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INFORMATION & INSTRUCTIONS

FOR MERIT BONUS SUPPLEMENTAL JUSTIFICATION

EVALUATION FORM

General Information

Use this document to complete the **Merit Bonus Supplemental Justification Evaluation Form (MBSJEF)**. The MBSJEF is used to evaluate an employee for a “Superior” performance rating. Pursuant to Title 4 Guam Code Annotated (GCA), Chapter 6, §6203, a “Superior” performance rating is the highest rating that an employee can achieve, and a department can award, and is above and beyond the rating of an “Outstanding”. Only upon achieving a Superior rating will a merit bonus be awarded. A Superior performance rating is measured through the evaluation of nine (9) Performance Criteria, or standards that are applicable to various positions within the Government of Guam.

In order to complete and be able to submit this Form, certain conditions must have been met which are indicated on this Form and these instructions. Employees who receive a “Superior” performance rating will be awarded a Merit Bonus which consists of a lump sum amount equivalent to 3.5% of the employee’s salary after their new increment step is granted.

Employees appointed to non-administrator/managerial positions are evaluated by their Supervisors based on eight (8) of the nine (9) performance criteria. These are: Quality of Work, Quantity of Work, Relationship with Others, Analytical Ability and Judgement, Creativity on the Job, Job Knowledge, Planning and Organization, and Communication Effectiveness. These eight (8) criteria along with the ninth (9th) criteria, Objectives and Goals, are used to evaluate employees appointed to administrator/managerial positions.

Conditions outlined on pages 3-4 of this document explain what must be met in order for a supervisor to fill out the MBSJEF. If these conditions have not been met, the Form will be disapproved. Supervisors, Administrators/Managers/Division Heads and Department Heads are additionally guided by the **DOA Merit Bonus Supplemental Justification Policy** in order to properly complete this form.

Overall Responsibilities

Supervisor (Rater)

A Supervisor (also known as the Rater) is responsible for filling out Part A.1 and A.2 of the MBSJEF Form for their employee whom the Supervisor believes has performed work that was superior in nature during the rating period that an Outstanding rating was achieved on the employee’s Work Performance Planning & Evaluation (WPPE), and has met other conditions (see next section).

Part A.1 requires the supervisor to provide detailed examples under the Description of Accomplishments for each Performance Criteria that illustrate and highlight their employee’s superior performance. Part A.2 requires the Supervisor to evaluate and rate their employee being considered for a superior performance rating by filling out Part A.2 of this form. This requires careful review and consideration of the responses indicated in Part A.1. The result of the Supervisor’s evaluation determines the recommendation for approval/disapproval of the Superior performance rating.

After completing Part A of the Form, the Supervisor is responsible for forwarding the Form and supporting documents to the Administrator/Manager/Division Head.

Administrator/Manager/Division Head (Reviewer)

The employee next in the line of authority to the employee's supervisor (e.g. Administrator/Manager/Division Head) is responsible for reviewing Part A of the MBSJEF Form and either concurring, or not concurring with the information in Part A, by filling out Part B of the Form. The Administrator/Manager/Division Head is also known as the Reviewer.

After filling out Part B of the Form, the Administrator/Manager/Division Head is responsible for forwarding the Form and supporting documents to the Department Head.

Department Head

The Department Head (i.e. Director, Administrator, etc...) is responsible for approving or disapproving his/her employee's Superior rating. This requires careful review and consideration of the responses provided in Parts A and B. For those employees who are approved for a Superior rating, the Department Head is also responsible for instructing staff to route the MBSJEF form and supporting documents to the Department of Administration Human Resources Division (or respective autonomous agency HR Office as applicable) .

Department of Administration (for Line Departments/Agencies)

The Department of Administration is responsible for reviewing the MBSJEF Forms from all line departments/agencies, along with supporting documents for compliance and clearance. The result of the review and clearance by the DOA HR determines if the employee's department prepares a Merit Bonus GG-1 and routes this form for funds clearance to the Bureau of Budget & Management Research and final processing. This processing entails the preparation of a Notification of Personnel Action which officially adjusts the employee's performance rating from an "Outstanding" to "Superior" based on the fully approved and cleared MBSJEF Form and Merit Bonus GG-1, and authorizes the Payroll Branch to prepare payment of the Merit Bonus.

Autonomous Departments and Agencies with Employees in Pay Grades Derived from the Hay Methodology

The HR Office of the respective autonomous department or agency is responsible for reviewing the completed MBSJEF Forms for their respective employees along with supporting documents for compliance and clearance. The result of the review and clearance by their HR Office determines if the employee's department prepares a Merit Bonus GG-1 and routes this form for funds clearance to the appropriate budget office and final processing. This processing entails the preparation of a Notification of Personnel Action which officially adjusts the employee's performance rating from an "Outstanding" to "Superior" based on the fully approved and cleared MBSJEF Form and Merit Bonus GG-1, and authorizes the Payroll Office to prepare payment of the Merit Bonus.

Conditions that Must be Met Prior to Completing This Form

The following conditions must have been met **before** the supervisor considers filling out Part A of the MBSJEF:

1. The employee must have received an Overall Performance Rating of "Outstanding" on their Work Performance Planning & Evaluation (WPPE) form for that rating period. An employee may only be eligible to be recommended, and approved for a superior rating and merit bonus only once per performance evaluation period; AND

2. The Outstanding rating must have been based on the duties of the official position that the employee held during the performance rating period as indicated in the employee's official Position Description Questionnaire form. In the event the WPPE included the temporary tasks of another position, this can only be recognized if the employee was officially detailed to that position, and if extended, met the qualification requirements through an extension of detail. Proof of the official detail must be provided; AND
3. The employee must not have been issued a final notice of adverse action based on actions and conduct of the employee during their rating period. (Note: if the adverse action was cancelled/nullified based on an official settlement, or Civil Service Commission decision, or court decision, then the employee may be considered for a "Superior" rating assuming conditions 1 and 2 have been met).

Documents to Submit to DOA HR/Respective Autonomous HR Office

The following must be received by the appropriate HR Office:

- a) Department Head approved MBSJEF
- b) Copy of WPPE form which indicates the Outstanding rating based on the employee's official position
- c) Official Position Description Questionnaire form for the official position held during the rating period
- d) Copy of an official detail memorandum (or detail personnel action copy), if the WPPE included the temporary tasks of the detailed position.

Explanation of Performance Criteria Rating Scale in Part A.2

Part A.2 is filled out by the employee's supervisor who evaluates their employee on each Performance Criteria according to a rating scale based on the responses provided in Part A.1 of the Form. The results of the supervisor's evaluation determines if a Superior performance rating is recommended for approved or disapproved.

Each Performance Criterion is worth five (5) points. The rating scale ranges from zero (0), to five (5) for Exemplary. A rating of zero (0) is indicative of the Performance Criteria not being exhibited in the Description of Accomplishments.

For employees appointed to non-administrator/managerial positions, a minimum score of 30 points must be achieved based on the eight (8) performance criteria for their Supervisor to recommend approval of the Superior rating.

For employees appointed to administrator/managerial positions, a minimum score of 35 points must be achieved based on the same eight (8) performance criteria applicable indicated above, plus the one (1) additional criteria (i.e. Goals and Objectives) for a total of nine (9) performance criteria. Also, as part of the 35 points that must have been earned for administrator/managerial positions, the employee must have received at least three (3) points under the Goals and Objectives criteria for their Supervisor to recommend approval of the Superior rating.

Supervisor's Instructions to Complete Part A:

A Supervisor prepares the MBSJEF if after reviewing the section entitled, "Conditions that Must be Met Prior to Completing This Form", and the supervisor believes that their employee has performed work that was superior in nature during the rating period that an Outstanding rating was achieved on the employee's WPPE. The Supervisor fills out the identifying information such as the employee's name, employee ID, official position title, identifying the employee's position as non-administrator/managerial level or administrator/managerial level, etc...

Next, the Supervisor completes **Part A.1 Performance Criteria Description of Accomplishments**.

Part A.1 requires the Supervisor to provide examples of their employees' accomplishments related to their positions which will illustrate and highlight their employee's superior performance that are representative of the Performance Criteria. Supervisors are to utilize the "**Superior Performance Rating Criteria Descriptions**" on page 9 to complete Part A. These guidelines will assist them to identify the appropriate examples to cite as their employees' accomplishments for each Performance Criteria.

The examples must be based on the duties of the official position held, which may include those based on an official detail if reflective in the WPPE.

The examples MUST include dates that the event(s) occurred. At minimum, the month and year should be indicated to verify that they occurred during the employee's rating period. If an event began outside of the rating period, it may be included as long as it concluded within the rating period.

The examples should be as descriptive as possible. The Supervisor should include such information as the event(s), where it took place, the role the employee held during the event(s), indicate what the employee accomplished, what positive effect did the accomplishment have on others, or on the government, etc....

Providing multiple examples of accomplishments based on the official position of the employee that are spread out throughout the rating period, or at least one example that took a considerable amount of time or effort to accomplish with impactful results generally warrants rating a criteria with a higher score.

Incidental work, or work outside the scope of his/her regularly assigned duties, or official detailed duties are NOT to be used as examples (e.g. organizing a volunteer cleanup project at a school when the employee's regular duties based on their position are secretarial in nature).

Supervisors are not to attach documents such as letters of recommendations, certificates, etc....

Next, the Supervisor completes **Part A.2 Performance Criteria Evaluation By Employee's Supervisor** by following the instructions on the Evaluation Form.

If after completing the evaluation, the supervisor does not recommend a superior rating, the supervisor must provide comments explaining his/her rating.

Upon completing Part A.1 and Part A.2, Supervisors shall meet with their employees to explain the overall process and requirements of being considered for a Superior rating, review the criteria and their write up, and go over with their employee.

The following documents must be submitted with the MBSJEF for review and approval to the employee who is next in line of authority to the employee's supervisor (e.g. Administrator/Manager/Division Head, also known as the Reviewer) for action, as soon as possible:

1. MBSJEF form with Part A completed and signed by the Supervisor (even if the Supervisor did not recommend a superior rating); and
2. Copy of the employee's WPPE form which indicates an "Outstanding" for the Overall Performance Rating; and
3. Official Position Description Questionnaire form for the official position held during the rating period; and
4. Copy of an official detail memorandum (or detail personnel action copy), if the WPPE included the temporary tasks of the detailed position.

Reviewer's (Administrator/Manager/Division Head) Instructions to Complete Part B:

Upon receiving the SPRMBE form, the employee's WPPE form, official Position Description Questionnaire form, and if applicable, an official detail memorandum (or copy of detail personnel action) from the Supervisor, the Reviewer shall perform the following:

1. **Indicate at the bottom of the front page of the SPRMBE Form, the date received from the Supervisor and initial.**
2. Verify that the conditions previously stated in the instructions have been met in order for the supervisor to begin the process of completing this Form by reviewing the WPPE, the Official Position Description Questionnaire form and official detail documents, if applicable. (See previous section entitled, "Conditions that Must be Met Prior to Completing This Form" for more information). If there are any discrepancies, the Reviewer should still continue with the next steps and indicate in the comments section the discrepancies.
3. Read the Description of Accomplishments under Part A, and assess if the employee's accomplishments indicated are appropriate, and should be supportive of a superior rating and in consideration of the **Merit Bonus Supplemental Justification Evaluation Performance Criteria Descriptions** on page 9.
4. Verify that the appropriate number of performance criteria were completed by the Supervisor. If the employee's position is non-administrator/managerial, then Criteria 1 through 8 should have responses. If the employee's position is administrator/managerial, then Criteria 1 through Criteria 8 should have responses and Criteria 9 must have a response.

After reviewing the above, the Reviewer may check mark concur, or not concur with the recommendation of the employee's Supervisor. In any case, the Reviewer must indicate comments, then sign and date the Form. The Reviewer's explanation will be reviewed by the Department Head for consideration.

After the Reviewer has completed Part B, the Reviewer shall submit the following to the Department Head for action regardless of whether the Reviewer has concurred, or not concurred with Part A:

1. MBSJEF form with Part B completed and signed by the Reviewer with comments; and
2. Copy of the employee's WPPE form which indicates an "Outstanding" for the Overall Performance Rating; and
3. Official Position Description Questionnaire form; and
4. Copy of an official detail memorandum (or detail personnel action copy), if the WPPE included the temporary tasks of the detailed position.

Department Head's Review & Decision Instructions to Complete Part C:

Department Head's Review:

Upon receipt of the MBSJEF Form from the Reviewer, along with the employee's WPPE form, Position Description Questionnaire form and if applicable, the official detail memorandum (or detail personnel action copy), the Department Head accomplishes the following before making a decision to approve or disapprove the recommended rating for the employee:

1. **Indicate at the bottom of the front page of the SPRMBE Form, the date received from the Reviewer and initial.**
2. **Reviews the Merit Bonus Supplemental Justification Policy, and the Merit Bonus Supplemental Justification Evaluation Criteria Descriptions.**
3. **Reviews any comments by the Reviewer in the event the Reviewer did not concur with Part A to understand the reason(s) and to look into the situation if warranted.**
4. **Reviews the examples provided under each Description of Accomplishments in consideration of the Merit Bonus Supplemental Justification Evaluation Performance Criteria Descriptions on page 9, and the actual evaluation completed by the supervisor in Part A.2.**

Department Head's Decision:

Aside from reviewing the employee's accomplishments and supervisor's ratings, it is particularly important to review whether or not the employee's supervisor recommended his/her employee for a superior rating, and if the Reviewer (who is next in line to the employee's supervisor), concurred or did not concur with the employee's supervisor. The Department Head must take all of this into consideration to properly make a decision to concur or not concur with the Supervisor's evaluation.

The Department Head has three choices as indicated on the form:

- 1. Concur with the Supervisor's evaluation and APPROVE THE RECOMMENDED RATING OF SUPERIOR (subject to DOA's review and final clearance); or**
- 2. Concur with the Supervisor's evaluation to NOT recommend the rating of Superior; the rating of Outstanding remains status quo (Must Provide Justification); or**
- 3. Do NOT concur with the Supervisor's evaluation and DISAPPROVE THE RECOMMENDED RATING OF SUPERIOR; the rating of Outstanding remains status quo (Must Provide Justification)**

Next Steps for Department Head if Approves Employee for a Superior Rating:

For an employee who is approved for a Superior Rating, the Department Head shall have their staff route all documents to the Department of Administration Human Resources Division (or if autonomous agency, to their HR Office).

If for some reason some documents are missing or information such as signatures are missing, your department will be given the opportunity to submit the missing document/information. The appropriate HR Office will contact either the employee's supervisor or Reviewer to inform them of the missing document/information and provide a deadline of five (5) workdays to submit. If not received within five (5) workdays, the appropriate HR Office will return all documents to your department without action.

If the conditions and requirements for the MBSJEF Form were met AND the appropriate HR Office determined that the Form was appropriate and cleared, the appropriate HR Office will clear for compliance and then returned to your department.

If the form indicates the Personnel Services Administrator's final clearance, your department will need to prepare a Merit Bonus GG-1 with certification of funds being available and attach a copy of the fully approved MBSJEF form. The remarks section shall have a statement that the employee's performance rating is adjusted to "Superior" pursuant to the approved MBSJEF form. These two documents shall first be routed to Bureau of Budget & Management Research (BBMR) for clearance (or appropriate budget office for autonomous agencies), and then routed to the appropriate HR Office for processing. If the BBMR/budget office returns the GG-1 to your department based on issues such as funding, your department will need to communicate with the BBMR/budget office to adjust your budget accordingly to accommodate the Merit Bonus.

Once the Merit Bonus GG-1 and the approved MBSJEF form is received by the appropriate HR Office, a Personnel Action will be generated and sent to Payroll which will result in the employee being awarded a merit bonus of 3.5% based on the employee's new increment salary. In addition, the same Personnel Action will indicate employee's overall performance rating being adjusted to: "Superior". The adjustment will not affect the WPPE waiting period/anniversary date.

However, in the event the conditions and requirements for the MBSJEF form were NOT met as reviewed and determined by the appropriate HR Office, the appropriate HR Office will return the form and supporting documents to your department with an explanation indicated in the appropriate HR Office Comments Section. Some of the reasons for not clearing the MBSJEF form are as follows:

- a) Supporting documents were not received, or received late; or
- b) The employee received a less than Outstanding rating; or
- c) The employee's WPPE was not properly based on the official position based on the official PDQ (and if applicable, detailed position); or
- d) The employee was issued a Final Notice of Adverse Action for actions and conduct during their rating period; or
- e) The total score was less than the minimum required to achieve a "Superior Approved" based on verification by the appropriate HR Office for reasons such as one or more criteria was incorrectly scored

Next Steps if Department Head Disapproves Employee for a Superior Rating:

If the Department Head disapproves the MBSJEF form, the Department Head shall indicate comments, and return it to the Reviewer, who in turn shall forward it to the employee's Supervisor who will meet with the employee regarding the disapproval. Such disapproval by the Department Head is appealable by the employee under DOA Rule 10.100.

Next Steps if DOA (or Autonomous Agency's HR Office) Does Not Clear the Department Head Approved MBSJEF Form:

If the DOA (or Autonomous Agency's HR Office) does not clear the Department Head MBSJEF approved form, the form shall be returned to the department head who in turn shall forward to the Reviewer and then to the employee's Supervisor who will let the employee know what happened.

GOVERNMENT OF GUAM MERIT BONUS SUPPLEMENTAL JUSTIFICATION EVALUATION PERFORMANCE CRITERIA DESCRIPTIONS

The following shall serve as a guide for supervisors, administrators/managers, department heads, as well as employees in understanding the criteria used to fill out the Merit Bonus Supplemental Justification Evaluation (MBSJEF) Form. It is particularly useful to employees and supervisors to understand what is required to be considered for and achieve a "Superior" performance rating and Merit Bonus Award.

The Superior Performance Rating & Merit Bonus Evaluation (MBSJEF) Form is used to evaluate an employee for a “Superior” performance rating. It indicates nine (9) performance criteria that are applicable to the various positions within the Government of Guam. The first eight are applicable to all positions while the last criteria is only applicable to administrator/managerial positions.

For each Performance Criteria, supervisors are to provide examples of their employees’ accomplishments related to their positions which demonstrates the employees are deserving of a superior performance rating. The examples should be as specific as possible; describe the event(s), provide date(s), the role the employee held during the event(s), what the employee accomplished, etc.... **The examples must be based on the duties of the official position held (and officially detailed position if applicable), and must be from the same time period as the rating period of the WPPE.** Supervisors are not to consider incidental work, or work outside the scope of the employee’s regularly assigned duties, or outside the scope of the official detailed duties (e.g. organizing a volunteer cleanup project at a school when the employee’s regular duties are secretarial in nature). Refer to the MBSJEF Instructions and Form for further information.

The Performance Criteria are described as follows:

1. Quality of Work:

The performance criteria of “Quality of Work” is described below. Consider the following to determine the most appropriate accomplishments to indicate under this Criteria, and for the Department Head, the most appropriate rating when reviewing the employee’s accomplishments:

- a) Accuracy of Work – the extent to which work is free from errors or omissions
- b) Thoroughness of Work – the extent to which work is completed with all details covered
- c) Neatness of Work Result - the extent to which a finished work product exceeds the acceptable standards for legibility, cleanliness and orderliness.
- d) Attention to detail
- e) Acceptability of Work Result
- f) Demonstrated Skill
- g) Avoidance of Waste
- h) Soundness of Judgement
- i) Consistency in the performance to Prescribed Quality Standards
- j) Production of a Work Product that is above the Department's satisfactory Level.

2. Quantity of Work:

The performance criteria of “Quantity of Work” is described below. Consider the following to determine the most appropriate accomplishments to indicate under this Criteria, and for the Department Head, the most appropriate rating when reviewing the employee’s accomplishments:

- a) The amount of work which exceeds the established amount expected to be completed with accuracy and consistency
- b) Completing work ahead of establishing deadlines with accuracy and efficiency

3. Relationship With Others:

The performance criteria of “relationship with others” is described below. Consider the following to determine the most appropriate accomplishments to indicate under this Criteria, and for the Department Head, the most appropriate rating when reviewing the employee’s accomplishments:

- a) The employee’s interaction with immediate supervisor, co-workers and the public which provides an optimal working relationship that allows for the best outcomes possible, especially in challenging situations that requires teamwork
- b) Positive attitude and influence - the manner in which the employee carries out orders or suggestions relating to specific tasks or recurring responsibilities
- c) Cooperativeness – the extent to which the employee cooperates with other employees

4. Analytical Ability and Judgement:

The performance criteria of “analytical ability and judgement” is described below. Consider the following to determine the most appropriate accomplishments to indicate under this Criteria, and for the Department Head, the most appropriate rating when reviewing the employee’s accomplishments:

- a) Ability to think through a problem, obtains information/data, provide acceptable recommendations, and decides on a course of action
- b) Ability to solve complex problems with minimal resources
- c) Present processes to new and unique situations
- d) Displays a uniqueness in solving problems and a degree of versatility in adapting

5. Creativity on the Job:

The performance criteria of “creativity on the job” is described below. Consider the following to determine the most appropriate accomplishments to indicate under this Criteria, and for the Department Head, the most appropriate rating when reviewing the employee’s accomplishments:

- a) Applying skills to existing problems, situations, and processes in an innovative manner.
- b) Develops new ideas to improve work processes that results in saving time, money, and resources
- c) Innovative solutions employee has clearly accomplished.

6. Job Knowledge

The performance criteria of “job knowledge” is described below. Consider the following to determine the most appropriate accomplishments to indicate under this Criteria, and for the Department Head, the most appropriate rating when reviewing the employee’s accomplishments:

- a) Employee possesses superior job skills and knowledge; effectively applies them to work assignments
- b) Displays and utilizes current knowledge, information and techniques
- c) Shares knowledge with staff
- d) Performs all aspects of job accurately and efficiently
- e) Makes sound decision within the scope of work with little to no supervision

7. Planning and Organization

The performance criteria “planning and organization” is described below. Consider the following to determine the most appropriate accomplishments to indicate under this Criteria, and for the Department Head, the most appropriate rating when reviewing the employee’s accomplishments:

- a) Assignments and projects are completed within specified time frame; deadlines are consistently met
- b) Demonstrates flexibility by adjusting to unexpected situations/requirements; uses new methods for improving
- c) The meeting of timelines and work Organization are facilitated to meet objectives
- d) The manner in projecting and providing the necessary foresight for any project and devising a strategy which exceeds the expectations of agency standards

8. Communication Effectiveness

The performance criteria “communication effectiveness” is described below. Consider the following to determine the most appropriate accomplishments to indicate under this Criteria, and for the Department Head, the most appropriate rating when reviewing the employee’s accomplishments:

- a) Accurately articulates information and or prepares reports effectively
- b) Organizes and expresses ideas and information clearly
- c) Uses appropriate and efficient methods of conveying information
- d) Is an active listener and verbally communicates in such a way which leaves no misunderstanding
- e) Effective in oral, written or graphic presentation to such an extent as to result in convincing the targeted audience

9. Objectives and Goals (for the evaluation of Administrators/Managers ONLY)

The performance criteria “objectives and goals” is described below. Consider the following to determine the most appropriate accomplishments to indicate under this Criteria, and for the Department Head, the most appropriate rating when reviewing the employee’s accomplishments:

- a) Long and short term goals were appropriately developed and identified which led to successful achievements
- b) Objectives and goals for the employee were accomplished with input from all relevant stakeholders
- c) The goals and objectives were accomplished by exceeding the normal standard for the employee
- d) All established goals were achieved within or exceeded deadlines