

Performance Management Systems

A Guidebook

PMRS: Performance Management and Recognition System

PMS: Performance Management System

SESPMS: Senior Executive Service Performance Management System

**PERFORMANCE
MANAGEMENT
SYSTEMS**

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CONTENTS

INTRODUCTION

Authorities and References

Part 1. Performance Management and Recognition System (PMRS) and Performance Management System (PMS) 1

Chapter 1. Overview 1

Purpose 1
Applicability 1
Definitions 1
Policies 4
Responsibilities 6
Training and Information 9
System Evaluation 9
Performance Records 9

Chapter 2. Performance Plans 10

Developing a Plan 10

Chapter 3. Progress Reviews and Summary Ratings and Ratings of Record 15

Progress Reviews 15
Ratings of Record 17

Chapter 4. Relationship to Other Personnel Actions 20

Career Ladder Promotions 20
Merit Promotion 20
Training 20
Reassignments 20
Actions as a Result of Unacceptable Performance 20
Appeal to the Merit System Protection Board 21
Reconsideration Process (PMRS); Grievance Process (GS) 21
Reduction-In-Force 22

Chapter 5. Performance Pay 23

Salary Increases for PMRS Employees 23
Pay Upon Acquiring PMRS Status 25
Pay Upon Loss of PMRS Status 25
Pay Upon Downgrade From Temporary Promotion to Permanent Grade in PMRS 25
Salary Increases for PMS Employees 26
Promotions Within or Out of PMRS on Effective Date of General Pay and Merit Increases 28
Employees Receiving Retained Pay 28

Chapter 6. Performance Awards 29

General 29
Performance Pools 29
Performance Award Bonuses for PMRS Employees 29
Funding 30
Eligibility Criteria 32

Chapter 7. Incentive Awards 33
Program Effectiveness 33
Recommendation and Approval 33
Credit for Promotion 33

Chapter 8. Unacceptable Performance 34
Applicability 34
General 34
Basis for Adverse Action 34
Opportunity Period 34
Preparing a Notice of Unacceptable Performance 35
Documentation, Removal and Effects of Notice 35

Exhibit A. Timetable of Performance Appraisal Cycle 36
Exhibit B. Sample Notice of Unacceptable Performance 37
Exhibit C. A.I.D. form [410-11 (6-87)], Performance Appraisal Report 38

Part II. Senior Executive Service Performance Management System 39

Chapter 1. Overview 39
Purpose 39
Definitions 39
Training 41
Performance Records 41
System Evaluation 42

Chapter 2. Performance Appraisal 43
Applicability 43
Policies 43

Chapter 3. Progress Reviews and Ratings of Record 45
Progress Reviews 45
Ratings of Record 45
Performance Review Board 47

Exhibit D. A.I.D. form (410-10 (9-86)), Performance Appraisal Report, Senior Executive Service 49

INTRODUCTION

The Performance Management Systems of the Agency for International Development provides guidance to plan, review and appraise employee job performance. It also provides a way to communicate organizational objectives to employees and to integrate program and administrative initiatives into the performance objectives of individual employees. The Systems and the employees they cover are:

Performance Management and Recognition System (PMRS). Supervisory and management officials, GM-13 through GM-15 (formerly Merit Pay employees);

Performance Management System (PMS). GS and prevailing rate employees, GS-1 through 12, and employees in non-supervisory/non-managerial positions, GS-13 through 15;

Senior Executive Service Performance Management System (SESPMS). Senior Executive Service (SES) employees.

Administratively Determined (AD) and Schedule C employees are included under the PMRS or PMS, as appropriate. However, pay and performance bonus decisions for AD employees are made by the Deputy Administrator.

Presidential appointees (EX), and Foreign Service and temporary employees whose appointments are for 120 days or less, are excluded from the Performance Management Systems.

Supervisors should not use the Performance Management Systems to deal with problems related to conduct, health or alcohol or drug abuse except as they directly affect job performance. Supervisors should contact the Office of Personnel Management, Civil Service Personnel Division (M/PM/CSP) for guidance on a case-by-case basis.

Authorities and References

Performance Appraisal	5 USC Chapter 43; 5 CFR 430(A)(B)(C)(D)
Performance Awards	5 USC 4503, 5406; 5 CFR 430(E) and 540.109
Superior Accomplishment Awards:	5 USC, Chapter 45; 5 CFR 451(A)
Within-Grade Increases (WGI):	5 USC 5335, 5304; 5 CFR 531(D)
Quality Step Increases (QSI):	5 USC 5336; 5 CFR 531(E)
Reduction-In-Force (RIF):	5 USC 3502; 5 CFR 351.504
Employee Performance Records:	5 USC 552a; 5 CFR 293.404, 293.405
General Pay Increase:	5 USC 5305, 5303; 5 CFR 540.106
Merit Increase:	5 USC 5404
Competitive service; probationary period	5 USC 3321
Reduction in Grade, Removal	5 CFR 432

Part I. PERFORMANCE MANAGEMENT AND RECOGNITION SYSTEM (PMRS)
and
PERFORMANCE MANAGEMENT SYSTEM (PMS)

Chapter 1. OVERVIEW

Purpose

This part establishes the policies and procedures for AID's PMRS and PMS and provides guidance for planning, reviewing and appraising job performance of employees under the two systems. The systems are intended to improve individual and organizational effectiveness by relating pay levels and adjustments and awards to individual and organizational performance. Performance ratings, the result of identifying and communicating goals and objectives and evaluating individual and organizational performance, will be used by AID supervisors to manage their respective organizations and to direct PMRS and PMS employees.

Within-grade increases, Quality Step Increases, merit increases, performance awards and performance-related superior accomplishment awards will be granted, commensurate with employee performance levels and achievements to motivate employees to increase productivity and creativity, to support and enhance Agency and national goals, and to obtain maximum benefits for the U.S. Government.

Applicability

This part applies to all AID employees except those in the Senior Executive Service and the Foreign Service.

Where guidance varies with the Agreement Between the Agency for International Development and the American Federation of Government Employees (AFGE), Local 1534, the agreement takes precedence for bargaining unit employees.

Definitions

Acceptable Level of Competence. Fully successful performance of the duties and responsibilities of an employee's assigned position which warrants advancement of the employee's rate of basic pay to the next higher step of the GS grade of the position.

Appraisal. The act or process of reviewing and evaluating the job performance of an employee against described job performance standards.

Appraisal Period. The period of time established by an appraisal system for which an employee's job performance will be reviewed. The appraisal period is for one year, July 1-June 30 (effective: fiscal 1988 rating cycle).

Appraisal System. A system that provides for establishing job performance standards, identifying critical and noncritical elements, communicating standards and elements to employees, and establishing methods and procedures to appraise performance against established standards, as well as appropriate use of appraisal information to make personnel decisions.

Critical Element. A component of a position consisting of one or more duties and responsibilities that contribute toward accomplishing organizational goals and objectives and that is of such importance that unacceptable performance on the element would result in unacceptable performance in the position.

General Pay Increase (Comparability). That portion of the pay adjustment granted to PMRS employees based on job performance. PMS employees receive the pay adjustment automatically.

Incentive Award. See Superior Accomplishment Award.

Intangible Benefits. Benefits or savings to the U.S. Government that cannot be measured in dollar terms.

Merit Increase. An increase in basic pay for PMRS employees equivalent to one-ninth of the difference between the maximum rate of the grade or special rate range and the minimum rate of the grade or special rate range.

Noncritical Element. A component of a position consisting of one or more duties and responsibilities that contribute toward accomplishing organizational goals and objectives and that is of such significance that it should be included in a performance plan but is not significant enough to be designated a critical element.

Opportunity Period. The period of time granted to an employee to demonstrate acceptable performance after the employee's job performance is appraised as unacceptable.

Pay Adjustment Period. The period beginning on the first day of the first pay period applicable to an employee starting on or after the first day of the month in which a general pay adjustment takes effect and ending at the close of the day preceding the beginning of the following pay adjustment period.

Performance. An employee's accomplishment of assigned work as specified in the critical and noncritical elements of the employee's position.

Performance Appraisal Report (PAR). The A.I.D. form [410-11 (6-87)] used to document the performance plan, progress review(s), modifications, interim ratings and the rating of record.

Performance Award. A cash payment based on an employee's rating of record.

Performance Management Plan. The Agency's method to integrate job performance, pay and awards with basic management functions to improve individual and organizational effectiveness in accomplishing its mission and goals.

Performance Pay Decision. The determination of the total amount of the general pay increase, merit increase and performance award to be granted to a PMRS employee made by the officials responsible for making the performance appraisal decisions.

Performance Plan. That part of a PMRS or PMS employee's Performance Appraisal which contains written critical and noncritical elements and performance standards [A.I.D. form 410-11 (6-87)].

Performance Standard. A statement of the expectations or requirements established by the rating official for a critical and noncritical element at a particular rating level.

Performance Standards Review Board. The Board (appointed by the Administrator) that reviews job performance issues regarding PMRS employees.

Performance Pools. Organizational entities that review performance pay recommendations and report directly to the Administrator.

Pool Manager. The person in an A.I.D. Bureau/Office responsible for administering an effective performance management program and for managing the award budget for his/her Bureau/Office.

Progress Review. A review of the employee's progress in achieving performance standards. The review is not, in itself, a rating.

Rating or Summary Rating. The level of performance attained for each critical and noncritical element. Also the overall level of performance derived, at any time, from the rating of elements. The five rating levels are Outstanding, Exceeds Fully Successful, Marginally Successful and Unacceptable.

Rating Official. The person, normally the employee's immediate supervisor, who develops the performance plan, evaluates the employee's job performance and proposes the Performance Appraisal Report.

Rating of Record. The overall rating derived from the rating of elements and required at the time specified in the Performance Management Plan or at such other times as the Plan specifies for special circumstances. The five ratings of record are Outstanding, Exceeds Fully Successful, Fully Successful, Marginally Successful and Unacceptable.

Reviewing Official. The person in the position immediately above the rating official who reviews and approves the rating official's development of an employee's performance plan and evaluation of the employee's job performance.

Special Act or Service. A nonrecurring contribution or accomplishment in the public interest within or outside of job responsibilities, e.g., a scientific achievement or an act of heroism.

Superior Accomplishment Award (Incentive Award). A monetary or non-monetary award for a contribution resulting in tangible or intangible benefits to the U.S. Government.

Supervisor. An AID employee authorized to hire, promote, direct, assign, reward, transfer, furlough, layoff, recall, suspend, discipline or remove employees; to recommend such action if the exercise of authority is not merely routine or clerical in nature but requires the consistent exercise of independent judgment, and to adjust subordinates' grievances.

Tangible Benefits. Benefits or savings to the U.S. Government that can be measured in dollar terms.

Unacceptable Performance. Performance that fails to meet established performance standards of one of more critical elements. Unacceptable performance should not be confused with an Unacceptable rating.

Policies

1. Performance plans will be developed, appraisals conducted and performance pay and incentive awards granted to AID employees without regard to race, sex, color, age, religion, national origin, handicapping conditions, marital status or political affiliation.
2. Each employee will be appraised individually on his/her overall work performance at least once a year. Each employee's rating of record will be based on the requirements of the position which will be identified in a written performance plan.
3. The minimum appraisal period shall be 90 days.
4. An employee must be appraised on each element unless he/she has had less than 90 days in which to demonstrate performance on an element.
5. When an employee cannot be rated because he/she has not been under an approved plan for 90 days or is in an opportunity period when ratings of record are required, the appraisal period shall be extended to meet the 90-day minimum appraisal period, at which time a rating of record shall be prepared. For pay purposes, extensions for PMRS employees may not exceed September 30.
6. A summary rating must be prepared when an employee changes from a position that he/she held for 90 days or more. All summary ratings issued during the appraisal period must be considered in determining the employee's rating of record at the end of the appraisal period.

7. When an employee is detailed or temporarily promoted within AID and the assignment is expected to last 90 days or longer, the rating official shall give the employee written critical elements and performance standards as soon as possible but no later than 30 calendar days after the assignment begins. Ratings on critical elements must be prepared and considered in determining the employee's next rating of record.

8. When an employee is detailed outside AID, a rating of record must be prepared if the employee served in AID for 90 days. The rating of record shall take into consideration appraisal information from the borrowing organization. If an employee has not served in the Agency for 90 days, but has served in the borrowing organization for 90 days, management must make a reasonable effort to prepare a rating based on a performance plan obtained from the borrowing organization. If a current rating cannot be prepared, the employee is designated unrateable.

9. Performance plans shall be reviewed and approved by a reviewing official. Plans shall be communicated to employees no later than 30 days after the beginning of the appraisal period, within the first 30 days of entrance on duty, reassignment after the beginning of an appraisal period, or beginning a detail for 90 or more days.

10. Employees and rating officials must jointly participate in developing performance plans.

11. Performance plans must be related to the employee's assigned work and must be within the control (e.g., skills, resources, and/or authority) of the employee to achieve.

12. Performance plans for PMRS employees (and to the extent practical, PMS employees) must include accomplishment of organizational objectives by incorporating goals, program plans, workplans or other means that account for program results.

13. Performance standards must be written at the Fully Successful level for all critical and noncritical elements.

14. One documented progress review (formal counseling session) must be conducted by rating officials with employees during the appraisal period to make certain that employees are aware of their job requirements, strengths and weaknesses in performing job requirements and how to improve job performance, and to document changes to the initial performance plan. If an employee's overall performance falls below the Fully Successful level, another progress review is required to follow up on actions to correct the performance deficiency. Other periodic reviews are encouraged and should be held as necessary.

15. Each performance element will be appraised by comparing performance standards against elements. No narrative is required for elements in which performance is rated Fully Successful.

16. When an employee's overall performance falls below the Fully Successful level, the employee shall be helped to improve his/her performance through formal training, on-the-job training, counseling or closer supervision.

17. When an employee's position under the General Schedule is converted to PMRS, or vice versa, with no change of duties and responsibilities, the employee's rating of record will be based on performance elements and standards established under the latter position.

18. An employee has the right to disagree with his/her rating and may seek satisfaction by discussing the appraisal, first with the rating official, then with the reviewing official. After receiving a copy of an approved appraisal, PMRS and PMS employees may receive reconsideration if the rating appears to be erroneous, inaccurate or falsely prejudicial. Employees in the bargaining unit may grieve in accordance with the AID/AFGE agreement.

19. There will be no predetermined distribution of ratings of record by levels of performance.

20. Performance Appraisal Report results will be used as a basis for determinations regarding promotions, within-grade increases, performance pay decisions, incentive awards, training, reassignments, reductions-in-grade, retentions, removals and counseling needs for employees who achieve less than fully successful performance.

21. Summary ratings will not be discussed with rated employees until after the ratings have been approved by the pool manager.

22. Performance awards will not be discussed with rated employees until after the Administrator has concurred.

23. The rating of record of a disabled veteran may not be lowered because the veteran has been absent from work to seek medical treatment.

24. Appropriate mandatory performance elements must be included for PMRS employees whose positions involve duties and responsibilities regarding performance planning and appraisal, affirmative action and EEO, audit resolution or internal cost control activities.

Responsibilities

Rating Official:

- Develops and maintains the annual performance plan; prepares amendments as necessary.
- Determines whether performance elements are critical or noncritical.

- Conducts progress reviews with each employee to discuss and document performance requirements of the position and progress of assignments.

- Meets with each employee to review and document job performance to prepare a summary rating. Discusses the rating for each employee with the reviewing official and obtains reviewing official's comments, signature and date. Signs and dates the rating; discusses rating with employee; obtains employee's comments, signature and date, and sends the PAR to the appropriate administrative/executive management office for forwarding to M/PM.

- Recognizes outstanding and exceptional job performance and recommends appropriate rewards.

- Recognizes poor job performance and takes appropriate corrective or remedial action, including prompt notification to the servicing Personnel Staffing Specialist.

- Uses PAR results as a basis to determine promotions, within-grade increases, performance pay decisions, incentive awards, training, reassignments, reductions-in-grade, retentions, removals and counseling needs.

Reviewing Official:

- Makes certain that elements and standards of an employee's performance plan reflect the duties and responsibilities of the employees' position.

- Makes certain that performance planning, reviewing and rating responsibilities are carried out by rating officials.

- Reviews and approves the employee's performance plan and seeks to resolve any disagreements (between employee and rating official and between him/herself and rating official).

- Makes certain each performance element is job-related and within the control of the employee to achieve.

- Makes certain all performance standards are written at the Fully Successful level.

- Makes certain that performance progress review(s) are in accordance with plan requirements.

- Reviews the employee's PAR. If the appraisal of any element is changed as a result of this review and subsequent discussion with the rating official, review instructions to document the change and to complete the annual appraisal review to determine whether the summary rating is affected. Makes appropriate comments. Considers the performance award recommendation and makes certain they are justified. Signs and dates the rating and performance pay recommendation.

- Forward original copies of PARs to the pool manager with a list of performance award recommendations.

Pool Managers:

- Establish internal procedures to make certain that the appraisal process is completed on a timely basis and that each employee receives a PAR.
- Make certain that no rating or reviewing official transfers from a Bureau/Office without completing PARs on subordinates.
- Establish internal procedures to monitor the performance appraisal process and performance pay pool matters.
- Submit to M/PM/CSP a list of employees who were not rated, the names of the employee's rating and reviewing officials and the reason for delay.

Performance Standards Review Board

The Administrator shall appoint a Performance Standards Review Board (PSRB) consisting of at least six members to review performance issues regarding PMRS employees. Members shall be AID employees, no less than half of whom shall be covered by the PMRS and in the competitive service; one member shall be designated by the Administrator to serve as the Chair. The Board shall not be involved in any issues of any employee's performance.

The Board shall:

- Assess the appropriateness of PMRS performance standards for .

<u>Consistency</u>	Performance plans for similar positions should be as comparable as feasible; not all tasks will be common to similar positions.
<u>Equity</u>	Standards for the performance of required tasks should not be unduly strict for one employee while relatively lenient for others.
<u>Clarity</u>	Performance elements and standards should be clear and specific.
<u>Comprehensiveness</u>	Performance plans must include organizational accomplishments in elements and mandatory elements.
<u>Measurability</u>	Performance elements and standards should be written so that the level of achievement can be evaluated on the basis of quantity, quality, timeliness and/or other measurable outputs to the extent possible.

- Study the feasibility of an awards program based on the collective performance of units or other groups of PMRS employees;

- Provide technical assistance with respect to any demonstration projects A.I.D. may initiate related to performance standards for PMRS employees;
- Report annually to the Administrator on activities and recommendations, as appropriate.
- Review a representative sample of completed A.I.D. PMRS performance appraisal reports to assess the appropriateness of performance standards.

Training and Information

All PMRS and PMS employees will receive training and information about the PMRS and PMR systems to make certain that the system will be effectively carried out. Information will include a packet describing the systems' subcomponents. The A.I.D. course, "The Supervisor's Role in Personnel Management," is strongly encouraged for all rating and reviewing officials, including Foreign Service employees on rotational assignments. In addition to making use of regularly scheduled supervisory and managerial courses, A.I.D. bureaus and offices may request special briefings or training sessions on the PMRS and PMS systems.

System Evaluation

M/PM will conduct an annual evaluation of the Performance Management Systems in cooperation with the Performance Standards Review Board and with the participation of other designated A.I.D. offices. The evaluation will cover performance appraisal and the pay and awards subsystems included under this plan.

Performance Records

Ratings of record and performance plans covering the most recent three years will be retained in the employee's Official Personnel Folder (OPF) or Employee Performance File (EPF). When an employee's OPF is sent to another agency or to the National Personnel Records Center, M/PM/CSP shall include all ratings of record three years old or less, including the performance plan on which the most recent rating was based. M/PM/CSP will purge all performance ratings more than three years old and all other performance-related records.

If a PMRS or PMS employee transfers to A.I.D. at any time during the appraisal period, the current rating of record will be transferred to A.I.D. from the losing agency. The transferred rating will be considered when determining the employee's next rating of record.

For PMRS employees only, if the transfer takes place within 90 days prior to September 30, the transferred summary rating will be considered the employee's rating of record for the current appraisal period only to make performance pay decisions.

Chapter 2. PERFORMANCE PLANS

The performance plan is a formal written document prepared by the rating official with employee participation to monitor and evaluate an employee's performance. The plan informs an employee of the standards by which his/her performance will be judged and rated. The plan also is the basis for adjusting the base pay of the rated employee; for training, reward, reassignment, promotion, reduction-in-grade, retention and removal; and for making performance award decisions.

Developing a Plan

Requirements

1. The performance elements and standards for a position (including for a detail or temporary promotion effective for more than 90 days) must be communicated to the employee, in writing, in a performance plan no later than 30 days after the beginning of the appraisal period. The standard for the Fully Successful level must be written for all elements in the performance plan. To the extent possible, performance standards should include measures of quality, quantity, timeliness and manner of performance.

2. Performance elements and standards will be based on the duties and responsibilities of the employee's official position description.

3. Organizational objectives should be included in PMRS performance plans, and should, as appropriate, be included in PMS performance plans.

4. Probationary employees must be carefully observed and appraised during their one-year probationary period to determine whether they have the qualities to become fully successful career employees. Within 30 days after appointment to a permanent assignment, a performance plan must be developed and progress reviews held.

5. Employees serving a probationary period for initial appointment to a supervisory or managerial position must be carefully observed, trained and appraised during their one-year probationary period to determine whether they have the qualities needed to become a fully successful supervisor. Within 30 days of assuming a supervisory position, a performance plan must be developed for the employee. The plan, reviews and ratings of record should be used to decide whether the employee successfully completes the probationary period.

Steps

A performance plan may be developed by the employee and rating official jointly discussing and developing a plan; by the employee providing the rating official a draft performance plan; by the employee commenting on a draft performance plan prepared by the rating official; or by a group of employees who occupy similar positions preparing a performance plan.

All methods require discussion between the rating and reviewing officials before final discussion with the employee.

Step 1. Employee and rating official jointly develop draft plans. The rating official should consider the employee's viewpoint regarding the development of the performance plan and should set standards at the level appropriate for management's required outcomes.

Step 2. Rating and reviewing officials discuss draft plan, and resolve conflicts. The reviewing official must review and approve plans (where there is no organizationally appropriate reviewing official an exception is allowed); the plan becomes effective on the date of the reviewing official's signature.

Step 3. Rating official has final discussion with the employee.

Step 4. Employee has five work days to review, comment and sign the plan. The employee's signature shows that the employee had an opportunity to participate in and comment on the plan. The employee's signature is not required to make the plan official; management retains the right to make final decisions on elements and standards.

If revisions or substantive changes to elements and standards become necessary at any time during the rating period, such changes must be in writing and become effective when revisions are reviewed and approved by the reviewing official.

Frequent discussions and counseling are encouraged during the appraisal period to make certain that work is consistent with elements and standards, thus reducing the likelihood of disagreements when the PAR is prepared at the end of the period.

Identifying Performance Elements

Performance elements are the specific duties, responsibilities and/or tasks on which an employee's performance will be appraised. An employee must be appraised on each critical and noncritical element on which he/she has sufficient opportunity to perform.

The following criteria should be considered to establish performance elements:

- Are the elements objective?
- Do the elements refer to work activities under the employee's control? Is the employee responsible within the authority of the position?
- Are the elements derived from the overall mission of the organizational unit? Are the elements compatible with and supportive of results assigned to other organizational components?

- Are the elements comprehensive?
- Are the elements job-related?
- Are the elements clear?

Establishing Critical Elements

1. Every plan must have at least one critical element.
2. The absence of a written standard at a given rating level shall not preclude the assignment of a rating at that level.
3. To determine whether an element is truly critical, the following criteria should be considered:
 - Is the element significant to the basic purpose of the position. Significance can be assessed in terms of time spent, importance or consequence of error?
 - Will substandard performance on this element adversely affect the organization's objectives?
 - Are you willing to put this employee on notice that remedial action will be taken if the Fully Successful standard for this element is not met?
 - Is the element of such importance that the employee should be fired or downgraded if performance remains Unacceptable after an opportunity period is provided?

Mandatory Performance Elements

For PMRS employees whose positions involve duties and responsibilities as cited below, appropriate performance elements must be included. These elements may be stated independently or subsumed under broader performance elements. Elements may be critical or noncritical.

- Performance Planning and Appraisal. Mandatory for supervisors who prepare performance plans, reviews and appraisals for subordinate employees, and who monitor the preparation of plans, reviews and appraisals completed by subordinates. Suggested criteria to develop and evaluate this element include development of the performance plan, conduct of performance review(s), timely preparation of final appraisal, and applicability of performance elements to office/Agency goals/objectives.

Supervisors rated less than Fully Successful on this element will NOT receive a performance bonus.

- Affirmative Action and EEO. Mandatory to the extent that such activity can be considered an integral part of the position function. The element re-

lates to the effective use of human resources to achieve Agency objectives. Suggested criteria to develop/evaluate this element include recognition of underutilized employees, recommendations for training opportunities applicable to career development, career counseling, and developmental training consistent with office/employee goals/objectives, contract management/monitoring when the employee has input to hiring practices.

- Audit Resolution. Mandatory for employees whose responsibilities include audit-related functions. The extent to which audit resolution is part of a particular position function is an individual management decision. Supervisors should have qualitative and quantifiable results from their administration of the resolution of audits for which they are responsible. Suggested criteria to develop/evaluate this element include appropriateness of gathered data to resolution of the case at hand, ability to research and elicit relevant data, timeliness and quality of audit investigation.

- Internal Cost Control Activities. Mandatory for employees whose positions require establishing or enforcing internal cost control standards to make certain that:

- contracts, purchases and other obligations are in compliance with applicable laws and procedures;

- funds, property and other assets are safeguarded against waste, loss, unauthorized use or misappropriation;

- Revenues and expenditures applicable to AID operations are properly recorded and accounted for to permit the preparation of accounts and financial and statistical reports, and to maintain accountability over assets; and

- prudent management of AID financial loans and grants is achieved subject to applicable legislation, AID policies and federal procurement regulations.

Establishing Performance Standards

1. Performance standards describe the levels of achievement for each performance element in the performance plan and are linked to annual ratings of record.

2. Standards must be within the control of the individual to achieve. Standards cannot include skills that exceed those required for the position, nor should standards require authority beyond that delegated to the position.

3. Standards are to be based upon products and results (performance outputs) rather than upon the employee's abilities or work behavior. Conduct matters will be considered only insofar as they have a direct impact and linkage to the performance in determining a rating and must be couched in terms of the work.

4. In the case of positions and organizational units in which the most important result of job performance is not a tangible or easily measurable product but a process, standards should focus on desired outcomes of the process or on subproducts.

5. Standards should be written clearly and as objectively as possible and include appropriate and objective measures of quality, quantity, timeliness or manner of performance. Where such measures are not possible or appropriate, subjective qualitative measures are acceptable as long as they are clear and specific. Standards should be developed in the context of organizational requirements. For employees in similar positions at the same grade level and operating under similar circumstances, standards should be similar, if not identical.

6. The following criteria should be considered to establish standards:

- Are the standards objectively measurable?
- If the standard is based on a measure other than quantity, quality, timeliness or manner of job performance, is the means to assess performance clearly specified?
- Are the standards achievable?
- Are the standards consistent with the standards for employees in similar positions and grades?
- Can enough information be collected on the performance element to evaluate different levels of job performance?

Modifications

A performance plan may be modified at any time during the appraisal period for any reason management determines to be valid such as an element or standard determined to be unrealistic or a change in organizational priorities, duties or resources.

The rating official is responsible to make certain that the employee understands the reason for the change, the precise nature of the change and implications in terms of expected job performance. A new minimum appraisal period of 90 days is required for any new element and/or standard. Employees must be under approved elements and standards for 90 days to be evaluated against them. Modifications are documented and dates noted in the Performance Plan section of the PAR.

Chapter 3. PROGRESS REVIEWS AND RATINGS OF RECORD

Progress Reviews

One formal progress review during the appraisal period is mandatory. However, if an employee's performance of any critical element is deemed to be less than Fully Successful, two reviews are required. Additional formal discussions are encouraged for a given performance situation. The progress review presents an appropriate opportunity to change the performance plan, if necessary. All modifications of performance elements or standards must be noted and dated by the rating and reviewing officials on the Performance Plan section of the PAR. Performance progress must be documented when past performance has been less than Fully Successful. An employee shall be informed of his/her level of performance by comparing standards against elements.

Benefits of progress reviews:

- revise workplans to maintain realistic goals, define areas needing additional help and provide an opportunity to exchange ideas for furthering work progress;
- determine training to enhance the employee's ability to successfully perform the job;
- set achievement expectations and identify level of effort required to satisfy the requirements of the job or to take advantage of promotional opportunities or more interesting or challenging work assignments;
- obtain employee feedback to promote understanding between the rating official and employee;
- improve rating official-employee rapport;
- resolve problems by determining the skills or knowledge to successfully perform the job;
- discuss and identify employee's career development goals in relation to organizational goals;
- coach employee on areas that need improvement by identifying weaknesses and developing a plan to overcome them. Sessions should cover the rating official's appraisal of the employee's job performance and the employee's attitudes, comments, potential and career goals.

After the rating official has prepared and signed the progress review, the review must be discussed with the employee. The employee has five workdays to review and sign the Progress Review. If the employee has any reservations concerning the review of his/her job performance, the employee may state his/her reservations in a separate attachment.

When conditions of employment change, e.g., reassignment, departure of rating official or substantive changes in position responsibilities, an interim appraisal is required on page 5, Summary Section. In such cases, the box marked "interim rating" should be checked.

Preparing for Progress Reviews

1. Preparation

Advance preparation by the rating official and employee is essential during a semi-annual or an annual performance review.

The rating official prepares by reviewing the performance plan and any amendments; his/her notes from previous progress reviews and on observations of the employee's job performance during the past period; and conversations with other personnel, clients and A.I.D. personnel with whom the employee interacts.

From these reviews, the rating official should be able to identify points to discuss with the employee. The points could include, for example, the need for more information on expected accomplishments, the employee's views on factors that helped or hindered achievement of expected accomplishments, and performance areas needing improvement.

The rating official should schedule the progress review in advance in a setting free of interruption. The review should focus on the employee's progress in meeting the performance requirements. Factors preventing progress, if any, should be identified and appropriate corrective steps taken.

The employee prepares by reviewing notes from progress reviews and planning sessions and listing points he/she want to discuss. These points might include accomplishments, tasks not accomplished, planned work that needs clarification and work performed but not planned.

2. Conducting the Review

The rating official should explain the purpose of the review and indicate that the discussion will be a two-way exchange of views; the rating official and employee should listen carefully to what each other is saying so issues are clearly understood.

The rating official should keep the following points in mind when discussing job performance:

- focus on the employee's total job performance against the standards for the entire period and not just on the most recent performance;
- whenever possible, support each point with specific observations;
- discuss impediments to successful performance;
- discuss specific plans for improvement.

3. Concluding the Review

Summarize the major points discussed and decisions made.

Interim Rating Requirements

An interim performance appraisal report is required when the employee is reassigned, promoted or transferred to another assignment and 90 days have elapsed. The supervisor will:

- have a progress review with the employee and discuss job performance to that point;
- prepare a rating of record;
- forward the completed performance plan to the executive management staff to transmit to the gaining rating official or executive management staff for appropriate action. Interim appraisals must be considered in preparing the employee's next rating of record.

When a rating official leaves during the appraisal period or when major changes in duties and performance requirements necessitates a new plan, a rating of record is encouraged. It is important that every assignment and period of service be documented to show duration and quality of service and that there is documentation that can be considered by the official who prepares the rating of record.

Ratings of Record

A rating of record must be given to each employee as soon as practical after the end of the appraisal period. The rating is recorded in the Summary Rating section of the PAR.

Before ratings of record are finalized, a thorough discussion of rating tendencies should be held by the pool manager with subordinate rating officials. Discussions should resolve rating issues prior to actual rating preparation. Ratings of record must be approved by the pool manager before the rating official meets with the rated employee.

A rating of record is due for a probationary employee at the end of the earliest appraisal period after the employee has completed the probationary period. Until then, rating officials who supervise employees serving new appointment probations must implement performance plans and, based on performance against the elements and standards in the plan, provide performance certifications at the sixth and tenth month of probation. Rating officials should appraise the employee's progress based on plans and reviews; results should be the basis for these certifications.

Levels

AID uses a five-level system to rate employees:

Level 5 - Outstanding. Through the employee's initiative, diligence and productivity, production greatly exceeds the standard for Fully Successful and the impact of the employee's total performance greatly enhances and/or facilitates the accomplishment of bureau/office objectives/mission/functions.

Level 4 - Exceeds Fully Successful. Through the employee's initiative, diligence and productivity, work produced is consistently better, more thorough and/or greater in quantity than specified in the standard for Fully Successful.

Level 3 - Fully Successful. This level of job performance constitutes the level of personal achievement and contributions expected of an employee to effectively accomplish bureau/office goals and job requirements.

Level 2 - Minimally Successful. The employee occasionally and/or partially meets the standard for Fully Successful but does not fully and consistently perform at that level.

Level 1 - Unacceptable. The employee often fails to meet the standard for Fully Successful.

Deriving Ratings of Record

In deriving the rating of record, the rating official should review the appraisal of each performance element giving predominant weight to critical elements and should assign the rating of record that most accurately reflects the employee's overall job performance. The rating of record must be consistent with and supported by critical element ratings.

Outstanding. Outstanding must be supported by Outstanding ratings for all critical elements. The majority of the noncritical elements should be at least Exceeds Fully Successful; none can be rated lower than Fully Successful. An Outstanding rating of record requires personal certification of the pool manager attesting to the organizational achievements for each critical element.

Exceeds Fully Successful. The majority of the critical elements must be rated Exceeds Fully Successful or higher; none can be rated lower than Fully Successful. In a case where critical elements are evenly divided between Fully Successful and Exceeds Fully Successful or higher, a Fully Successful rating of record shall be awarded. The majority of noncritical elements should be rated Fully Successful or higher.

Fully Successful. The majority of critical elements are rated Fully Successful or higher; none can be rated less than Fully Successful. The majority of noncritical elements should be rated Fully Successful or higher, but none less than Minimally Successful.

Minimally Successful. One or more critical elements are rated Minimally Successful; none can be rated lower than Minimally Successful. Noncritical elements may be a mix of ratings.

Unacceptable. If performance on any critical element is Unacceptable, the rating of record must be Unacceptable. Noncritical elements may be a mix of ratings.

Approval Process

The rating official shall complete, sign and date the rating of record and submit it to the reviewing official. If the rating official recommends a performance pay award or Quality Step Increase for a rated employee, a memo listing names and amounts of recommended employees should be given to the reviewing official together with employees' PARs. The reviewing official shall comment on the rating of record as appropriate, discuss the rating with the rating official, and sign and date the rating.

The reviewing official shall discuss award recommendations with the rating official and endorse or modify them before forwarding them with the completed PARs to the pool manager.

The pool manager reviews the organizational achievements of each unit in the pool for validity and consistency, and certifies that PARs are complete and that award recommendations are justified. The pool manager decides what performance pay recommendations will be forwarded to the Administrator for concurrence. PARs are returned to the rating official for discussion of the ratings of record with rated employees. Ratings of record may not be discussed with employees until after they have been approved by the pool manager.

Performance awards may not be discussed with rated employees until the Administrator has concurred. Pool managers must institute procedures to communicate these decisions.

Within three weeks of the return of the PARs for discussion of the ratings of record with rated employees, executive management staffs must collect them and forward them to M/PM/CSP for filing.

Chapter 4. RELATIONSHIP TO OTHER PERSONNEL ACTIONS

Career Ladder Promotions

The current PAR is one of several factors a supervisor considers to determine whether an employee has the ability to perform at the next higher level of work. An employee shall not receive a career ladder promotion unless his/her current rating of record is Fully Successful or higher. In addition, an employee may not receive a career ladder promotion if he/she has a rating of record below Fully Successful on a critical element critical to performance at the next higher grade of the career ladder.

Merit Promotion

PAR results will be a determining factor in an employee's ability to compete under the merit promotion program.

Training

PAR results may be the basis for recommending training. Such training may be designed to prepare the employee to take on additional responsibilities, learn new techniques or equipment or, as part of a Notice of Unacceptable Performance, to attempt to bring the employee's job performance up to standards.

Reassignments

AID retains the right to reassign employees to different positions based on Agency needs. In the case of employees whose job performance is less than Fully Successful, the Agency may reassign an employee to a position in which there is a greater probability of Fully Successful performance.

Actions as a Result of Unacceptable Performance

PMRS and PMS employees who receive an Unacceptable rating must be given an opportunity period. The Agency must reassign, reduce-in-grade or remove an employee whose rating of record remains Unacceptable after being given an opportunity period.

For PMRS employees whose previous rating is Unacceptable, improvement of performance to the Minimally Successful level will require a new opportunity period.

A PMRS employee whose performance is initially rated Minimally Successful and has not fallen to the Unacceptable level does not require an opportunity period. Such employees should be counseled and encouraged by supervisors to improve. Two document reviews are required during the appraisal period.

If an employee's performance remains Unacceptable, a supervisor may propose reduction-in-grade or removal of an employee by giving the employee a 30-day written notice of the proposed action.

The notice should include:

- specific examples of unacceptable performance on which the proposed action is based;
- the critical element involved in each instance of unacceptable performance;
- a statement informing employees within the the bargaining unit the right to union representation;
- a statement informing employees not in the bargaining unit to be represented by an attorney or other person selected by the employee;
- a reasonable time to respond, orally and in writing;
- a statement that instances of successful performance during the 30-day notice period will be considered in the decision; and
- notice that a decision concerning the proposed action will be made by the Decision Officer after the 30-day period. The 30-day notice period may be extended by the Decision Officer for an additional 30 days. If the employee shows improved performance during the notice period, the decision may be made not to reassign, reduce-in-grade or remove the employee. The employee may be given another 30-day notice of Unacceptable performance at any time within one year from the date of the original 30-day notice. However, if the employee's performance continues to meet Fully Successful standards during the year following the original 30-day notice period, all reference to the Unacceptable performance will be removed from the record.

Appeal to the Merit Systems Protection Board

Reduction-in-grade and removal may be appealed to the Merit Systems Protection Board. Employees in the bargaining unit have the option of appealing to the Board or may use the negotiated grievance procedure. Only one option is allowed. Employees may request guidance from A.I.D.'s Office of Personnel Management, Labor/Management Relations Division.

Reconsideration Process (PMRS); Grievance Process (PMS)

Employees have the right to disagree with the performance appraisal and seek relief without fear of reprisal.

An employee who disagrees with his/her appraisal should attempt to seek relief by discussing it with his/her rating and reviewing officials. If the employee is not satisfied with the resolution, the issues should be noted in the employee's comments on the Summary Rating section.

Performance elements, standards, general pay increases, merit increases, performance awards, Quality Step Increases and cash awards are not covered by the Agency's reconsideration and negotiated grievance processes. How performance elements and standards are applied is covered. If, after discussion with his/her rating and reviewing officials, the employee still believes the rating of record was erroneous, inaccurate or falsely prejudicial:

- employees in the bargaining unit may grieve in accordance with the AID/AFGE agreement, Article 31.

- PMRS and employees not in the bargaining unit may receive reconsideration of their ratings of record through the Agency's Administrative Grievance Procedure (see Handbook 29, Chapter 3). Grievances will be reviewed by an official at a higher level than the rating, reviewing or approving official.

Reduction-In-Force

For RIF purposes, ratings of record are the rating given at the end of the appraisal period or the improved rating following an opportunity period.

An employee will not be assigned a new rating of record for the sole purpose of affecting his/her retention standing.

To provide adequate time to properly determine employee retention standing immediately prior to a RIF, a general RIF notice will specify the date after which no new ratings of record will be given that could be used to determine retention standing.

Chapter 5. PERFORMANCE PAY

Performance pay is based on the performance contributions that employees have made to AID programs and operations during the rating cycle. The performance appraisal is the principal document supporting performance pay. Each performance pay decision shall be based on the employee's rating of record for the current appraisal period, except where a rating or record from the previous cycle is used for PMRS pay purposes.

Salary Increases for PMRS Employees

General Pay Increases

PMRS employees with a rating of record of Fully Successful or higher will receive the full general pay increase. Minimally Successful PMRS employees will receive one-half the general pay increase; Unacceptable PMRS employees will not receive a general pay increase.

Merit Increases

1. A PMRS employee is eligible to receive a merit increase if he/she is in a PMRS position on the effective date of the merit increase. PMRS employees who receive a rating of record of Minimally Successful or Unacceptable shall not receive a merit increase and must be given an opportunity period to improve performance to the Fully Successful level.

PMRS employees with salaries in the range that are less than step 4 of the GS equivalent grade who receive a rating of record of Fully Successful or higher shall receive a full merit increase. PMRS employees with salaries at dollar amounts equal to or greater than step 4 in the GS equivalent grade receiving a rating of record of:

- Outstanding will receive the full value of the merit increase;
- Exceeds Fully Successful will receive one-half of the merit increase;
- Fully Successful will receive one-third of the merit increase.

No employee is entitled to receive compensation that would exceed the legal limit of the rate range.

2. PMRS employees not eligible for merit increases:

- a PMRS employee newly appointed to Federal service within 90 days of the effective date (including the effective date) of the merit increase. A reinstated employee is considered to be a newly appointed employee. Employees not considered to be newly appointed include those rehired from a reemployment priority list and those receiving a new appointment without a break in service of one or more workdays.

● an employee moving into the PMRS within 90 days of the effective date of the merit increase who has received an increase to base pay, such as promotion, within-grade increase and Quality Step Increase, within 90 days of such effective date. Movement into the PMRS and increases occurring on the effective date of the merit increase are considered to be within the 90-day period. Actions covered by this rule include

- conversion to the PMRS;
- reassignment to the PMRS from another pay system;
- promotion to the PMRS;
- temporary promotion to the PMRS.

3. IF, for pay purposes, an employee's job performance cannot be appraised for the 90-day minimum appraisal period because:

- the employee is under performance elements and standards in effect for less than the 90-day minimum appraisal period because of conversion, reassignment, promotion or major changes in duties and responsibilities;
- the rating official has left the Agency and higher level supervisors cannot reasonably appraise the employee's job performance;
- the employee is on long-term training or IPA assignment;

THEN, merit increases will follow these rules, in the order specified:

- the employee's rating period is extended to provide a minimum 90-day appraisal period, provided the extension does not exceed September 30 of the same year;
- the employee cannot be rated at the end of the appraisal period. A transferred rating, if available, becomes the rating of record;
- the employee's rating of record is extended and the appropriate increase is granted if that rating of record was given no earlier than the previous AID rating period and was given on PMRS duties and responsibilities;
- the employee receives an increase equivalent to that granted for a Fully Successful rating.

4. If, for nonpay purposes, a rating of record cannot be prepared at the times specified in this guidebook, the appraisal period shall be extended for the amount of time necessary to meet the 90-day minimum appraisal period, at which time a rating of record shall be prepared.

Pay Upon Acquiring PMRS Status

When an employee acquires PMRS status, the employee shall receive his/her existing rate of basic pay, plus any of the following adjustments that apply, in the order specified:

- the amount of any statutory adjustment in the General Schedule made on that date, or in the case of an employee subject to special pay rates, the amount of any adjustment made on that date;
- the amount of any within-grade increase or Quality Step Increase to which the employee otherwise would be entitled on that date;
- the amount resulting from a promotion effective on that date.

Pay Upon Loss of PMRS Status

When an employee loses PMRS status, the employee shall receive his/her existing rate of basic pay, plus any of the following adjustments that apply, in the order specified:

- the amount of any general pay increase to which the employee otherwise would be entitled on that date, or, in the case of an employee subject to special pay rates, the amount of any pay adjustment made on that date;
- the amount of any merit increase to which the employee otherwise would be entitled on that date;
- the amount resulting from a promotion on that date;
- in the case of an employee whose resulting rate of basic pay falls between two steps of a GS grade (or, in the case of an employee whose position is subject to special pay rates, between two steps of the applicable special rate range), the amount of an increase necessary to pay the employee the rate for the next higher step of that grade (or special rate range);
- in the case of an employee whose resulting rate of basic pay falls below the minimum rate of a GS grade (or, in the case of an employee whose position is subject to special pay rates, below the minimum of that special rate range), the amount of any increase that may be necessary to pay that employee the minimum rate for that grade (or special rate range).

Pay Upon Downgrade from Temporary Promotion in PMRS to Permanent Grade

When a PMRS employee returns to a PMRS position from a temporary promotion to a PMRS position during which a general pay and/or merit increase occurred, the following adjustments apply, in the order specified:

- the amount of any general pay increase to which the employee otherwise would be entitled at the lower grade on that date, or in the case of an employee subject to special pay rates, the amount of any pay adjustment at the lower grade on that date;

- the amount of any merit increase to which the employee would be entitled at the lower grade on that date.

Salary Increases for PMS Employees

General Pay Increases

PMS employees automatically receive full annual general pay increases regardless of job performance.

Within-Grade Increases

1. To earn a within-grade increase, the employee's most recent rating of record must be Fully Successful or higher. Also, the employee must have completed the required waiting period for advancement to the next higher step of the grade of his/her position and must not have received an equivalent increase during that period.

2. An acceptable level of competence determination shall be based on a current rating of record. When a within-grade increase decision is not consistent with the employee's most recent rating of record, a more current rating of record must be prepared.

3. If an employee has been reduced in grade because of unacceptable performance and has served in one position at the lower grade for at least 90 days, a rating of record at the lower grade shall be used as the basis for an acceptable level of competence determination.

4. An acceptable level of competence determination must be delayed when either of the following applies:

- an employee was not informed of the specific requirements for performance at an acceptable level of competence at least 90 days before the end of the waiting period, nor given a performance rating in any position within 90 days before the end of that period; or

- an employee is reduced in grade because of unacceptable performance to a position in which he/she is eligible for a within-grade increase or will become eligible within 90 days.

5. When an acceptable level of competence determination has been delayed under either of these circumstances:

- the employee shall be informed that his/her determination is

postponed and that the rating period has been extended to a date 90 days after the employee was first told of the specific requirements for performance at an acceptable level of competence;

- an acceptable level of competence determination shall be made upon completion of the 90-day appraisal period based on the employee's rating of record;

- if the employee's performance is determined to be at an acceptable level of competence, the within-grade increase will be granted retroactively.

6. An acceptable level of competence determination shall be waived and a within-grade increase granted when an employee has not served in any position for the minimum appraisal period during the final 52 calendar weeks of the waiting period for one or more of the following reasons:

- because of absences that are creditable service in the computation of a waiting period or periods;

- because of paid leave;

- because the employee received service credit under back pay provisions;

- because of details to another agency or employer for which no rating has been prepared; or

- because of long-term training.

In such a situation, there shall be a presumption that the employee would have performed at an acceptable level of competence had the employee performed the duties of his/her position of record for the minimum appraisal period.

7. A within-grade increase will be withheld for a PMS employee who performs at a less than Fully Successful level. Advance notification of the negative level of competence determination shall be communicated to an employee in writing 60 days prior to the completion of the waiting period for the within-grade increase. The negative determination shall include:

- the reasons for the determination and what the employee must do to improve his/her performance to be granted a within-grade increase;

- notice that the employee has the right to request that the determination be reconsidered.

8. When it has been determined that an employee is not performing at an acceptable level of competence, and thus is not awarded a within-grade increase, the employee may request reconsideration of and appeal a negative determination.

9. When a within-grade increase has been withheld, management will make a new acceptable level of competence determination every 90-180 days until the employee's performance is competent enough to deserve the pay increase.

10. If denial of the within-grade increase is due to performance at the Unacceptable level, the requirements for a Notice of Unacceptable Performance must be met (see Chapter 8).

Quality Step Increases

GS employees with a current rating of record of Outstanding are eligible to receive Quality Step Increases (QSIs).

QSIs normally will be initiated by the employee's immediate supervisor. They will be approved by the supervisory and budget officials who review and approve the employee's performance rating at the end of the appraisal period.

A QSI may not be granted to an employee who has received a QSI within the preceding 52 weeks.

AID shall inform employees of all persons, including their grade, who were granted QSIs during the immediately preceding 12 months.

Promotions Within or Out of PMRS on Effective Date of General and Merit Increases

When an employee is promoted within or out of the PMRS on the effective date of the general pay increase and the merit increase, the employee shall receive the following, in the order specified:

- any general pay increase to which the employee otherwise would be entitled;
- for PMRS employees, any merit increase to which the employee otherwise would be entitled;
- the increase resulting from the promotion.

Employees Receiving Retained Pay

An employee receiving retained pay will receive one-half of the general pay increase, regardless of his/her summary rating level.

Chapter 6. PERFORMANCE AWARDS

General

A performance award shall be based on the employee's rating of record for the current appraisal period.

Each decision to grant a performance award must be approved by a higher level supervisor, except in cases where the employee reports directly to the Administrator, and by the pool manager. The reviewing official should be the same person responsible for making performance appraisal decisions.

Employees will receive credit for performance awards when being rated and ranked under the Agency's Merit Promotion Program.

M/PM/CSP will monitor promotions and performance awards to make certain that extended periods of superior performances are not used as justifications more than once.

Performance Pools

Performance pools report directly to the Administrator. PMRS pools must consist of five or more PMRS employees. Organizational entities that directly report to the Administrator and/or do not have five or more PMRS employees are combined into a single pool called the Administrator's Pool. Each organizational entity has a separate pool for PMS employees.

Performance Award Bonuses for PMRS Employees

PMRS employees should be recognized with monetary awards commensurate with their contributions to the organization. The minimum award is \$500; maximum is \$5,000, except for job performance judged to be unusually outstanding.

1. An employee is eligible to receive a performance award if he/she is in a PMRS position on the last day of the current performance appraisal period for which performance pay decisions are being made.

2. If a PMRS employee has been promoted within the preceding year, the pool manager may take this into account in determining the amount of the employee's performance award.

3. Notwithstanding (2) above, a performance award is mandatory for PMRS employees receiving an Outstanding record of rating. Such awards will be paid from the pool manager's fund and shall be not less than 2% nor exceed 10% of an employee's base pay in any given year. Performance awards from the pool manager's fund may not exceed \$5,000.

4. If a PMRS employee's performance is unusually outstanding, a performance award exceeding \$5,000, but not exceeding 20% of base salary in any given year may be paid from the Administrator's Pool. To be eligible, the employee must have been among those employees already recommended by the pool manager for the highest awards to be paid from the pool manager's fund. The combined amount received from both pools cannot exceed 20% of the employee's base salary. Each recommendation should be transmitted separately, in writing, to the Administrator for approval and should include justification for unusually outstanding job performance and amount already recommended from the pool manager's fund.

5. If an employee receives an Exceeds Fully Successful or Fully Successful record of rating, an award may be granted but shall not exceed the amount of the lowest award for an employee in the same grade in the same PMRS pool with a higher overall rating.

6. Performance awards for employees rated Fully Successful, Exceeds Fully Successful and Outstanding may not exceed 10% of base pay in any given year.

7. Pool managers may, at their discretion, give a performance award to any employee with a Fully Successful rating for a superior performance against a special project or job requirement. Such an award cannot exceed the lowest award given to an employee in the same grade in the applicable award pool with a higher rating. A performance award for an employee rated Fully Successful may not exceed 10% of base pay in any given year.

8. A PMRS employee newly appointed to Federal service and to the Agency within 90 days of the effective date (including the effective date) of the merit increase shall not be eligible for a performance award.

9. When an employee is on leave without pay (LWOP) for a period of time such that the employee is not in a pay status for at least the 90-day minimum appraisal period and/or the employee returns to pay status between either a period less than the 90-day minimum appraisal period and the effective date of the merit increase, or after the end of the Agency's appraisal period and the effective date of the merit increase, the employee will not be granted a performance award.

10. Unrateable employees are not eligible to receive performance awards.

11. Failure to receive a performance award may not be appealed.

Funding

For PMRS Employees

- Each performance pool will receive one fund to be used by the pool only to grant performance awards to PMRS employees.

- 2% will be set aside for the Administrator's use in granting awards to

exceptionally outstanding employees. The Agency will decide upon the percentage amount each year.

- The Agency shall, at the beginning of each fiscal year, determine the amount of money available for performance awards for that fiscal year in accordance with the requirements below:

- AID may not spend more for performance awards than 1.5% of the estimated aggregate amount of PMRS employees' basic pay for any fiscal year;

- each PMRS employee receiving an Outstanding rating of record is guaranteed a minimum bonus of 2% of base pay which is paid from pool funds.

- In determining the estimated aggregate amount of PMRS employees' basic pay for a fiscal year, consideration should be given to the following factors:

- the number of employees covered by the PMRS during the previous year;

- the aggregate rates of basic pay for such employees;

- significant changes in the number of PMRS employees expected in the current fiscal year, such as by attrition, reorganization, expansion or RIF;

- the distribution of performance ratings in AID;

- the amount of the general and merit increases that will be paid to PMRS employees in the current fiscal year.

For GS Employees

Each pool will receive one fund to grant QSIs and performance awards to GS employees. The amount to be set aside for pools will be a percentage of the aggregate GS basic pay as determined each fiscal year by the Agency.

A performance award for GS employees receiving a summary rating of Outstanding may be given at the pool manager's discretion. Such awards should be at least \$300 and no more than \$2,000. At the discretion of the pool manager, a GS employee receiving an Outstanding summary rating may be given a QSI in lieu of a performance award. QSIs represent approximately 3% of base salary.

A performance award should not exceed the lowest performance award for an outstanding employee in the same grade in the GS pool.

For Exceeds Fully Successful PMRS and PMS Employees

To the extent that individual pool funds will allow, pool managers may give performance awards to PMRS and PMS employees rated Exceeds Fully Successful.

Eligibility Criteria

1. The following PMRS employees are eligible to receive performance awards:

- employees rated Exceeds Fully Successful or Outstanding;
- employees rated Fully Successful but deserve monetary recognition for superior performance on one or more elements;
- employees at or near the rate range maximum and whose exceptional accomplishments during the annual appraisal period warrant additional compensation that cannot be awarded through a merit increase because it would put the employee outside the salary range.

2. The following PMS employees are eligible for monetary awards or QSIs:

- employees rated Outstanding may receive a monetary award or QSI;
- employees rated Exceeds Fully Successful or Fully Successful may receive a monetary award;
- employees who have performed in an exceptional manner and are at the top of their grade and cannot receive an increase to the base pay may receive a monetary award;
- employees who have received a QSI within the last 52 weeks may receive a monetary award.

Chapter 7. INCENTIVE AWARDS FOR PMRS, PMS AND SES

Incentive awards (Superior Accomplishment Award) may be granted to PMRS, PMS and SES employees. Performance Awards and Presidential Awards are not covered.

Incentive awards may be monetary or non-monetary. The value of incentive awards should be commensurate with that of the contribution being recognized.

Incentive awards shall not be used as a substitute for other personnel actions or as a substitute for pay.

SES members are eligible only for incentive awards that recognize special acts or services.

Program Effectiveness

Active and positive administration of this awards program is necessary so that the U.S. Government, the Agency and AID employees receive the most benefits. Employees with supervisory responsibility are encouraged to identify employee contributions and recommend awards. Adequate funds will be made available to grant appropriate monetary awards.

Recommendation and Approval

Awards must be justified in writing, and must be approved at a management level higher than that of the individual recommending it:

Up to \$2,000	Assistant Administrator
Up to \$5,000	Agency Awards Committee
Up to \$10,000	Administrator

Credit for Promotion

Recipients of incentive awards will earn credit for those awards when being rated and ranked under the AID Merit Promotion Program.

Awards will be used as a basis to determine the extent to which an employee meets the selective evaluation factors as established in the rating plan.

Chapter 8. UNACCEPTABLE PERFORMANCE

Applicability

This chapter applies to PMRS and PMS employees. Excluded are members of the Senior Executive Service (SES), and Schedule C and Administratively Determined (AD) employees.

General

An employee whose performance of one or more critical elements is unacceptable shall be given an opportunity period in which to improve job performance. During the opportunity period, management shall help the employee improve his/her performance. Assistance may include formal and/or on-the-job training, counseling and/or closer supervision. The employee must be advised in writing of deficiencies and the standards that must be met in a Notice of Unacceptable Performance.

Employees whose performance in one or more critical elements continues to be unacceptable after an opportunity period is provided, must be reassigned, reduced in grade or removed from the Agency.

Basis for Adverse Action

An adverse action may be taken only when an employee performs one or more critical elements at the Unacceptable level, has received an opportunity period and fails to improve his/her performance. The employee must be informed of the performance standard he/she must reach -- Fully Successful for PMRS employees and Minimally Successful for PMS employees.

If the performance of a PMRS employee is at the Minimally Successful level after having received an Unacceptable rating and after having been given an opportunity period, no adverse action is permitted; the employee shall continue to be placed under opportunity periods until he/she improves to the Fully Successful level. In addition, the employee's rating of record shall be revised to reflect the level of performance at the conclusion of the opportunity period(s).

Opportunity Period

The opportunity period is initiated when the employee is given a written Notice of Unacceptable Performance. An opportunity period should begin as soon as practical following a determination of unacceptable performance of any critical element. The opportunity period should allow the employee a reasonable amount of time in which to improve performance. The amount of time may vary from situation to situation, depending on the nature of the deficient performance.

Preparing a Notice of Unacceptable Performance

The Notice (see Exhibit B) will indicate the standards for acceptable performance that must be met, define management's role in assisting the employee, and state the consequences of continued performance at the Unacceptable level.

The Notice is to be prepared and implemented when unacceptable performance evolves into a continuing pattern and counseling, feedback and additional job instructions do not result in sufficient improvement. At this point, the servicing personnel specialist should be advised. In the case of an ongoing performance problem, managers should make such determinations and communicate their recommendations prior to the final 30 days of the rating cycle.

The first step in resolving consistently unacceptable performance is to conduct a progress review with the employee at which time the supervisor reviews the employee's unacceptable performance in terms of the elements and standards established in the performance plan. The face-to-face nature of the progress review allows for give-and-take communication between the supervisor and employee and an opportunity to resolve misunderstandings regarding expectations and standards for acceptable performance. Immediately following this a Notice of Unacceptable Performance may be prepared.

Documentation, Withdrawal of and Effects of the Notice of Unacceptable Performance

A copy of the Notice of Unacceptable Performance will be placed in the employee's Employee Performance File immediately upon issuance and will be used in making subsequent personnel decisions regarding reassignment and promotion. The Notice shall be removed when the employee's performance reaches the acceptable level. This constitutes a withdrawal of the Notice which may be made at the end of or at any time during the opportunity period. The Notice must be withdrawn when the employee is reassigned out of the same organization or from the same line of work to work requiring different skills, is promoted, or is reassigned to a new supervisor unfamiliar with the employee's performance and work of the organization.

In the case of a PMRS employee who continues to perform at the Minimally Successful level, a new Notice documenting the subsequent opportunity period shall be filed in the EPF with the previous Notice. In addition, the PMRS employee's rating of record shall reflect the level of performance at the conclusion of the opportunity period(s).

Timetable of Performance Appraisal Cycle

June 30*	End of appraisal period for PMRS and PMS employees.
July 1*	Rating and reviewing officials should begin finalizing PARs. Rating officials are responsible for obtaining performance appraisals from other supervisors for employees on detail from their positions of record during the appraisal period and who meet the requirements for interim appraisals. Information from these documents to assess the employee for summary rating purposes. Employees and rating officials should start developing performance plans for the new rating cycle.
July 31*	Performance plans for the new appraisal period should be in place.
Mid-August	Rating tendencies must have been discussed with and approved by pool managers. Ratings must be completed, reviewed and signed by rating and reviewing officials.
Third week, August	All PMRS and PMS PARs, documented and signed by the rating and reviewing officials, are due to the pool manager via EMSs. Included are the performance plan, progress review(s), summary rating and a memo from the rating and reviewing officials recommending performance awards for PMRS employees and cash awards/quality step increases for PMS employees. Pool managers must submit to M/PM/CSP a list of employees for whom PARs were not prepared and why.
Last week, August	Pool managers prepare documentation to send performance award recommendations to the Administrator for final concurrence. Pool managers should return PARs to rating officials to discuss summary ratings with employees.
Third week, September	After the Administrator's concurrence is obtained, pool managers are encouraged to institute procedures to communicate performance awards to appropriate rating and reviewing officials and employees.
Last week, September	EMSs collect PARs and forward them to M/PM/CSP.
End of October	Performance awards for PMRS and PMS employees and merit increases for PMRS employees are processed.

*Effective: fiscal 1988 rating cycle.

Notice of Unacceptable Performance

MEMORANDUM

TO: Employee

FROM: Immediate Supervisor

SUBJECT: Notice of Unacceptable Performance

1. Note previous progress review at which time the supervisor discussed with the employee the critical elements in which performance was unacceptable.
2. Document specific instances of deficient performance. Examples:
 - The following assignments were not completed within acceptable deadlines;
 - Content of work is insufficient due to factual errors, failure to adhere to appropriate guidelines, etc.
3. State standards for unacceptable performance.
4. State that, as a result of this determination, the employee shall be given "X" number of days from the date of this notice to demonstrate acceptable performance (Minimally Successful for GS, Fully Successful for PMRS).
5. State that, for the employee to improve his/her performance to the acceptable level (Minimally Successful for PMS employees, Fully Successful for PMRS employees), he/she must meet the following standards:
 - State the standard(s) to achieve Fully Successful (for PMRS employees);
 - Minimally Successful (for PMS employees).
6. Indicate assistance management will provide to help the employee meet the standards for acceptable performance. This may include, but is not limited to:
 - formal or on-the-job training;
 - counseling;
 - closer supervision and more frequent review of work; and/or
 - restructuring of work assignments.
7. Conclude by indicating the consequences of continued deficient performance:
 - For PMRS and PMS at the Unacceptable level: reassignment, reduction in grade or removal.
 - For PMRS at the Minimally Successful level: establishment of an additional opportunity period.

Remind the employee of the importance of achieving and maintaining an acceptable level of performance.

8. Provide a signature line for the employee. If an employee refuses to sign (refusal to sign does not prevent or delay the beginning of the opportunity period), the supervisor should annotate his/her copy of the Notice to indicate the date it was delivered to the employee. The Notice is delivered by the immediate supervisor who will meet with the employee to discuss the Notice and its implications.

**AGENCY FOR INTERNATIONAL DEVELOPMENT
 PERFORMANCE APPRAISAL REPORT
 FOR
 PMRS, GS, AND PREVAILING RATE
 EMPLOYEES**



This page is to be signed and dated by the employee and supervisor when the performance plan is prepared.

Rating Period		TO
FROM		

EMPLOYEE INFORMATION

Employee's Name	Position Title
GRADE: _____ <input type="checkbox"/> PMRS <input type="checkbox"/> GS OR PREVAILING RATE	Organization

RATER/REVIEWER INFORMATION

Rating Officer's Name	Position Title
Reviewing Officer's Name	Position Title

SAMPLE

Date that performance plan was provided to employee	
Rating Officer's Signature	Date
Reviewing Officer's Signature	Date
Employee's Signature	Date

Progress Review(s) were held with the employee on the following date(s)

RATING OF RECORD
(completed by Management Officer following approval by appropriate Pool Manager)

<input type="checkbox"/> OUTSTANDING	<input type="checkbox"/> FULLY SUCCESSFUL	<input type="checkbox"/> UNACCEPTABLE
<input type="checkbox"/> EXCEEDS FULLY SUCCESSFUL	<input type="checkbox"/> MINIMALLY SUCCESSFUL	

INSTRUCTIONS FOR PREPARING ELEMENTS (PERFORMANCE REQUIREMENTS)

Describe individual job responsibilities for this rating period. Consider job responsibilities in terms of both ongoing tasks (*those that remain largely unchanged from year to year*) and special projects or initiatives unique to this rating cycle. At least one of these elements must be designated "critical". Critical elements are those of such importance that **minimally successful or unacceptable** performance in one or more denotes an overall rating of **less than fully successful**.

Accomplishment of organizational objectives should, when appropriate, be included in performance plans by incorporating objectives, goals, program plans, or by other similar means that account for program results.

INSTRUCTIONS FOR PREPARING PERFORMANCE STANDARDS

State the Performance Standard for each element. Standards are meant to be the individual yardstick against which the employee's performance is measured. They should describe the **fully successful** level of performance for each individual element. Avoid standards that cannot be used to measure accomplishment. While purely qualitative standards may be unavoidable in some instances, try to include specific goals, i.e., dates for completion, target amounts, or percentages achieved.

INSTRUCTIONS FOR PREPARING PERFORMANCE APPRAISAL OF INDIVIDUAL ELEMENTS

Describe how the responsibility was met in terms of the criteria established in the standard. Avoid excessive use of superlatives. Adjectives describing the quality of performance should be followed by **specific, concrete, examples of achievement**. A narrative statement for each element is *not* required if performance in that element is indicated as **fully successful**.

(Space is provided for six individual elements. Page 2A may be reproduced if more are necessary.)

380

Employee's Name _____

Page _____ of _____

PERFORMANCE PLAN

ELEMENT: Is this a critical element of the job? YES NO

Performance Standard:

Performance Appraisal:

SAMPLE

Overall Performance Rating For This Element

OUT

EFS

FS

MS

UNACC

ELEMENT: Is this a critical element of the job? YES NO

Performance Standard:

Performance Appraisal:

Overall Performance Rating For This Element

OUT

EFS

FS

MS

UNACC

386

Employee's Name _____	Page _____ of _____
PERFORMANCE PLAN	
ELEMENT: Is this a critical element of the job? <input type="checkbox"/> YES <input type="checkbox"/> NO	
Performance Standard:	
Performance Appraisal:	
<div style="font-size: 2em; opacity: 0.5; transform: rotate(-15deg); font-weight: bold;">SAMPLE</div>	
Overall Performance Rating For This Element	
<input type="checkbox"/> OUT	<input type="checkbox"/> EFS
<input type="checkbox"/> FS	<input type="checkbox"/> MS
<input type="checkbox"/> UNACC	
ELEMENT: Is this a critical element of the job? <input type="checkbox"/> YES <input type="checkbox"/> NO	
Performance Standard:	
Performance Appraisal:	
Overall Performance Rating For This Element	
<input type="checkbox"/> OUT	<input type="checkbox"/> EFS
<input type="checkbox"/> FS	<input type="checkbox"/> MS
<input type="checkbox"/> UNACC	

350

Employee's Name _____	Page _____ of _____
PERFORMANCE PLAN	
ELEMENT: Is this a critical element of the job? <input type="checkbox"/> YES <input type="checkbox"/> NO	
Performance Standard: 	
Performance Appraisal: 	
Overall Performance Rating For This Element <input type="checkbox"/> OUT <input type="checkbox"/> EFS <input type="checkbox"/> MS <input type="checkbox"/> UNACC	
SAMPLE	
ELEMENT: Is this a critical element of the job? <input type="checkbox"/> YES <input type="checkbox"/> NO	
Performance Standard: 	
Performance Appraisal: 	
Overall Performance Rating For This Element <input type="checkbox"/> OUT <input type="checkbox"/> EFS <input type="checkbox"/> FS <input type="checkbox"/> MS <input type="checkbox"/> UNACC	

380

**MANDATORY
ELEMENTS FOR ALL SUPERVISORY
PERSONNEL**

The elements for Performance Planning and Appraisal and EEO Responsibilities are applied to all supervisory personnel. Either element may be designated as critical or noncritical.

Instructions for Performance Planning and Appraisal:

The standard for this element describes the minimum activities necessary to sustain fully successful performance in this element. Performance that exceeds the fully successful level might include:

- consideration of performance deficiencies as well as potential when considering individuals for training;
- work assignments coordinated to match abilities to tasks as well as provide on-the-job developmental opportunities.

NOTE: Supervisors rated less than **fully successful** in the performance planning and appraisal element will not receive a performance bonus.

-382

INSTRUCTIONS FOR PROGRESS REVIEWS

At least one progress review is required for all GS/GM and prevailing rate employees. A narrative appraisal of performance at the Progress Review is **OPTIONAL** if performance is **fully successful** or better. In such cases, check that box which indicates the current level of performance. Include date(s) of review(s) and signature(s) here and on page 1.

A progress review must be conducted and documented when a supervisor completes the probationary period for new supervisors.

When performance falls to **Minimally Successful** at least two reviews should be conducted and documented. Frequent informal progress reviews are also encouraged.

Areas of performance needing improvement should be discussed with the employee as early as possible in the rating period. Comments by rating official should reflect how well the employee responded to suggestions on how to improve effectiveness and should indicate where additional effort is needed. Recommendations for training to overcome weakness should be entered. In addition, guidance on the establishment of an opportunity period(s), when performance is unacceptable, should be obtained from the Civil Service Personnel Division (CSPD).

SAMPLE

INSTRUCTIONS FOR PREPARING SUMMARY RATING

Deriving Summary Ratings

In deriving the summary rating, the supervisor should review the appraisal of each performance element giving predominant weight to the critical elements, and assign the summary rating which most accurately reflects the employee's overall performance. The summary rating must be consistent with and supported by the critical element ratings. A narrative statement made by the rating officer on the following page is mandatory regardless of summary rating level.

—*Outstanding*—the summary rating of outstanding should be used very rarely and must be supported by outstanding ratings for all critical elements. The majority of the noncritical elements should be at least exceeds fully successful with none less than fully successful. A summary rating of outstanding requires the personal certification of the pool manager attesting to the organizational achievements for each critical element rated.

—*Exceeds Fully Successful*—the summary rating of exceeds fully successful is supported when the majority of the critical elements are rated exceeds fully successful or higher. None can be rated lower than fully successful. In a case where critical elements are evenly divided between fully successful and exceeds fully successful or higher, the summary rating of fully successful shall be awarded. The majority of non-critical elements should be at the fully successful level.

—*Fully Successful*—the summary rating of fully successful is when the majority of critical elements are rated fully successful or higher. None of the critical elements may be rated less than fully successful. The majority of the non-critical elements should be rated fully successful or higher, but none less than minimally successful.

—*Minimally Successful*—the summary rating of minimally successful is assigned when one or more critical elements are rated minimally successful with none rated lower. Noncritical elements may be a mix of element ratings.

—*Unacceptable*—if performance on any critical element is unacceptable, the summary rating must be unacceptable. Non-critical elements may be a mix of element ratings.

Interim Rating Requirements

—An interim performance appraisal report is required when:

- the employee is reassigned, promoted, or transferred to another assignment after 90 days have elapsed; OR a decision is made to withhold a within grade increase.

In these cases the supervisor will:

- Have a review with the employee and discuss performance to that point;
- Prepare a summary rating as outlined above.
- Forward the performance package (*plan, review and rating*) to the executive management staff to transmit to the gaining supervisor or to the gaining EMS officer for appropriate action. Interim appraisals must be considered in preparing the employee's next rating of record.

A summary rating is *encouraged* when the rating officer leaves during the rating cycle or when major changes in duties and performance requirements necessitates a new plan. It is important that every assignment and period of service be documented to show duration and quality of service and that there is documentation available that can be considered by the officer who prepares the rating of record.

30/1

Employee's Name	Page _____ of _____
SUMMARY RATING	
Rating Officer's narrative statement highlighting the employee's overall performance during the appraisal cycle.	
This is a <input type="checkbox"/> Summary <input type="checkbox"/> Interim Rating <input type="checkbox"/> OUTSTANDING <input type="checkbox"/> EXCEEDS FULLY SUCCESSFUL <input type="checkbox"/> FULLY SUCCESSFUL <input type="checkbox"/> MINIMALLY SUCCESSFUL <input type="checkbox"/> UNACCEPTABLE	
Rating Officer's Signature	Date
Reviewing Officer's Comments	
Reviewing Officer's Signature	Date
Employee's Comments <i>(optional)</i>	
Employee's Signature	Date

SAMPLE

380

PRIVACY ACT STATEMENT

The following statement is required to be attached to the subject form by the Privacy Act of 1974 (Public Law 93-579; 88 Statute 1896).

This form is used to evaluate the performance of members of GS, GM and Prevailing Rate employees. The Civil Service Reform Act of 1978 (Public Law 95-454) constitutes authority for collecting this information.

Disclosure of information provided will not be made outside the Agency without written consent of the employee concerned except (a) pursuant to any applicable routine use listed under AID's Civil Service Employee Office of Personnel Record System (AID 2) in AID's Notice of System of Records for implementing the Privacy Act as published in the Federal Register, or (b) when disclosure without the employee's consent is authorized by the Privacy Act and provided for in AID Regulation 15. *(A copy of the Regulation and Notice of Systems of Records is available from AID Distribution on request.)*

Part II. SENIOR EXECUTIVE SERVICE PERFORMANCE MANAGEMENT SYSTEM (SESPMS)

Chapter 1. OVERVIEW

Purpose

Senior AID management's principle program and organizational and managerial objectives are defined through the use of performance plans. SES performance plans are expected to provide each executive with a clear understanding of special initiatives for the current appraisal period as well as management's expectations regarding the execution of continuing responsibilities.

Through resources managed by the executive, goals are translated into organizational objectives and integrated into the performance plans of subordinate staff. Evaluation of performance is based on the accomplishment of program and administrative goals, and serves as an assessment of the Agency's progress in accomplishing major program initiatives as well as an indicator of overall cost effectiveness, efficient utilization of resources, and effective integration of the functions of each major Agency component.

The Agency's Performance Review Board is responsible for making certain that a strong positive correlation exists between the SES members' achievement of results and the awarding of performance bonuses, changes in individual SES pay levels and nominations for Presidential rank awards.

Definitions

Appraisal. The act or process of reviewing and evaluating the performance of an executive against the described performance standards.

Appraisal Period. The period of time established by an appraisal system for which an executive's performance will be reviewed. For most AID executives, the appraisal period will be for one year, October 1-September 30. An appraisal period may be as short as 90 days.

Appraisal System. A system that provides for the establishment of performance standards, identification of critical and noncritical elements, communication of standards and elements to executives, establishment of methods and procedures to appraise performance against established standards, and appropriate use of appraisal information in making personnel decisions.

Critical Element. A component of a position consisting of one or more duties and responsibilities that contributes toward accomplishing organizational goals and objectives and that is of such importance that unacceptable performance on the element would result in unacceptable performance in the position. The lowest rated critical element of an executive's performance appraisal indicates the overall final rating.

Final Rating. The rating of record assigned to an executive after the recommendations of the Performance Review Board have been considered.

Initial Rating. The summary rating made by an executive's supervisor and provided to the Performance Review Board.

Noncritical Element. A component of a position that is of such significance that it should be included in a performance plan but is not so significant as to be designated a critical element.

Performance. An executive's accomplishment of assigned work in the critical and noncritical elements of the executive's position.

Performance Appraisal Report (PAR). The completed AID form (410-10 (9-86)) used to document the performance plan, progress review(s), modifications (if any), interim ratings and the rating of record.

Performance Award (Bonus). A cash payment to an executive based on the executive's rating of record and degree of accomplishment relative to that of other career members of AID's SES. On an annual basis, career executives rated Outstanding or Exceeds Fully Successful shall be eligible to receive a bonus of 5-20% of their annual salary. However, total compensation shall not exceed the scheduled annual salary for EX-OI. Executives receiving Presidential rank awards shall not receive a bonus in the same calendar year.

Performance Award Budget for SES. A pool of funds from which SES performance bonuses may be awarded. The pool shall be comprised of 3% of the aggregate annual payroll for AID's career SES population, as computed on the last day of the current fiscal year.

Performance Plan. The aggregation of an executive's written critical and noncritical elements and performance standards (Part I, AID form 410-10(9-86)).

Performance Review Board. The Board that reviews individual executive's job performance and makes recommendations regarding performance-related decisions.

Performance Standard. A statement of the expectations or requirements established by senior management for critical and noncritical elements at the rating level of Fully Successful. Wherever possible, a performance standard should be derived from quantifiable measures of job performance based on such factors as quality, quantity, timeliness and cost reduction.

Progress Review. A review of the executive's progress in achieving the performance standards. The review, in itself, is not a rating.

Rating. The level of performance the employee has attained for each critical and noncritical element. The five rating levels are Outstanding, Exceeds Fully Successful, Marginally Successful and Unsuccessful.

Rating of Record. The overall rating derived from the rating of performance elements. The five ratings of record are Outstanding, Exceeds Fully Successful, Fully Successful, Marginally Successful and Unsuccessful.

Special Act or Service. A nonrecurring contribution or accomplishment in the public interest that is within or outside of job responsibilities, a suggestion, a scientific achievement or an act of heroism.

Training

M/PM is responsible to make certain that executives and supervisors of executives understand AID's performance appraisal systems and are competent at using the Agency's performance planning documents to develop and articulate organizational goals into meaningful performance requirements and standards to evaluate achievement. M/PM will provide new executives with formal training and written guidance on the proper completion and usage of performance-related documents. Performance Review Board members may, on an ad hoc basis, meet with individual executives to help revise SES performance plans or individual elements and standards the Board has deemed inadequate, vague or defining responsibilities beyond the executive's control.

Executives will prepare an Individual Development Plan (IDP) on which formal training and developmental activities and strategies are outlined. The PRB may make suggestions to the executive or his/her supervisor on items to include in the IDP.

Performance Records

Completed PARs reviewed by the PRB and the summary rating approved by the Administrator shall be filed in a separate Employee Performance Folder (EPF) maintained for each executive for a minimum of five years. Upon transfer of the executive to another Federal agency, the documents shall be included with the Official Personnel Folder transmitted to the gaining agency; all appropriate performance related documents five years old or less shall be forwarded to the gaining agency. Justifications and documentation of awards other than those based on the PAR shall be retained in the EPF.

The executive shall review his/her appraisal and have an opportunity to comment on its content or on any aspect of his/her performance prior to transmittal to the reviewing official. The executive's comments, if any, shall be made available to the PRB. The executive shall be provided with a copy of his/her appraisal, including comments, if any, made by the reviewing official at the time the reviewing official completes his/her review of the appraisal, coincidental with its transmittal to the PRB.

Managers must provide each executive a copy of the following documents at the time they are prepared: the initial rating, with notification of the right to respond in writing and to request a higher level review before the rating becomes final; comments and recommended changes by a higher level executive, and the final rating. All performance-related records must be maintained for five years from the date the rating is issued.

System Evaluation

The PRB will evaluate all aspects of the SES performance appraisal system. The PRB will evaluate the system on an annual basis and report its findings and recommendations to the Agency's Executive Resources Board (ERB). This usually will be done upon completion of the PRB's annual deliberations regarding review of final ratings and recommendations for bonuses, pay level adjustments and Presidential rank award nominations.

Chapter 2. PERFORMANCE APPRAISAL

Applicability

This section applies to all AID SES members serving under Career, Noncareer, Limited Term and Limited Emergency appointments.

Performance plans, progress reviews and subsequent appraisals will be prepared or conducted for all AID SES members with the exception of those on detail away from the Agency or on long-term training.

Policies

1. Performance elements and standards are to be communicated to the executive at or before the beginning of the appraisal period. SES performance plans will be prepared in writing and provided to the executive at the beginning of the appraisal period or within 30 days of the beginning of the appraisal period. Additionally, within 30 days of entry into the SES or upon permanent reassignment, the executive will receive a written performance plan. Performance plans will be documented on the approved Performance Appraisal Report, AID form 410-10 (9-86).

2. Each performance plan must include at least two critical elements.

3. The appraisal period shall begin on October 1 and end on September 30. When an executive has not served the minimum 90 days as of the end of the rating period, the executive's appraisal period shall be extended for the time necessary to meet the 90-day requirement. The Administrator may terminate the appraisal period for an SES member at any time after a minimum of 90 days if it is believed there is adequate basis on which to appraise and rate the executive's performance. For a career SES member, no appraisal shall be made within 120 days of the beginning of a new Presidential administration.

4. Performance plans will be established in consultation with the executive and transmitted to the Executive Secretary, Performance Review Board. The supervising official has the final authority to establish performance plans.

5. Performance elements and standards will be based on the requirements of the executive's position and must include organizational objectives.

6. Performance standards will define the level of accomplishment necessary to sustain a rating of Fully Successful for each element.

7. All SES performance plans will contain mandatory elements (performance management, EEO, cost control and audit resolution) and standards that have been preprinted on AID Form 410-10 (9-86). The elements are intended to be noncritical. However, in individual cases, rating officials may develop unique elements and standards covering any of the above responsibilities and designate them as critical or noncritical.

8. Ratings will be based on a comparison of performance against written standards.

9. The SES performance appraisal system uses employs five rating levels: Outstanding; Exceeds Fully Successful; Fully Successful; Minimally Satisfactory, and Unsatisfactory

10. Executives shall be given an opportunity to improve Minimally Satisfactory or Unsatisfactory performance through formal or on-the-job training, counseling or closer supervision.

11. There will be no predetermined distribution of ratings by level of performance.

12. A written rating of record of the rated executive's performance shall be reviewed for approval by the Administrator or the Deputy Administrator on an annual basis after considering PRB recommendations.

Chapter 3. PROGRESS REVIEWS AND RATINGS OF RECORD

Progress Reviews

Progress reviews shall be conducted for each executive at least once during the appraisal period. The review will compare the executive's job performance against established performance elements and standards. Formal ratings will not be given as a result of the review. Although documentation of progress reviews is not required, reviews citing Minimally Satisfactory or Unsatisfactory performance should be documented by the rating official and a copy provided to the executive and the PRB Executive Secretary.

Ratings of Record

A rating of record must be prepared when an executive changes from a position that he/she held for 120 days or more. A summary rating prepared when an executive changes positions during an appraisal period is not considered an initial rating, but shall be considered in arriving at the summary rating for the rating period in which performance occurred.

Each performance element must be defined. The only exception is for instances in which the executive did not have sufficient opportunity to demonstrate performance in the element in question. Often, this will be the case regarding the mandatory element for audit resolution.

Appraisal of job performance of executives on details or long-term training:

- When an executive is detailed within the Agency for a period expected to last 120 days or longer, a performance plan shall be prepared covering the performance requirements of the new position within 30 days of the effective date of the detail. A summary rating shall be prepared at the conclusion of the detail and shall be used in arriving at the rating of record for the appraisal period in which job performance occurred.

- When an executive is detailed away from the Agency, a reasonable effort will be made to obtain appraisal information from the outside organization; the information shall be considered in deriving the rating of record for the appraisal period in which job performance occurred.

- A long-term training assignment shall be treated the same as a detail away from the Agency.

Levels

The Senior Executive Service Performance Appraisal System uses a five-level system to rate executives:

Outstanding. Performance that is substantially higher than the standard for Fully Successful and represents a level of performance not all employees could be expected to achieve. A rating of Outstanding is meant to connote an extraordinary level of achievement and commitment in terms of time, technical knowledge and skill, ingenuity, creativity and initiative in the attainment of organizational objectives.

Exceeds Fully Successful. Performance that consistently and significantly exceeds the level of accomplishment that would otherwise be required to meet the standard for Fully Successful.

Fully Successful. Performance that fully and consistently meets the requirements and expectations of the job laid out for the Fully Successful standard.

Minimally Satisfactory. Performance that does not fully meet the performance standard set for Fully Successful. This may be evidenced by the need for greater supervisory review, or discussion and correction than is necessary at the Fully Successful level. When performance falls below Fully Successful, remedial action should be taken.

Unsatisfactory. Performance that clearly fails to meet a performance standard set at the Fully Successful level. When performance is Unsatisfactory on a critical element, corrective action must be taken.

Deriving Ratings of Record

Ratings of record must be based on how the executive performed on identified critical and noncritical performance elements. The executive's overall summary rating shall be derived as follows:

- Outstanding. All critical elements and the majority of noncritical elements shall be rated Outstanding;

- Exceeds Fully Successful, Fully Successful or Minimally Satisfactory. The majority of critical and noncritical elements should have the same individual rating as that of the summary rating. No critical element shall be rated less than one level below that of the summary rating.

- Unsatisfactory. When any one critical element is rated Unsatisfactory, the rating of record shall be Unsatisfactory.

Basis for Adverse Action

The following actions shall be taken for performance rated as less than Fully Successful:

<u>Rating of Record</u>	<u>Action</u>
One Unsatisfactory rating	Removal from position or SES
Two Unsatisfactory ratings within five consecutive rating years	Removal from SES
Two ratings below Fully Successful within three consecutive rating years	Removal from SES

Provisions of the Appraisal System

The appraisal system provides for:

- written initial rating of the executive's performance made by the executive's rating official, and provided to the rated executive;
- an opportunity for the rated executive to respond in writing to the initial rating;
- an opportunity for a reviewing official to review an executive's rating, unless there is no one at a higher level, before PRB review;
- provision for PRB review of the reviewing officer's comments;

Performance Review Board

The PRB makes recommendations on executives' job performance.

Responsibilities

- Review and approve individual performance plans at the beginning of each appraisal period.
- Review standards and ratings of record for difficulty and strictness of application to ensure that only those executives whose job performance exceeds normal expectations are rated at levels above Fully Successful.
- Make recommendations regarding the approval of the rating of record for each executive,
- Make recommendations regarding the allocation of the performance award budget for the SES including the amounts of individual performance bonuses.
- Make recommendations regarding the adjustment of an executive's individual SES pay level.

- Make recommendations regarding nominations of executives for Presidential rank awards.
- Transmit copies of reviewing official's comments to rated executive and rating official.

Precepts

A comprehensive statement of the PRB's responsibilities and operations is contained in the PRB Operating Guidelines. The following precepts govern PRB appointment and operation:

1. the PRB will consist of at least three members appointed by the Administrator or the Deputy Administrator;
2. notice of appointment of an individual to the PRB will be published in the Federal Register;
3. PRB members will be appointed in such a manner as to assure consistency, stability and objectivity in performance appraisal;
4. when appraising a career executive, the majority of the PRB shall consist of career appointees;
5. the PRB will review and evaluate the initial rating, the rated executive's written response and the written comments of a higher level executive, if any, and will conduct such further review as the PRB finds necessary;
6. individual PRB members shall not take part in PRB deliberations involving their appraisals, or those of their immediate supervisor or executives under their immediate supervision;
7. the PRB shall make written recommendations concerning each executive's rating of record;
8. the PRB shall review and approve recommendations for incentive awards for SES members based on a special act or service, i.e. an invention, suggestion, act of heroism, or other one-time accomplishment that may or may not be a part of the executive's job responsibilities. In addition to determining that the act cited for an incentive award is one for which an executive may be recognized, the PRB shall adhere to all applicable guidelines of the Agency's Incentive Awards Program (Chapter 7, Part A).

**AGENCY FOR INTERNATIONAL DEVELOPMENT
PERFORMANCE APPRAISAL REPORT
FOR THE
SENIOR EXECUTIVE SERVICE**



This page is to be signed and dated by the executive and supervisor when the performance plan is prepared.

Rating Period	
FROM	TO

Executive's Name	Position Title
Organization	ES-Pay Level
Rating Official's Name	Position Title

Organizational Description: Briefly describe the executive's role in the organization. *(Include the number of people and organizational elements supervised, as well as a description of resources managed.)* Describe the executive's position in terms of policy making responsibilities, program and management support activities, development project portfolio *(if applicable)*, and organizational responsibilities. **DO NOT** attach position descriptions or functional statements. **DO NOT** exceed the space provided below.

SAMPLE

Executive's Signature	Date Written Elements and Standards Provided
Rating Official's Signature	Date
	Date PRB Approved

49

INSTRUCTIONS FOR PREPARING PERFORMANCE REQUIREMENTS

Consider job responsibilities in terms of both ongoing tasks (*those that remain largely unchanged from year to year*) and special projects or initiatives unique to this rating cycle. The executive's performance plan shall consist of no fewer than 5 nor more than 8 such elements. At least two of these elements must be designated "critical". Critical elements are those of such importance that unsatisfactory performance in one or more denotes an overall rating of unsatisfactory. The limitation on the number of elements does not include the 4 mandatory performance requirements found at the end of the Performance Plan section of this form.



INSTRUCTIONS FOR PREPARING PERFORMANCE STANDARDS

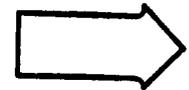
Standards are meant to be the individual yardstick against which the executive's performance is measured. They should describe the **fully successful** level of performance for each individual Performance Requirement. Avoid standards that cannot be used to measure accomplishment. While purely qualitative standards may be unavoidable in some instances, try to include specific goals, i.e., dates for completion, target amounts, or percentages achieved.

SAMPLE



INSTRUCTION FOR PREPARING PERFORMANCE APPRAISAL OF INDIVIDUAL ELEMENTS

Avoid excessive use of superlatives. Adjectives describing the quality of performance should be followed by specific, concrete, examples of achievement.



N O T E: ALL ENTRIES ON THIS FORM MUST BE CONFINED TO THE SPACE ALLOTTED

Executive's Name

Page _____ of _____

PERFORMANCE PLAN

Performance Requirement: Describe *one* responsibility for this rating period.

The above element is a continuing responsibility special initiative

Is this a critical element of the job? YES NO

Performance Standard: State the performance standard for carrying out this responsibility in a fully successful manner.

Performance Appraisal: Describe how the responsibility was met in terms of the criteria established in the standard. Cite specific examples of substantive accomplishments.

SAMPLE

Overall Performance Rating for This Element

OUTSTANDING

EXCEEDS FULLY SUCCESSFUL

FULLY SUCCESSFUL

MINIMALLY SATISFACTORY

UNSATISFACTORY

51'

Executive's Name _____

Page _____ of _____

PERFORMANCE PLAN

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SAMPLE

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Overall Performance Rating for This Element

- | | | |
|---|---|---|
| <input type="checkbox"/> OUTSTANDING | <input type="checkbox"/> EXCEEDS FULLY SUCCESSFUL | <input type="checkbox"/> FULLY SUCCESSFUL |
| <input type="checkbox"/> MINIMALLY SATISFACTORY | <input type="checkbox"/> UNSATISFACTORY | |

57

Executive's Name _____

Page _____ of _____

PERFORMANCE PLAN

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OUTSTANDING

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FULLY SUCCESSFUL

MINIMALLY SATISFACTORY

UNSATISFACTORY

57

Executive's Name _____

Page _____ of _____

PERFORMANCE PLAN

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FULLY SUCCESSFUL

MINIMALLY SATISFACTORY

UNSATISFACTORY

57

Executive's Name

Page _____ of _____

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OUTSTANDING

EXCEEDS FULLY SUCCESSFUL

FULLY SUCCESSFUL

MINIMALLY SATISFACTORY

UNSATISFACTORY

11/84

Executive's Name _____

Page _____ of _____

PERFORMANCE PLAN

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SAMPLE

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Overall Performance Rating for This Element

OUTSTANDING

EXCEEDS FULLY SUCCESSFUL

FULLY SUCCESSFUL

MINIMALLY SATISFACTORY

UNSATISFACTORY

- 51

Executive's Name _____

Page _____ of _____

PERFORMANCE PLAN

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Overall Performance Rating for This Element

OUTSTANDING

EXCEEDS FULLY SUCCESSFUL

FULLY SUCCESSFUL

MINIMALLY SATISFACTORY

UNSATISFACTORY

INSTRUCTIONS FOR MANDATORY PERFORMANCE REQUIREMENTS



The four mandatory performance requirements and the standards against which performance is to be measured have been defined for all executives. When utilized in this format it is intended that they be non-critical. However, if required by individual situations, the executive and supervisor may develop one or more of these elements into a unique performance requirement and standard utilizing one of the previous pages. In such case the element could be designated critical or non-critical, continuing responsibility or special initiative. These mandatory elements are not counted in the limitation of 5 to 8 elements required in the previous portion of the Performance Plan. No rating shall be made for Audit Resolution if the executive had no responsibility for resolving audit findings during the rating period.

SAMPLE

NOTE: ALL ENTRIES ON THIS FORM MUST BE CONFINED TO THE SPACE ALLOTTED

Executive's Name _____

Page _____ of _____

PERFORMANCE PLAN

MANDATORY PERFORMANCE REQUIREMENTS

For the 4 performance requirements listed below, "X" the box corresponding to the overall level of performance in each area. Space is also provided for optional narrative assessment.

OUTSTANDING	EXCEEDS FULLY SUCCESSFUL	FULLY SUCCESSFUL	MINIMALLY SATISFACTORY	UNSATISFACTORY
-------------	--------------------------	------------------	------------------------	----------------

A. PERFORMANCE MANAGEMENT

- Performance Appraisal Reports (PARS) and Employee Evaluation Reports (EERS) were executed at the planning and appraisal stages in a timely manner.
- Performance objectives were discussed with employees, their input solicited and utilized in Performance Plan preparation.
- Progress reviews were conducted for all employees.
- Throughout the rating period, assignments were made to subordinate staff in a fashion that matched abilities to tasks and provided on-the-job developmental opportunities.

<input type="checkbox"/>				
--------------------------	--------------------------	--------------------------	--------------------------	--------------------------

Optional Narrative Appraisal (must be completed if performance in this element is less than fully successful).

B. EQUAL EMPLOYMENT OPPORTUNITY

- The Executive took an active role in developing the affirmative action plan for the organization under his/her supervision.
- The Executive took positive steps to achieve the goals set forth in the affirmative action plan for his/her organization.

<input type="checkbox"/>				
--------------------------	--------------------------	--------------------------	--------------------------	--------------------------

Optional Narrative Appraisal (must be completed if performance in this element is less than fully successful).

SAMPLE

C. COST CONTROL

- Areas of possible cost reduction were identified and alternate proposals developed and investigated.
- Positive steps were taken to reduce operating, administrative, or program expenditures.

<input type="checkbox"/>				
--------------------------	--------------------------	--------------------------	--------------------------	--------------------------

Optional Narrative Appraisal (must be completed if performance in this element is less than fully successful).

D. AUDIT RESOLUTION (if applicable)

- Resolution of audit findings was completed in a timely fashion.
- Resolution of audit findings was supportive of program requirements.

<input type="checkbox"/>				
--------------------------	--------------------------	--------------------------	--------------------------	--------------------------

Optional Narrative Appraisal (must be completed if performance in this element is less than fully successful).

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10

INSTRUCTIONS FOR OVERALL APPRAISAL



Cite specific examples of achievement during the past rating period. Include mention of any ad hoc assignments that developed during the rating period that were not anticipated or covered by the elements in the Performance Plan.

NOTE: ALL ENTRIES ON THIS FORM MUST BE CONFINED TO THE SPACE ALLOTTED

SAMPLE

INSTRUCTIONS FOR SUMMARY RATING

The summary rating is derived from the ratings of the individual elements according to the following criteria:

- For a summary rating of **outstanding**, all critical elements shall be rated outstanding and the majority of non-critical elements also rated outstanding;
- For a summary rating of **exceeds fully successful, fully successful, or minimally satisfactory**, the majority of critical and non-critical elements should have the same individual rating as that of the summary rating. No critical element shall be rated less than one level below that of the summary rating;
- When any one critical element is rated **unsatisfactory**, the summary rating shall be **unsatisfactory**.



61

Executive's Name

Page _____ of _____

PERFORMANCE APPRAISAL

Overall Appraisal: The rating officer will provide a narrative statement highlighting the executive's accomplishments during the appraisal cycle.

SAMPLE

Progress Review(s) Were Conducted on the Following Dates. They were were not documented.

Summary Rating

- | | | |
|---|---|---|
| <input type="checkbox"/> OUTSTANDING | <input type="checkbox"/> EXCEEDS FULLY SUCCESSFUL | <input type="checkbox"/> FULLY SUCCESSFUL |
| <input type="checkbox"/> MINIMALLY SATISFACTORY | <input type="checkbox"/> UNSATISFACTORY | |

Rating Officer's Signature

Date

NOTE: ALL ENTRIES ON THIS FORM MUST BE CONFINED TO THE SPACE ALLOTTED

SAMPLE

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Executive's Name

Page _____ of _____

PERFORMANCE APPRAISAL

Areas In Which the Executive Might Improve *(To be completed by the rating officer)* **NOTE:** This section must be completed regardless of the executive's summary rating.

(OPTIONAL) Executive's Comments *(To be completed by the Executive being rated)*

SAMPLE

Executive's Signature

Date

12/1

INSTRUCTIONS FOR REVIEWING OFFICER'S STATEMENT



In those instances in which the executive's reviewing officer is a bureau head or the Deputy Administrator, completion of this section is mandatory. If the reviewing officer is the Administrator, completion of this section is optional at the request of the executive. In such cases, if the executive does not request a review by the Administrator, the section below regarding bonus, rank award and pay level adjustment shall be completed by the executive's supervisor (*rating officer*).

In all cases, the Executive's Performance Appraisal Report shall be reviewed by the Performance Review Board before finalization of the summary rating.

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NOTE: ALL ENTRIES ON THIS FORM MUST BE CONFINED TO THE SPACE ALLOTTED

[Handwritten mark]

Executive's Name _____

Page _____ of _____

PERFORMANCE APPRAISAL

Recommendations of Bureau Head or Deputy Administrator: Provide a narrative statement highlighting the executive's accomplishments during the appraisal cycle.

SAMPLE

Indicate recommendations regarding performance bonus, rank award nomination, or pay level adjustment.

Performance Bonus

YES

NO

AMOUNT (5% to 20% of salary)

Rank Award Nomination

YES

NO

MERITORIOUS

DISTINGUISHED

Pay Level Adjustment

YES

NO

RECOMMENDED SES LEVEL

Bureau Head or Deputy Administrator's Signature _____

Date _____

PRIVACY ACT STATEMENT

The following statement is required to be attached to the subject form by the Privacy Act of 1974 (Public Law 93-579; 88 Statute 1896).

This form is used to evaluate the performance of members of the Senior Executive Service. The Civil Service Reform Act of 1978 (Public Law 95-454) constitutes authority for collecting this information.

Disclosure of information provided will not be made outside the Agency without written consent of the employee concerned except (a) pursuant to any applicable routine use listed under AID's Civil Service Employee Office of Personnel Record System (AID 2) in AID's Notice of System of Records for implementing the Privacy Act as published in the Federal Register, or (b) when disclosure without the employee's consent is authorized by the Privacy Act and provided for in AID Regulation 15. (*A copy of the Regulation and Notice of Systems of Records is available from AID Distribution on request.*)

SAMPLE