laboratory, Division or Group Goals**

**Supervisor:** List the broader institution and/or research goals the employee needs to support in the next performance year, if available and relevant to the employee's job.

See Next Steps below for directions on how to submit at [pmp.lbl.gov](http://pmp.lbl.gov).

**Division goal:**

- Broaden Division's engagement in XX field of research to expand options for Laboratory's Carbon Cycle 2.0 initiative.

**Group goal:**

- Update equipment and software to expand capabilities for XX field of research.

Employee ---- Doug XXX