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# EMPLOYEE EVALUATION PROGRAM GUIDEBOOK

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# I. Introduction

The ability of the U.S. Agency for International Development to achieve its mission depends upon its employees. The skills and abilities they use in carrying out their responsibilities determine how successful the Agency as a whole will be. The Employee Evaluation Program is a means of formally recognizing, evaluating, and providing feedback on each employee's performance and contributions as a member of a team. The performance appraisal document itself is both an important means of communication between management and staff and vital tool for career development. In this process, employees will have a continuing opportunity to inform managers about how they feel about the work and to identify their professional goals and interests. The managers in turn convey their commitment to each employee's career success by communicating information concerning:

- ✓ The employee's performance
- ✓ USAID management expectations
- ✓ Actions needed to advance the employee's career in USAID.

The formal performance appraisal is meant to summarize, not supplant, the continuous evaluation and feedback that occurs between the employee and manager.

This Employee Evaluation Program Guidebook has been prepared to help employees and managers, both Civil Service (CS) and Foreign Service (FS), implement the Employee Evaluation Program. The Guidebook is intended to provide USAID employees with an overview of the Employee Evaluation Program and procedures for carrying out the program. The Guidebook also provides detailed instructions on how to complete the various forms involved in the evaluation process. This Guidebook is intended to serve as a resource to both supervisors and employees, as such it complements the Policy and Essential Procedures.

## II. Overview of Process

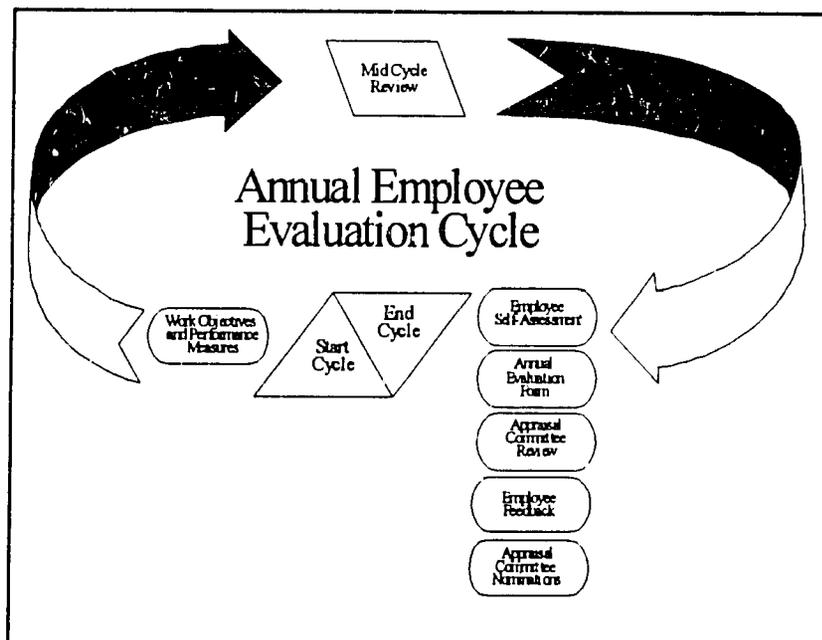
The USAID Employee Evaluation Program is used to:

- ✓ Assess and document the performance of employees against established work objectives and performance measures
- ✓ Provide feedback to employees to motivate them to work more effectively and to improve their skills and understanding
- ✓ Foster teamwork
- ✓ Empower managers and employees
- ✓ Identify employees' career development needs
- ✓ Prepare employees for increased responsibilities
- ✓ Approve or deny within class/grade increases and award performance pay
- ✓ Provide a standard personnel evaluation system for Civil Service and Foreign Service employees
- ✓ Identify employees for promotion
- ✓ Identify those whose relative performance causes them to be less competitive
- ✓ Select members for career tenure (FS)
- ✓ Determine Limited Career Extensions (LCEs) (FS)
- ✓ Identify employees for retention in position (CS)

The Employee Evaluation Program promotes a better linkage between the Agency's strategic objectives and employee performance, and should also enhance accountability for results by giving additional responsibility to the work unit managers.

### Employee Evaluation Process

The Employee Evaluation Program has a number of steps, starting with the development of individual objectives and concluding with the development and review of the actual evaluation for each employee.



## Roles and Responsibilities

In order for the Employee Evaluation Program to be successful, a number of different parties must participate and share responsibilities on an annual basis. These parties include: the employee being rated, work unit managers, peers and subordinates (if applicable) of the employee being rated, Selection, Performance Standards, and Tenure Board members, and HR staff. The following table provides an overview of the role and responsibilities of each of these parties.

Participant	Responsibility
Principal AID Managers (Mission/Office Directors)	<ul style="list-style-type: none"> <li>✓ Communicate information on the evaluation process</li> <li>✓ Establish internal deadlines for each operational unit</li> <li>✓ Establish procedures and Appraisal Committee(s) for each operational unit</li> <li>✓ Verify completion of evaluations</li> <li>✓ Submit information and completed forms to HR</li> </ul>
Employee	<ul style="list-style-type: none"> <li>✓ Develop work objectives and performance measures with rating official</li> <li>✓ Track progress against work objectives and performance measures</li> <li>✓ Participate in mid-cycle review</li> <li>✓ Provide input into appraisal (Self-Appraisal) and identify 360° feedback sources</li> <li>✓ Receive feedback on performance</li> <li>✓ Prepare Employee Statement (optional)</li> <li>✓ Complete Career Development Worksheet with rating official</li> </ul>
Rating Official	<ul style="list-style-type: none"> <li>✓ Develop work objectives and performance measures with each subordinate</li> <li>✓ Observe and evaluate employee performance on a year round basis</li> <li>✓ Conduct mid-cycle review</li> <li>✓ Provide ongoing feedback in the normal course of managerial responsibilities</li> <li>✓ Gather performance information from the employee's self-appraisal and 360° feedback sources (including technical office input as appropriate)</li> <li>✓ Draft evaluation form(s) and present to Appraisal Committee</li> <li>✓ Finalize evaluation form(s) by obtaining Appraisal Committee input and signed approval</li> <li>✓ Discuss finalized appraisal results with employee</li> <li>✓ Complete Career Development Worksheet with employee</li> <li>✓ Draft Supplementary Evaluation Form and additional documentation as required</li> </ul>
Appraisal Committee	<ul style="list-style-type: none"> <li>✓ Review and approve work objectives and performance measures at the start of the evaluation cycle</li> <li>✓ Review, discuss, and recommend changes to the content of the evaluation forms as appropriate</li> <li>✓ Identify and nominate candidates for promotion (O1s and below) (FS)</li> <li>✓ Recommend employees for referral to PSB (O1s and below) (FS)</li> <li>✓ Initiate, review, and finalize Supplementary Evaluation Form and any additional documentation required.</li> <li>✓ Recommend MSIs and other performance awards</li> </ul>
Selection Boards (FS)	<ul style="list-style-type: none"> <li>✓ Review all files and formulate the standards of the class</li> <li>✓ Review promotion nomination information</li> <li>✓ Rank order candidates for promotion, including those nominated by Appraisal Committees and those independently nominated by the Selection Board</li> <li>✓ Review all Supplementary Evaluation Forms for SFS and rank order</li> <li>✓ Prepare report cards</li> </ul>
Tenure Boards (FS)	<ul style="list-style-type: none"> <li>✓ Review candidates for tenure</li> <li>✓ Recommend and document action for each candidate</li> </ul>
Performance Standards Boards (FS)	<ul style="list-style-type: none"> <li>✓ Review PSB referral documentation</li> <li>✓ Recommend action for each referral</li> <li>✓ Prepare memorandum documenting the decision</li> </ul>
HR	<ul style="list-style-type: none"> <li>✓ Oversee Employee Evaluation Program and ensure that policies/guidance are adhered to throughout the process</li> <li>✓ Formulate policies, guidance, and training for program</li> <li>✓ Issue promotion profile and nomination guidance (FS)</li> <li>✓ Identify Board membership and provide support to Boards (FS)</li> </ul>

## Documentation

There are several key pieces of documentation that support the Employee Evaluation Program. Information on each of these forms is provided below.

Employee Evaluation Documentation				
Document	Purpose	Applicable Employees	Timing	Completed By:
Annual Evaluation Form	<p>To document work objectives and performance measures, completion of the mid-cycle review, and the annual performance evaluation</p> <p>To provide feedback and career guidance to employees</p>	<p>All Foreign Service and Civil Service Employees</p> <p>(including Schedule C, and AD, but excluding SES and political appointees)</p>	<p>Completed annually at:</p> <p>Start of evaluation cycle</p> <ul style="list-style-type: none"> <li>✓ establish work objectives</li> <li>performance measures</li> </ul> <p>Mid-cycle Progress Review</p> <p>End of cycle</p> <ul style="list-style-type: none"> <li>✓ Evaluation of performance</li> <li>✓ Career Development Worksheet</li> </ul>	<p>Employee and rating official (work objectives, performance measures)</p> <p>Other sections of the AEF are drafted by rating official</p> <p>Entire reviewed and approved by Appraisal Committee at all stages</p>
Career Development Worksheet	To identify employee career goals and discuss progress made during current rating cycle.	(including Schedule C, and AD, but excluding SES and political appointees)	During employee feedback session after finalizing AEF	Employee and Rating Official
Supplementary Evaluation Form (FS)	To provide information to Boards for consideration on promotion, and tenure	<p>Promotion candidates</p> <p>Tenure candidates</p> <p>All SFS</p> <p>Overseas SMG</p>	Completed annually at end of evaluation cycle after Appraisal Committee meeting and finalization of AEF	Appraisal Committee designee, usually the Rating Official (or Appraisal Committee Representative)
Employee Statement	To comment on Evaluation Form, Supplementary Evaluation Form or additional documentation	All employees	Completed annually at end of evaluation cycle after Annual Evaluation has been finalized and/or when Supplementary Evaluation Form has been finalized.	Employee (optional)

The following chapters provide detailed information on the process as well as instructions on how to complete the required forms. Additionally, Performance Guidelines are provided to assist employees and managers in evaluating employee performance in various grades.

## **III. Detailed Process Information**

The following chapter provides detailed information on the Employee Evaluation process and the roles and responsibilities of the various parties involved. This information is organized according to the phases of the Program. For amplification of any of the following guidance, the Policy and Essential Procedures sections of the Handbook should be consulted.

### **Program Coordination**

The principal USAID manager in the operational unit (e.g., Mission Director, Office Director) should appoint an Appraisal Coordinator to oversee the evaluation process. This Coordinator will be responsible, along with the principal official, for:

- ✓ Communicating information about the process within the operational unit
- ✓ Establishing internal deadlines that enable the organization to meet HR deadlines for establishment of individual work objectives and performance measures, and submission of forms
- ✓ Establishing procedures necessary for the organization to carry out the process (in keeping with the guidance provided in this Guidebook and in USAID Handbook 25 Chapter 40)
- ✓ Verifying completion of the evaluations for all appropriate employees
- ✓ Submitting the required evaluation information and forms to HR.

The Appraisal Coordinator will also serve as point of contact for HR concerning the evaluation process.

### **Work Objectives and Performance Measures**

#### **Definition**

**Work Objectives** (formerly called Performance Elements in the Civil Service) are outcome-oriented goals developed for two types of responsibilities - ongoing and specific. Ongoing responsibilities are continuing duties that are inherent to the position. Specific responsibilities involve objectives that can be accomplished before the end of the rating period. These are agreed upon by the rating official and employee and finally approved by the Appraisal Committee.

**Performance Measures** are objective, measurable statements established by the rating official, and approved by the Appraisal Committee, that specify for an employee the expectations or requirements to achieve an effective rating for each work objective. These are agreed upon by the rating official and employee and finally approved by the Appraisal Committee.

#### **Purpose**

The first step in the Employee Evaluation Program involves the establishment of work objectives, and performance measures. They provide the guidelines against which the employee is to be evaluated and link the employee's actions to overall USAID objectives and to the more specific objectives of an operating unit. The work objectives should, where possible, take into account the employee's career development needs. Performance measures are intended to provide employees with fair and objective measures of the nature, timeliness and quality of work required to successfully fulfill an individual work objective. Performance measures also must define the

standard of performance required to achieve an effective rating in a specific work objective.

### **Roles and Responsibilities**

The development of work objectives is a shared responsibility of the rating official and the employee. The employee and rating official should have a discussion within 30 days of the start of the rating period to develop the employee's work objectives. The work objectives should be within the employee's control to accomplish, and the anticipated results of each objective should be clearly linked to USAID goals. For the Foreign Service, work objectives must be commensurate with the employee's personal grade, not position grade. For the Civil Service, the work objectives must be commensurate with the employee's official position. Additionally, Civil Service work objectives must be designated as either critical and non-critical elements. Critical elements are job requirements that are essential to the organizational goals and objectives. Non-critical elements are those that are of lesser importance, but are sufficiently important to warrant evaluation.

The employee and rating official will develop a performance measure as part of each objective, which defines effective performance for the particular objective. Performance measures should be written to permit the accurate evaluation of job performance on the basis of fair and objective criteria.

While every effort should be made to reach agreement on the work objectives and performance measures, agreement is not required. The decisions of the rating official prevail in the event of any disagreements. Any disagreement between the rating official and the employee should be brought to the attention of the Appraisal Committee by the rating official for consideration and finally approved by the Appraisal Committee. The work objectives and performance measures must be documented in Section II of the Annual Evaluation Form and signed by the rating official, the employee and the Appraisal Committee. The employee's signature indicates only that the employee has been advised of the work objectives and performance measures. The Employee may comment on the establishment of work objectives and performance measures in the Employee Statement at the end of the rating cycle.

At the beginning of the rating cycle, the Appraisal Committee must review and approve the work objectives and performance measures for all the employees that it serves. In this review it should assure that the work objectives and performance measures are reasonable for the specific employee and consistent with the objectives of the operational unit. In practice this review may occur as a part of the review of the employees prior year performance and should not necessarily require a separate meeting of the Appraisal Committee.

The employee is encouraged to document the accomplishment of work objectives and performance measures throughout the rating period. Documentation should include specific examples of actions or behaviors and discussion of any mitigating circumstances. This will serve as the basis for a well prepared self-assessment. Achievement of the work objectives will be factored into the annual evaluation of each employee.

### **How to Establish Work Objectives**

Work objectives should promote the achievement of USAID's goals. The rating official and the employee should review the goals of the operational unit and establish individual work objectives that will aid in the achievement of those goals. It is important that the links between the operational unit's goals and the employee's work objectives are explicitly identified. Objectives should be individualized, but should also include contribution to team objectives, where appropriate.

When setting work objectives, the rating official should encourage the employee to provide as much

input as possible. Participation in objective development is likely to enhance the employee's ability and desire to meet the objective.

In order for an objective to have the best motivating potential, it should be challenging, yet attainable. To reduce uncertainty, each objective should be stated as specifically as possible. Employees will be better able to achieve an objective that is clearly defined. Concrete steps toward the achievement of each objective and the anticipated results should be identified.

For Civil Service, work objectives must be directly connected to the position description of the employee. Work objectives are established using position description, work plans, regulations, goals, targets, work assignments, organizational objectives and any other source that assigns or fixes responsibilities for accomplishments.

The work objectives may include both specific and ongoing components. Specific objectives must be able to be completed during the rating period, and are individualized for each employee. Ongoing objectives require continuous attention. Civil Service work objectives must be identified as critical or non-critical.

### **How to Establish Performance Measures**

When setting performance measures, the rating official should encourage the employee to provide as much input as possible. Participation in performance measure development is likely to enhance the employee's ability and desire to meet or exceed the performance measures.

In general, the following guidelines should be followed in establishing performance measures:

- ✓ Performance measures should be within the control of the employee to achieve. For Civil Service, accomplishment of a performance measure should not require skills that exceed those needed for the position. For Foreign Service, accomplishment of a performance measure should not require skills that exceed those needed for the employee's personal grade. They should not require authority beyond that delegated to the position.
- ✓ Performance measures should be based upon products and results (performance outputs) when possible rather than upon the employee's abilities or work behavior.
- ✓ Performance measures should be objective when possible. In the case of positions and operational units in which the most important result of job performance is not a tangible or easily measurable product but a process, measures should focus on desired outcomes of the process or on sub-products, such as reaching a crucial milestone.
- ✓ Performance measures should be developed in the context of organizational requirements. For employees in similar positions at the same grade level and working in similar circumstances, performance measures should be similar.
- ✓ Enough information should be available to assess the employee against the performance measure in order to evaluate different levels of job performance.

### **Mid-Cycle Review**

#### **Purpose**

The purpose of the mid-cycle review is to ensure that work is progressing satisfactorily, to adjust work objectives or performance measures to reflect changes and to provide the employee with feedback on his/her performance. During the mid-cycle review, the rating official should also

communicate to the employee any areas that require improvement so that the employee can have the opportunity to successfully address these areas in the second half of the rating period.

### **Roles and Responsibilities** -

Frequent reviews of progress are encouraged. These can occur either informally or formally. However, it is mandatory that the rating official conduct at least one progress review with the employee during the rating period (approximately the six month point). During this review, the rating official should provide the employee with feedback on his/her performance relative to the objectives/performance measures, the skill areas and the Performance Guidelines (See Chapter 4) and identify any needed improvements in performance. The rating official and employee should insure that the objectives/performance measures established at the beginning of the rating cycle are still relevant. If changes need to be made, they should be recorded on Section II of the Evaluation Form. The rating official and employee should also discuss the employee's progress toward career development goals. The rating official and employee each sign the Anticipated Results and Performance Measures section in the appropriate spot to document that the progress review has occurred. Additionally, the Appraisal Committee Representative is required to sign to confirm that the Mid-cycle review has been completed and to assure that the Appraisal Committee is aware of any changes to the employee's work objectives and/or performance measures.

If the rating official has no direct knowledge of the employee's performance under a work objective, then the rating official should obtain input from other parties who do have knowledge of the employee's performance prior to conducting the progress review. These parties might include other managers, peers, appropriate technical offices, subordinates or clients. Additionally, if there are indications of performance problems, the rating official needs to obtain more extensive feedback on the employee's performance to identify the problems and to understand what corrective actions might be needed (see Managing Performance Problems below).

### **Employee Self Assessment**

#### **Purpose**

The purpose of the self assessment is to give the employee the opportunity to provide written input to his/her appraisal by providing the rating official with relevant information. Accompanying the self-assessment, employees provide the rating official with a representative sample of 360° input sources. The individuals listed shall be people who can provide job-related information concerning employee performance during the current rating cycle. These 360° input sources will be contacted by the rating official to provide input into the employee's evaluation.

#### **Roles and Responsibilities**

The employee should provide the rating official with information about the quality of his/her performance during the rating period as it relates to the employee's work objectives and performance measures. This information should be specific on the how, what, where and when of performance. In addition, the employee should provide an assessment of his/her strengths, motivations, disappointments, and frustrations. In order to convey the most valuable information, the employee should provide specific examples of events/activities that occurred throughout the rating period. The self assessment will be more accurate if the employee has recorded dates and details of the accomplishments of work objectives.

The employee should also provide a representative sample of names of the people (i.e., managers, peers, subordinates, or clients) with whom he/she has worked during the rating period. These individuals should have an informed view of the employee's work since they may be asked to

provide input into the performance evaluation.

The Self-Assessment must be prepared at the end of the employee's rating cycle. When completing the employee's evaluation, the rating official will use the self-assessment as one source of input. Each employee is encouraged to refer to the Performance Guidelines in this Guidebook for guidance in identifying characteristic behaviors for effective performance in various grade levels.

This self-assessment shall be provided in writing to the rating official.

## Annual Evaluation Form

### Purpose

The purpose of the Annual Evaluation Form is to document the evaluation of the employee's performance for a rating period, to communicate the working unit's view of the employee's performance, and to provide feedback to the employee on skill areas identified as necessary for a progressively successful career in USAID.

### Roles and Responsibilities

For each employee the rating official oversees, he/she will complete an Annual Evaluation Form at the end of the rating period and submit it to the Appraisal Committee. The minimum appraisal periods is 120 days. Rating officials should not complete an AEF for any employee who has worked for him/her less than the minimum appraisal period. Instead, the losing rating official will be contacted by the gaining rating official to provide 360° input regarding the employee's performance during that period. When a supervisor has overseen an employee for longer than the minimum appraisal period, but less than 180 days, the losing rating official will prepare an abbreviated AEF, consisting of the Summary Information in Section I and all of Section II. For Civil Service employees, the abbreviated AEF must include an adjectival summary rating (Exceptional, Effective, Needs Improvement, Unacceptable. See Deriving a Summary Rating below) in the Summary Statement block of Section I. For any period in excess of 180 days the losing rating official will prepare a draft AEF as described here. The evaluation will be the final one for that cycle. It will be reviewed and approved by the Appraisal Committee at the losing office and finalized by signature of the Appraisal Committee Representative and the losing rating official. The losing rating official shall discuss the finalized AEF with the employee and obtain the employee's signature. As in any other AEF, the evaluation is not negotiated or changed at this point. In the next evaluation cycle, the gaining rating official will reach back to where the last finalized evaluation left off and evaluate the employee's performance through to the end of the current evaluation cycle. Thus, in the event of an early departure, the next full evaluation could cover 16 months, including input from the previous post.

When evaluating the performance (including interim and mid-cycle reviews) of the employee, the rating official needs to obtain input from informed sources on the employee's performance. This may involve contacting other managers, functional proponents, peers of the employee, subordinates (USDHs, PSCs, FSNs, etc.), or clients where appropriate (e.g., if an employee is in a Regional Office, employees in covered missions may be viewed as clients). Further information on how to obtain this input is provided in the following section.

The rating official collects and evaluates information provided by the employee, 360° input sources, and the rating official's personal knowledge and formulates a written appraisal of the employee's performance on each work objective and performance measure. The rating official should emphasize whether and/or how well work objectives and performance measures were accomplished and the impact or results. When considering the Specific Skills Areas in Section III, the rating official should refer to the Performance Guidelines for the appropriate level of the employee. (The Performance Guidelines are provided in Chapter 4 of the Guidebook.)

When drafting the AEF, the rating official must refrain from using inadmissible comments. See the table of inadmissible comments outlined below. Additional information on completing the Evaluation Form is given in Chapter 4 with the form instructions. The draft AEF prepared by the rating official will be reviewed by the Appraisal Committee. During this review process, the draft is not shared with the employee. After the AEF has been reviewed and approved by the Appraisal Committee, the rating official may discuss it with the employee. The AEF is not to be negotiated between the

employee and the rating official and is considered final after signature by the rating official and the review and approval of the Appraisal Committee. Employees may request a review by the Appraisal Committee if the AEF contains inadmissible comments or errors in fact.

#### **Inadmissible Comments:**

- ✓ Reference to race, religion, sex (does not extend to the use of Mr., Mrs., Ms., first names or personal pronouns), national origin, political affiliation and age
- ✓ Retirement, resignation, or other separation plans
- ✓ Grievance, equal employment opportunity, or Merit Systems Protection Board or other proceedings/results
- ✓ Method of entry into the Agency (IDI, etc.)
- ✓ Reference to private U.S. citizens by name
- ✓ Participation or nonparticipation in any organization composed of employees which exists for the purpose, in whole or in part, of dealing with foreign affairs agencies concerning grievances, personnel policies, and practices
- ✓ Ratings for earlier periods prepared by other rating officials
- ✓ Reluctance to work voluntary overtime
- ✓ Leave record, except in the case of unauthorized absences
- ✓ Letters of reprimand
- ✓ Negative reference to use of the dissent channel or direct or indirect reference to, or consideration of, judgments in dissent channel messages as a basis for an adverse evaluation of performance. When the rated member's expression of dissenting views on policy, outside of the dissent channel, raises substantial questions of judgment relevant to the member's performance, it may be the subject of comment. However, general comments may not be used to get around the proscription of this section. Specific instances must be cited.
- ✓ Negative or pejorative discussion of the performance of another identifiable employee. Rating officials cannot state "the employee quickly brought order out of the chaos left by his predecessor." On the other hand, the description "the employee is the best administrative officer I have supervised in the past 10 years" is acceptable.
- ✓ Specific identification by rating officials of physical handicaps or medical problems (including alcoholism, drug abuse, or rehabilitation efforts). General reference may be made to confirm knowledge of a medical problem to the extent it affects job performance or ability to accept overseas assignments. Rated employees may discuss their health problems in specific terms if they believe it has affected their performance.

## **360° Input Process**

### **The 360° concept and its application**

In order to obtain an accurate overview of the employee's performance, the rating official must gather information from a variety of sources, including the employee's self assessment, peers, clients, appropriate technical offices, other managers, and subordinates. Such information is referred to as 360° input. This type of feedback provides information about the employee's performance on specific work objectives and appropriate skill areas. Additionally, gathering information from several sources reduces the potential for bias to enter into the performance ratings. The rating official does not need to wait until the end of the rating cycle to gather all the

360° input. It is expected that some discussion will be held periodically throughout the year.

Based on the names provided by the employee during the self assessment, the rating official should determine from whom input should be obtained. The rating official need not contact every individual named, nor is the rating official limited to the names provided by the employee. The rating official should contact enough individuals to obtain a comprehensive understanding of the employee's performance during the rating period. Any interim AEFs resulting from position changes, etc. shall be considered by the rater. The rater may choose to contact the drafting official of an interim AEF. The rating official should schedule meetings with appropriate parties in advance. The time required to complete the meeting will vary depending on the nature of the relationship between the employee and the feedback provider; 20 minutes should be set aside for each meeting. Meetings should be conducted in a private setting where interruptions are unlikely to occur. This will enhance the information exchange and will increase the comfort level of the participants. The rating official is encouraged to take notes during such meeting; however, these are considered to be the personal, working notes of the rating official and there is no requirement to maintain or provide these notes to the employee. (These notes may be the basis for advising the employee of significant performance deficiencies.) Please note: this information will not be directly replicated on the Evaluation Form; rather, the rating official will synthesize the information that is gathered during the course of feedback meetings.

The rating official must gather job-relevant information. The type of information that is to be obtained will vary depending on the type of 360° input source. It is important that a 360° input source is asked to provide information only on performance areas of which he/she has specific knowledge. Specific examples should be solicited if comments are either highly complimentary or critical.

#### **Types of information to obtain from various sources:**

The following paragraphs provide guidance on the types of information that can be solicited from various sources. In general, discussions should focus on the employee's work objectives, performance measures, and the skill areas in the Annual Evaluation Form. In order to uphold the ethical standards of USAID, the rating office should exercise discretion in seeking and using the information through the 360° input process. If a rating official has any concerns in this regard, he/she is advised to consult their Agency Ethics Officer. Additional guidance is found in the 360° Feedback Guidelines on the following pages which list potential questions to use in feedback sessions. All of the suggested topics in the 360° Feedback Guidelines do not have to be covered.

**Other managers.** Obtaining feedback from other managers provides additional evidence about the employee's work. This will improve the rating official's understanding of the employee's performance. It is important to solicit feedback from managers who have spent any substantive time working with the employee during the rating cycle in question.

**Peers.** The extent to which employees perceive the value of peer feedback, and feel comfortable with it, will greatly influence the quality of the feedback. Individuals may feel that peer feedback may be unduly influenced by friendship demands. To improve the quality of this type of 360° input, it is important to clearly specify the performance measures and specific skill areas (e.g., communications with host country citizens, contribution to team objectives, interpersonal skills) that are to be discussed during the peer 360° input session. Typically, each rating official should hold a brief discussion with 1 or 2 coworkers, on an individual basis.

**Subordinates.** Subordinates are able to provide feedback from a slightly different perspective than peers or other managers. They can provide reliable information about the employee's ability as a manager. Discussions with subordinates might focus on the Staff Development and Leadership skill

areas of Section III in the AEF, but this does not imply that other performance areas should be ignored; any work-related interactions that a subordinate has had with the employee are relevant for performance assessments. The rating official should hold individual discussions with approximately 2-3 subordinates of the rated employee, including direct hires, foreign service nationals, or personal service contractors as appropriate.

**Clients.** An equally important source of feedback is obtained from clients. Clients that are served by the employee, ranging from other USAID organizations to host country citizens, can provide information on the quality of the products and services that are delivered by the employee.

The type of information that can be gathered from clients will vary depending on the nature of the services provided to the client. Clients who interact with the employee in a wide array of situations will be able to provide greater input, while the scope of information will be limited for others.

**Appropriate Technical Offices.** Functional specialists (Controllers, Legal Advisors, Contracting Officers, Housing Officers, Commodity Management Officers, EXOs) provide technical services to missions or USAID/W offices. Most of the functional specialists have a client-service relationship with their coworkers in the mission or USAID/W office.

The appropriate technical offices may send to the rating official a one page narrative evaluation of a specialist's functional proficiency. The mission or USAID staff will primarily evaluate the specialist from the perspective of how well the particular specialty service (e.g., legal advice) was provided. Therefore, the input of the appropriate technical offices can be important in obtaining an appropriate evaluation of the functional specialist's performance.

### **360° Feedback Guidelines**

The guidelines below provide a general reference to use when obtaining performance information from a variety of sources. The questions to be asked will vary by the grade and position of both the employee to be rated and the feedback source. Some of the questions listed below (in italics) may not be applicable for all sources. Additionally, the question list is clearly not exhaustive; follow-up questions will frequently be needed to obtain critical details about the employee's performance. Raters are expected to use the employees work objectives and the skill areas on the evaluation form as a guide to their 360° input sessions.

#### **I Introduction to the Feedback Session**

Explain the purpose of 360° feedback (to gather as much information about employee performance, increase reliability of the performance appraisal process, etc.)

Review only the work objectives, performance measures and skill areas that will be addressed and explain that you are soliciting supporting examples; it is most helpful to review assessments of performance that are supported with specific examples of actions.

#### **II Opening Questions**

Begin the session by obtaining detailed information on the interactions between the 360° input source and the employee. Identify the frequency and nature of contacts. For subordinates, determine the extent of supervision that is provided. For clients, identify the products and services that are delivered, and the extent of interaction between the employee and the client.

*What is the nature of your working relationship with the employee?  
(i.e., supervisor-subordinate, peers, client, etc.)*

*How frequently have you worked with the employee?*

*What types of projects/tasks have you worked on with the employee?*

### **III Questions about Specific Skill Areas**

The questions listed below in each skill area in these Feedback Guidelines are examples to use during feedback sessions. Actual questions asked will depend on the specific situation. In conducting each feedback session, it is best to focus on relevant, work-related interactions that the feedback source has had with the employee being rated. You should not only gather information about what the employee has accomplished during the rating period, but how effective the employee has been in carrying out each responsibility and in meeting his/her objectives.

#### **Quality of Work**

*How well does the employee perform the duties required of his/her position?*

*Does the employee have the appropriate technical skills for the job? Please discuss examples of the types of technical skills the employee possesses, and the application of this knowledge.*

*Does the employee have and apply appropriate development assistance knowledge to perform his/her job? Provide specific examples.*

*How effectively does the employee communicate (orally and in writing) in the language of the Host Country, if that language is not English.*

*How would you evaluate the quality of the employee's written materials (reports, correspondence, etc.)?*

*How accurate is the employee's completed work?*

*How effectively does the employee assess problems and generate solutions? Does he/she follow a logical course of reasoning? Please give specific examples.*

#### **Management**

*To what extent is the employee involved with planning and programming processes? How does the employee perform these planning and programming activities?*

*What are the employee's budgeting responsibilities?*

*How well does the employee budget financial and other resources within his/her span of control?*

*Does the employee have responsibility for tracking and overseeing the use of funds and/or physical resources? Please give examples of how the employee conducts these activities.*

*Does the employee oversee contracts and grants? Is the employee involved with assessing contract/grant requirements or developing and executing grants?*

*Is the employee conducting ongoing evaluations of program/project progress? Does he/she*

*use appropriate criteria to conduct evaluations? Has the employee used information from the evaluations to identify and/or implement improvements?*

### **Teamwork/Interpersonal Skills**

*How effectively does the employee work as a member of a team? Do the teams of which he/she is a member meet their goals?*

*Are you involved with the employee in more than one project? Does he/she allocate time and effort effectively between multiple projects and teams?*

*How would you describe the employee's interactions with customers, contractors, etc.? Are they characterized by mutual respect and the exchange of useful information?*

*Does the employee interact effectively with host country citizens and other individuals from different cultures? Has he/she adapted successfully to the foreign culture in which he/she works?*

*How effectively does the employee express ideas and deliver information orally?*

*How flexible is the employee in his/her job when circumstances alter the requirements of his/her work?*

*How does the employee resolve conflicts? Does he/she handle conflict situations (e.g., disagreements between coworkers) logically and tactfully?*

### **Leadership**

*How has the employee demonstrated leadership capabilities?*

*Does the employee assist with defining or implementing the Agency's strategic goals?*

*Does the employee take an active role in leading others to respond to change? How is this accomplished?*

*Does the employee take the initiative when completing tasks; does he/she look ahead and identify threats and opportunities?*

*Is the employee viewed as a mentor/role model by peers or subordinates?*

*How well does the employee motivate others to get their jobs done?*

*Does the employee demonstrate high standards of ethics?*

### **Staff Development** (applies when employee has supervisory responsibilities over 360° input sources)

*Is the employee accessible to you and responsive to your concerns? (This could be asked of subordinates and/or clients.)*

*Does your supervisor clearly communicate what is expected of you (i.e., clear, measurable objectives, performance measures, project goals, etc.) and how you will be evaluated?*

*Does your supervisor provide you with constructive, timely feedback and fair, accurate performance evaluations?*

*Does your supervisor provide you with opportunities for informal/formal training and development? Is he/she supportive of your professional development efforts?*

*How well does the employee manage individuals from diverse backgrounds? Does he/she treat all individuals equitably and fairly?*

## **Professionalism**

*Is the employee reliable? Does he/she regularly fulfill duties in a competent manner?*

*Does the employee manage his/her time effectively? Does he/she require assistance in managing time, or does he/she independently prioritize and complete tasks?*

*Does the employee complete and deliver products or services according to schedule?*

*If you have observed the employee interact with clients and host country citizens, do you feel that he/she conducts these interactions in a professional manner, upholding USAID's standards?*

*Are there any other relevant performance areas that you feel have not been adequately addressed?*

## **IV Recommendations for Improvements**

Can the employee's performance in any particular skill areas or skill areas be improved? Please give your suggestions on how these improvements could be made.

## **V Conflicting viewpoints**

Occasionally, a rating official may receive conflicting information about the employee from one or more sources. If this occurs, the rating official must decide which viewpoint is most credible when generating the performance ratings. If the discrepancy has occurred between the rating official himself/herself and another feedback source, the rating official may invite further discussion of the reasons behind each individual's opinion.

If the discrepancy resides between two outside sources, the rating official may *not* set up a meeting between the conflicting parties, as this would represent a breach of confidentiality. Rather, the rating official should seek to clarify the discrepancy by expanding the 360° feedback to include sources that were not interviewed previously and/or re-interviewing sources that provided conflicting information. A rating official may also request assistance from the Appraisal Committee to resolve discrepancies.

## **Appraisal Committee Review**

### **Purpose**

The purpose of the Appraisal Committee is to:

- ✓ review and approve work objectives and performance measures at the start of the rating cycle;
- ✓ insure the accuracy and objectiveness of the evaluations;
- ✓ provide management input to the evaluation;
- ✓ assess the performance of each employee;
- ✓ resolve disputes on factual content of an evaluation;
- ✓ make recommendations for promotion and tenure nomination, and awards;
- ✓ assure best use of human resources to achieve organizational strategic objectives.

The Appraisal Committees are at the heart of a means of managing USAID human resources, resulting in an organizational assessment of individual performance, with greater authority and responsibilities delegated to the work units. For this reason it is vital that the Appraisal Committee be constituted of managers who know the work of the unit and have a first-hand knowledge of the employees that are served by the committee.

### **Roles and Responsibilities**

The principal USAID manager (e.g., Mission Director, Office Director) within each operational

unit is responsible for appointing the Appraisal Committee membership. This manager, or designee, will chair the committee. The Appraisal Committee is to consist of the senior managers of the operational unit. In a typical mission, the committee would consist of the Mission Director, Deputy Mission Director, and Office Directors. For an office in USAID/W, the committee membership should include the Office Director, Deputy, and Division Directors. For smaller missions and offices, the Mission or Office Director and the Deputy may comprise the Appraisal Committee, or the Director may opt to include all US Direct Hire employees on the Appraisal Committee, resulting in a team appraisal. Larger offices and missions will find it necessary to have more than one Appraisal Committee to adequately deal with the workload. Given their responsibilities, it is vital that the Appraisal Committee members have sufficient seniority, but that they also have a first-hand knowledge of the employees being reviewed. In many cases it will be necessary for members of the Appraisal Committee to also perform the duties of a rating official. In these cases, this Appraisal Committee member will assume the role of a rating official while the committee reviews his/her employees, withdrawing from the Appraisal Committees review discussions.

One goal of this evaluation system is to provide a standard means of evaluating both Civil and Foreign Service employees, however due to legislative constraints, some differences remain. Appraisal Committees that will be reviewing a mix of Foreign and Civil Service employees must be sure that all members are familiar with the unique features of each service. Where possible and appropriate, members of both services should be represented on the committee.

At the beginning of the rating cycle, the Appraisal Committee should review and approve the work objectives and performance measures for all the employees that it serves. In this review it should assure that the objectives are reasonable for the specific employee and consistent with the objectives of the operational unit. In practice this review will occur as a part of the review of the employees prior year performance and should not necessarily require a separate meeting of the Appraisal Committee.

At the end of the rating cycle, the Appraisal Committee will review the draft Annual Evaluation Forms of each employee within the operational unit. Under normal circumstances, a rating official will present the evaluation of his/her employees and remain for the discussion of those employees only.

During the review, the Appraisal Committee may:

- ✓ Discuss specifics of the appraisal and the employee's performance;
- ✓ Attempt to resolve any differences of opinion identified during the 360° input;
- ✓ Discuss the potential of the employee to perform at the next level (FS);
- ✓ Discuss the career development of the employee, or any other relevant issues;
- ✓ Discuss and make recommendations on Meritorious Step Increases (MSI) and other performance awards.

The Appraisal Committee shall discuss with the rating official the need to make changes to the Evaluation Form to correct any inconsistencies, errors or inaccuracies and to ensure that the Annual Evaluation Form reflects the work unit assessment. The final evaluation is a product of the Appraisal Committee and the rating official. The finalized AEF shall be furnished to the rated employee for signature but may not be changed or negotiated. The appraisal of an employee is made with respect to the employee's individual performance as compared to his/her work objectives and performance measures. For Civil Service Employees, Appraisal Committees may not prescribe a distribution of summary ratings levels.

All Evaluation Forms must be submitted to M/HR by both USAID/W offices and overseas offices on the due date to be published annually.

## **Promotion Nomination, Tenure Nomination, and PSB Recommendation (FS)**

### **Purpose**

The Appraisal Committee has responsibilities, unique to the Foreign Service, to prepare documentation nominating employees for promotion by the Selection Boards, preparing appraisals on career candidates for the Tenure Boards, and preparing documentation on employees who are being recommended for referral to the Performance Standards Boards. The Appraisal Committee appoints a drafting official (usually the rating official) to prepare either the Supplementary Evaluation Form or Performance Standards Board recommendation memorandum. In these documents the Appraisal Committee discusses the employee's performance, strengths, development needs and potential.

In the Foreign Service, once the Appraisal Committee has reviewed all the Annual Evaluation Forms within its work unit, it will reconvene to look at the performance of each Foreign Service employee. Based on a world-wide promotion profile information, to be provided annually by HR, the Appraisal Committee will nominate an appropriate number of Foreign Service candidates for promotion. Appraisal Committees shall recommend poor performers for referral to the PSB.

Supplementary Evaluation forms must be prepared on all Senior Foreign Service Officers, in addition to the normal Annual Evaluation Forms. All SFS Officers will be considered at the Selection Board level.

### **Roles and Responsibilities**

The Appraisal Committee will assign to either the rating official or another Committee member the responsibility to complete the Supplementary Evaluation Form or to draft a PSB recommendation memo for each employee identified by the Committee. The Appraisal Committee should meet again to review and finalize the forms and/or memos. The Supplementary Evaluation Forms and the PSB recommendation memos are products of the work units and not of the individual rating official. The finalized SEF shall be furnished to the rated employee for signature but may not be changed or negotiated. For promotion or PSB referral recommendations, documentation needs to be submitted to M/HR/PMES/PMA by both USAID/W offices and overseas offices on due dates to be published annually. Tenure referrals are completed at a separate designated time during the year, using the Supplementary Evaluation Form. Additionally, the Appraisal Committee makes recommendations for performance awards.

## **Employee Feedback Session and the Career Development Worksheet**

### **Purpose**

The purpose of sharing the final Annual Evaluation Form and, if appropriate, the final Supplementary Evaluation Form or the PSB recommendation memo, with the employee is to provide the employee with feedback on his/her performance over the rating period. Based on this feedback and the employee's career development goals, the rating official and employee will devise a career development plan. The employee feedback session is not to negotiate the contents of the Evaluation Form, the Supplementary Evaluation Form, or the PSB recommendation memo.

### **Roles and Responsibilities**

Once the Annual Evaluation Form, the Supplementary Evaluation Form, or the PSB

recommendation memo has been finalized, the rating official presents the form(s) to the employee and discusses it. Review the section on "Giving and Receiving Feedback" (see below) for suggestions on how to give constructive feedback. Once the results of the evaluation are presented, the employee and rating official will generate a career development plan, using the Career Development Worksheet included with the Annual Evaluation Form. The employee shall have the opportunity to append an Employee Statement to any finalized form (see below).

The evaluation results can assist the employee in identifying developmental needs and planning activities to enhance his/her professional development. Once the evaluation is reviewed, the rating official and employee will assess the employee's needs and provide suggestions for career development. Suggested career development actions can include work assignments or training opportunities that would potentially enhance the employee's professional competence. The Career Development Worksheet will be forwarded to the Career Development Office.

## **Employee Statement**

### **Purpose**

Completing the Employee Statement provides the employee with an opportunity to respond to, comment on, or supplement an Annual Evaluation Form, Supplementary Evaluation Form or PSB recommendation memo. It also may give a Foreign Service employee an opportunity to speak directly to the Selection Boards (if applicable).

### **Roles and Responsibilities**

The Employee Statement is optional on the part of the employee, but once completed, the rating official must attach the statement to the Annual Evaluation Form, the Supplementary Evaluation Form, or the PSB recommendation memo. The Employee Statement may be used to discuss responsibilities during the rating period, accomplishments relative to the objectives, and any mitigating circumstances. The employee may also address in his/her statement any issues the employee has with his/her evaluation. The Employee Statement becomes an integral part of the evaluation, but does not change the rating of the Annual Evaluation Form or other evaluation documentation. In the event that the employee finds that the AEF contains actual errors of a factual nature, the employee may request the rating official to make the appropriate changes. If the rating official does not concur with the changes, the matter shall be referred to the Appraisal Committee for final resolution.

## **Giving and Receiving Feedback**

Feedback about performance is a critical component of the Employee Evaluation Program. In order to continually improve their job-related knowledge, skills, and abilities, employees must be informed about the extent to which they are meeting expectations. The rating official is responsible for providing feedback on a regular basis, both to support positive behaviors of employees and to correct ineffective or inappropriate behaviors. As such, there are two broad categories of feedback, supportive and corrective.

### **Supportive feedback:**

- ✓ Reinforces effective and desirable behavior
- ✓ Highlights characteristics of strong performance.

### **Corrective feedback:**

- ✓ Identifies ineffective or inappropriate behavior

- ✓ Highlights behaviors that should be discontinued
- ✓ Should be given immediately after a problem occurs.

Both types of feedback are important for successful performance. Ideally, rating officials should provide feedback to employees on an ongoing basis, notifying them of the results of their performance and suggesting developmental interventions if necessary. Continuous feedback is more effective than that given only at performance appraisal time.

A rating official should prepare for each feedback session. This involves determining which topics to discuss and considering the overall approach to be used. The feedback provider should consider the real purpose of the feedback, and should be aware of the potential reaction of the feedback recipient. Following are some questions that a rating official should answer before giving feedback.

When giving feedback ask yourself:

- ✓ What change(s) do I want to see?
- ✓ Is change possible?
- ✓ Will feedback help?
- ✓ How can I most effectively deliver the feedback?

Following are some guidelines on how to give effective feedback (adapted from USAID management training and from suggestions given by the Center for Creative Leadership).

Effective Feedback Suggestions		
Suggestions	Examples	
	Effective	Ineffective
Feedback should focus on behaviors, not personal characteristics.	<i>You tend to raise your voice with other team members during everyday discussions, and this behavior is inappropriate.</i>	<i>You have an abrasive personality.</i>
Give specific statements when possible; support general statements with specific examples.	<i>You demonstrated real insight in analyzing our coordination with the State Department when presenting the country program on the Hill.</i>	<i>You are a very good worker.</i>
Use descriptive language rather than judgmental.	<i>When you close your door upon arrival to the office, your coworkers see you as inaccessible and unfriendly.</i>	<i>You are lousy at interacting with others in the office.</i>
Effective feedback is clear, direct, and to the point.	<i>You need to reduce the use of informal language in your writing and organize your thoughts around a single idea per paragraph. For example, in this memo...</i>	<i>You need to work on your writing skills.</i>
Good feedback is directed toward actions within the employee's control.	<i>Your presentations would be more effective if you attended a course in public speaking.</i>	<i>You would be a more effective officer if you had a Ph.D. in economics.</i>
Effective feedback is immediate.	<i>Yesterday you missed the reporting deadline again. This has happened four times since fall, and each time I brought it to your attention.</i>	<i>Last May you missed a reporting deadline and four others before that.</i>
Good feedback is carefully planned.	<i>I have carefully reviewed your objectives and activities and have specific topics I would like to discuss.</i>	<i>I guess it's time to have a mid-period review. What shall we talk about?</i>
Avoid interpreting the employee's actions; summarize behaviors.	<i>I noticed that you missed filing several reports last month.</i>	<i>You must really hate writing those reports since you skip them all the time.</i>

While giving feedback is an essential component of the review process, recipients of feedback have the responsibility of correctly responding to and using the information given. As such, the following guidelines for responding to feedback should be consulted (adapted from USAID management training).

Guidelines for Responding to Feedback		
Guidelines		
Solicit feedback in clear and specific areas.	<i>I'm concerned about my communications with the front office. Can you give me some insights about this situation and how I can improve?</i>	<i>Can you give me some feedback on how I'm doing?</i>
It is the receiver's responsibility to make sure the feedback is understood by paraphrasing major points and asking clarifying questions.	<i>I see you are concerned that I don't go on enough field visits. How many times a month do you think I should go?</i>	<i>Can I go now?</i>
Help the rating official provide useful feedback.	<i>It would help me if you gave some specific examples of work that I have done successfully so I know what activities to emphasize.</i>	<i>I am very glad that you like my work.</i>
Avoid making it more difficult for the feedback provider.	<i>I am surprised that you think I misspell too many words, but I will pay more attention in the future.</i>	<i>I think your comments are totally unfair.</i>
Avoid explanations of actions, unless asked.	<i>I can understand why my late reporting concerns you. After we conclude this review, I would like to discuss this further in order to meet the office's needs.</i>	<i>I can easily explain why I have been arriving late.</i>
Show appreciation for the effort it took for the person giving the feedback.	<i>I appreciate your efforts to explain how my lack of planning made your job more difficult, as I know it has not been easy to do.</i>	<i>Remain silent, while thinking "Whew! I'm glad that's over."</i>
Using key points, discuss intended actions in response to the feedback.	<i>OK, I understand why you don't like me leaving you out of the loop, and I will make certain I talk to you first before I see the Ambassador.</i>	<i>OK, you don't like the way I talk to the Ambassador.</i>

By following the guidelines above, the rating official and the rated employee can establish and maintain an effective working relationship, clarify expectations, and insure useful evaluations of performance. Raters and other managers will themselves be evaluated on the quality and frequency of feedback provided.

## Interim Evaluations

### Purpose

On occasion, employees may change their jobs prior to the end of the current evaluation cycle. On these occasions, the employee should receive some form of evaluation of their performance. This may take the form of 360° input into a later evaluation, an interim evaluation or a complete evaluation.

### Roles and Responsibilities

Different events may trigger an evaluation before the end of the cycle:

Foreign Service: transfer, reassignment, or termination of service

Civil Service: change to new position with new work objectives, or termination of service

	Civil Service	Foreign Service
less than 120 days	No written evaluation is required. The losing rating official serves as a 360° input source for the gaining rating official.	
120 days to 180 days	Rating official completes and AC approves Section II appraisal of work objectives only.  assign rating to each work objective and derive adjectival summary rating	employee carries interim to new assignment
180 days or more	Complete entire evaluation process including employee self-assessment, 360° input interviews, complete all sections of AEF, finalize AEF with Appraisal Committee, provide employee with feedback, and employee statement.  assign an adjectival summary rating to the rating of record	Complete Supplementary Evaluation Form as appropriate (see chapter on Documentation Instructions below)

In the case of an employee receiving a finalized annual evaluation prior to the end of the current rating cycle, that evaluation will be the Rating of Record for Civil Service employees.

When a written interim evaluation is required (120 to 180 days) it is the rating official's responsibility to complete an interim evaluation following the same principles as a complete evaluation. The rating official must consider the employee's self-assessment and the input 360° feedback sources.

**Example:** In the extreme case this might mean that in Year One an employee serves slightly more than the first six months in one position and then changes employment status. This would cause a finalized annual evaluation to be performed. At the end of that year's evaluation cycle, the employee would receive no further rating. For that individual, the remaining portion of Year One would be added to Year Two and evaluated at the end of the Year Two evaluation cycle. The rating official and the employee might hold a mid-cycle review for this employee after nine months, or they might choose to hold two mid-cycle reviews.

## Managing Performance Problems

Care must be taken when, in the process of routine employee evaluation, it becomes clear that an employee's performance needs improvement or is seriously deficient. It is important to the rating official and the employee that performance problems be identified as early as possible, so that corrective action may be taken. For this reason, the Mid-Cycle Review is crucial, but should not be the only time that the rating official discusses job performance with and employee. Both the supervisor and the employee should discuss problems as soon as they are identified and work together to give the employee an opportunity to demonstrate successful performance.

### Identifying Performance Problems

When a rating official suspects that an employee's performance against a work objective is inadequate, the supervisor should attempt to ascertain the cause. Some initial questions to ask are:

- ✓ Is the employee's lack of success due to unrealistic work objectives and performance measures?
- ✓ Are the problems serious enough to be documented? Will the employee fail to achieve the work objective?
- ✓ Are there unforeseen mitigating factors that are impeding the employee's success?
- ✓ Is the employee aware of the problem?
- ✓ Is the problem job performance or conduct?
- ✓ Is the problem one that specific training and closer supervision might alleviate?
- ✓ How long might it take the employee to correct the problem? (include time for training, to correct past errors, to demonstrate new work patterns, etc.)

<b>Employee Performance Problem Factors</b>	
<ul style="list-style-type: none"> <li>✓ Failure to meet the objectives as developed for the current rating period.</li> <li>✓ Unacceptable performance on any performance area that is deemed critical.</li> <li>✓ Reluctance to accept responsibility.</li> <li>✓ Lack of adaptability.</li> <li>✓ Failure to carry out assigned tasks properly within the established time-frame or a reasonable period of time if no deadline was established.</li> <li>✓ Refusal to accept or implement legitimate directives from authorized officials.</li> <li>✓ Inability or unwillingness to work fairly and cooperatively with managers, colleagues, or subordinates.</li> <li>✓ Deficiencies in developing the substantive knowledge required in one's position.</li> </ul>	<ul style="list-style-type: none"> <li>✓ For rating officials who prepare evaluations -- unfair, biased, evasive or consistently late reports. Evaluation Forms which are prepared in a careless or incomplete manner, are biased or evasive, or which overrate an employee are unfair to all employees, detrimental to the rated employee's long-term career and misleading to management.</li> <li>✓ Inefficient use of financial, human, and physical resources; failure to anticipate and plan for future requirements; failure to meet deadlines, or failure to set appropriate priorities.</li> <li>✓ Failure to demonstrate sound organizational skills and personal work habits such as ability to plan and organize assigned work effectively, establish priorities, or follow-up and complete tasks on time.</li> <li>✓ Micro-managing staff and thus thwarting staff career development.</li> <li>✓ Less than full commitment to the Agency's EEO and diversity programs and policies.</li> </ul>

If performance problems exist, especially where the problems are significant enough to potentially lead to a PSB recommendation (FS) or other personnel action (e.g., reprimand, disciplinary action, denial of periodic step increase, etc.), the rating official needs to document these problems in a memorandum, communicate them to the employee in the progress review, or as soon as the problem is identified. The Labor Relations Staff (M/HR/LRS) are always available to provide advice and should be consulted by a rating official when documenting serious performance problems. The rating official then needs to provide the employee with an opportunity to improve before the end of the rating cycle. The rater should identify in writing specific steps that the employee needs to take to address each performance problem. This memorandum should be discussed with the employee and signed by the employee and the rating official.

### **Opportunities to Improve**

After discussing the problem with the employee the supervisor should give the employee an opportunity period to improve, and the support needed to succeed. The details of the notice of an opportunity period vary slightly between the Civil Service and Foreign Service.

#### **Civil Service:**

When an employee's performance fails to meet established performance measures at an effective rating level in one or more critical elements, an employee should be told that the performance is less than effective and will be given a reasonable opportunity to demonstrate acceptable performance. If the performance is so seriously deficient as to be deemed unacceptable, the employee must be notified in writing. If the employee improves and demonstrates acceptable performance during the opportunity period, the notice of unacceptable performance will be retained by the supervisor one year from the date the employee received the notice.

The written notice of unacceptable performance must inform the employee which critical element(s) and work measure(s) are being performed unacceptably and what is needed to perform at a level above the unacceptable rating level; a written performance measure for the level intermediate between unacceptable and effective; the types of improvement needed to demonstrate acceptable performance; the assistance that will be provided; and a reasonable period of time to demonstrate acceptable performance. The employee must be warned that failure to perform at the acceptable performance level may result in removal, reduction in grade or reassignment.

#### **Foreign Service:**

If an employee's performance towards a specific performance measure is identified as being so seriously deficient that it is apparent that the deficiency will result in work objectives not being met during the rating cycle, the supervisor shall notify the employee in writing that the performance in a specified work objective is unacceptable and outline steps which the employee may take to improve that performance. Any documents regarding unacceptable performance created as a result of the employee's performance under this section must be considered by the rating official in evaluating the employee for the rating cycle only if the employee does not show improved performance by the end of the rating cycle. If the performance in the specific work objective which has been documented as being unacceptable is referenced in the AEF, such documents shall be attached to the AEF and forwarded to M/HR, to be placed in the employee's evaluation file. If the unacceptable performance in the specific work objective is not referenced in the annual evaluation, the documents may not be retained after the end of the rating cycle.

Where possible the opportunity period should end within the time remaining before the end of the rating period. There is no required length of an opportunity period. The rating official and the employee should agree upon the amount of time that gives the employee a realistic chance of success. In thinking about the period of time it may help to classify the problem as needing either a remedial or a developmental improvement. Normally a remedial problem may be solved in a shorter time frame, as the employee already has the necessary skills and only needs to apply those skills

more effectively. In the developmental circumstance, the employee lacks skills needed to succeed and needs to improve the skills before being able to succeed. Performance problems based on developmental needs usually require longer opportunity periods. For example:

#### A Remedial Problem

A rating official is pleased by an employee's eagerness to explore the potential of the "Internet" to see what potential it has. Unfortunately, several critical report deadlines have been missed because of the employee's lack of attention to his work plan. The rating official would work with the employee to understand the problem, and develop a plan so that the employee may make up for missed reports and continue to meet deadlines during the remainder of the year. The employee might be given 30 days to demonstrate improved performance, but no new skills are needed. The employee's work plan may still allow for a reasonable amount of time to be devoted to training the other office staff on using the Internet in their work.

#### A Developmental Problem

A rating official notices at mid-cycle review that an employee is unable to communicate effectively with host country officials. While the employee's reading skills in the local language are adequate, verbal skills are very weak. The rating official works with the employee to reduce the employee's overall workload and responsibilities, so that she may devote more time to an intensive local language tutoring program. The employee is given 120 days to bring verbal skills up to a more effective level.

The consequences of a failure to improve during the opportunity period must be clearly stated. The performance improvement plan should also outline the assistance that will be given to the employees who have identified performance problems. This assistance may include, but is not limited to, formal or informal training, counseling, or closer supervision. The progress review session may also include informing the employee of other sources of assistance, such as an Employee Assistance Program.

Copies of the memorandum and the performance improvement plan should be placed in the employee's personnel file in the work unit. The rating official then has a responsibility to monitor closely the employee's performance to assess and communicate how well the employee is accomplishing the performance improvement actions.

## **IV. Documentation Instructions**

This chapter provides detailed instructions on how to complete each of the forms in the evaluation process.

### **Annual Evaluation Form**

The primary purpose of the Annual Evaluation Form is to evaluate and document the employee's performance for a particular rating period. A rating official is to complete an Evaluation Form for each employee as assigned.

#### **Overview of Completing an Annual Evaluation Form**

<b>When</b>	<b>What</b>	<b>Who</b>
First 30 days of a new rating cycle	<b>Work Objectives:</b> Up to five work objectives with related performance measures	drafted by rater and employee, with review and approval by the Appraisal Committee
Mid-cycle review	<b>Revisions:</b> short statement of changes to work objectives and/or performance measures, if required.	drafted by rater and employee, with review and approval by the Appraisal Committee
End of the appraisal cycle	<b>Appraisal of Work Objectives:</b> appraisal of employee performance incorporating input from employee self-assessment, 360 input sources, and rating official observations	drafted by rater, with review and approval by the Appraisal Committee
	<b>Specific Skill Areas:</b> feedback to employee on their strengths and weaknesses in the detail skill sub-areas, retained in office, does not go to Selection Boards	
	<b>Summary Statement:</b> context of work and summary of level of Performance. Civil Service Employees must have a summary rating statement included.	
	<b>Summary Skill Areas:</b> Summary of the Specific Skill Areas providing overview of strengths and areas for improvement	
After Employee Feedback Session	<b>Career Development Worksheet</b>	Employee and rater
	<b>Employee Statement (optional)</b>	Employee

## **Step by step completion of Annual Evaluation Form**

### **Step 1 - Summary Information**

Section I, Summary Information, must be completed for all employees. The rating official should note the informed sources from which the data was gathered, by marking the appropriate boxes. The Summary Statement on page 1 of the Evaluation Form should not be completed until after each skill area has been evaluated, and the accomplishment of objectives has been assessed.

### **Step 2 - Anticipated Results and Performance Measures**

Section II, Anticipated Results and Performance Measures, is used to record the employee's work objectives and performance measures and to assess the extent to which each objective was accomplished. The employee and the rating official establish the objectives and performance measures within the first 30 days of the rating period, which then be reviewed by the Appraisal Committee. The objectives should be clearly linked to the goals of USAID and the work unit.

When developing work objectives and performance measures, the following actions should be taken:

- ✓ Rating official outlines the relevant work objectives and performance measures
- ✓ Rating official and employee define individual objectives that are explicitly linked to organizational objectives and document them on the form
- ✓ Objectives must include specific objectives and continuing/ongoing responsibilities for Foreign Service, and critical and non-critical elements must be identified for Civil Service
- ✓ Rating official and employee define a performance measure for each objective at the Effective level of performance
- ✓ Any changes in work objectives or performance measures are documented and approved on the form, including date of revision.

Once the objectives and performance measures are defined, the employee, the rating official, and Appraisal Committee Representative must sign the relevant page. At the mid-cycle review, the objectives are revisited and any revisions are documented on the form, along with an explanation of special circumstances. At the conclusion of the mid-cycle review, the rating official and employee must sign off on the relevant page to document the occurrence of the review.

At the end of the annual evaluation cycle, the rating official must appraise the extent to which the employee accomplished each of his/her objectives during the rating period using the established performance measures. Both the rating official and the employee should take notes on these accomplishments throughout the year. The rating official should describe the accomplishment of objectives in the appraisal portion of Section II and should use specific examples of employee actions as illustrations.

For Civil Service Employees, the rating official must include in the evaluation for each employee a rating of how effectively he/she accomplished each of the work objectives established at the beginning of the rating period. The following "Rating Scale for Work Objectives and Skill Areas" is to be used to rate each employee on the accomplishment of objectives for each element.

RATING SCALE FOR WORK OBJECTIVES (Civil Service) AND SKILL AREAS (all employees)	
<b>Exceptional</b>	Work performance or a specific skill almost <i>always</i> exceeds expectations
<b>Effective</b>	Work performance or a specific skill consistently meets, and <i>occasionally</i> exceeds, expectations
<b>Needs Improvement</b>	Work performance or a specific skill meet <i>some</i> expectations, but improvement is needed
<b>Unacceptable</b>	Work performance or a specific skill does <i>not</i> meet expectations
Note: This scale is to be used to be used to rate performance against work objectives for Civil Service employees and specific skill areas for all employees.	

Below is an example of a work objective, performance measure, and appraisal. For the Civil Service, all work objectives are critical elements unless it is expressly stated otherwise. When completing an evaluation of a work objective and performance measure for a Civil Service employee, the appraisal must include a statement of the adjectival rating of performance using the scale above. (Annual Evaluation Form, Section II)

<p><b>Work Objective 1.</b> Provide technical and policy assistance in the drafting to the appropriate GOK agencies and legislative bodies resulting in the revision of land tenure codes.</p> <p><b>Performance Measures:</b> In collaboration with Strategic Objective team, plan and implement first in series of land tenure seminars for appropriate GOK officials, village leaders, NGOs, and legal consultants, resulting in formation of Land Tenure Reform Team (LTRT) by September 1995. Organize fact-finding trip for LTRT member to Iconoland to observe land tenure change implementation by November 1995. Present LTRT draft legislation to first session of parliament in January 1996. Provide support as necessary to LTRT and others to help in securing passage of the legislation by end of session in March 1996 or as soon as possible thereafter.</p>
<p><b>Appraisal.</b> Pat effectively served as the team leader for the LTRT. Consistent feedback from other team members pointed to Pat's relentless pursuit of the final objective and strong abilities at consensus building. Within the context of the local political situation it was unreasonable to expect passage of the measure during this legislative session. The initial land tenure reforms seminars were well prepared, and universally well received by all participants. The seminars brought to the surface the polarized sensitivities surrounding this issue. In spite of the seeming impossibility of the task, Pat used the Iconoland trip to clarify many issues and build strong team drive to carry them through the arduous drafting and re-drafting of the new land tenure code. Though the current political climate precluded passage of the measure in this session, the SO team is confident that with Pat's follow-up, next session will provide the needed success.</p>

### Step 3 - Specific Skill Areas

The next section of the Evaluation Form, Skill areas, is for the rating official to evaluate the employee on the following six areas:

Quality of Work  
Leadership

Management  
Staff Development

Teamwork/Interpersonal Skills  
Professionalism

The primary purpose of these skill areas is to provide the employee with feedback on the overall quality of their performance above and beyond their performance in specific work objectives. These Specific Skill areas are defined in the Performance Guidelines section of this guidebook. The Specific Skill areas are rated using the above "Rating Scale for Work Objectives and Skill Areas".

#### Notes about Specific Skill Areas:

- ✓ The rating in these skill areas are not to be factored into the Summary Rating for Civil Service employees.
- ✓ Certain skill sub-areas are considered mandatory for all USAID employees.
- ✓ Employees should be evaluated at their current grade level.

When completing each of the ratings, the rating official should:

- ✓ Carefully review the definition of each skill area and sub-area
- ✓ Refer to the Performance Guidelines chart and the Important Skills for Promotion in the Senior Classes chart for examples of appropriate behaviors in various grade categories
- ✓ Provide specific examples of behaviors that relate to each performance sub-area
- ✓ Explain the rationale for any ratings of Needs Improvement or Unacceptable.

#### **Step 4 - Summary Skill Areas and Summary Statement**

When the rating official has completed Sections II and III on the Annual Evaluation Form, the Rating Official next prepares a statement summarizing the employee's performance over the rating cycle. This summary should include a summary of the employee's job performance over the rating cycle, including mention of the context in which the work was performed, achievements that may not have been captured in the employee's established work objectives, and other noteworthy events that impacted on the employee's performance.

#### **Deriving a summary Rating (Civil Service)**

In deriving the summary rating the rating official should review the appraisal of each work objective and assign the summary rating that most accurately reflects the employee's overall job performance. The summary rating must be consistent with and supported by the ratings of work objectives.

**Exceptional (Level 5):** A summary rating at this level must be supported by Exceptional ratings on the critical elements, with no more than one critical element rated at the Effective level. The majority non-critical elements must be at the Exceptional level, with no more than one at the Effective level and none lower than the Effective level.

**Effective (Level 3):** A summary rating at this level must be supported by Effective ratings, or better, on the critical elements, with no more than one critical element rated at the Needs Improvement level. The majority of non-critical elements must be rated Effective or higher, but none less than the Needs Improvement level and none lower than the Needs Improvement level.

**Needs Improvement (Level 2):** A summary rating at the Needs Improvement level must be assigned when two or more critical elements are rated at the Needs Improvement level. Non-critical elements may be a mix of ratings.

**Unacceptable (Level 1):** A rating of this level must be assigned if any work objective designated as a critical element is rated at the unacceptable level. Non-critical elements may be a mix of ratings..

Next, the Rating Official should summarize the specific skills areas in Section III in the Summary Skill Areas in Section I. This summary should reflect the specific skill areas rated in Section III, but the means of summarizing this information is left up to the rating official and the Appraisal Committee. Recognizing that the importance of a specific skill area may be greater than another one for an employee in a particular position, the Rating Official should use his/her judgement in preparing the summary. The narrative section beneath the summary provides the Rating Official with an opportunity to briefly comment on the employee's particular skills and how the employee's strengths and weakness in these skill areas impacted on the employee's performance during the rating cycle. In completing this section, the rating official should be cognizant of the changing importance of skills for different grades, and give greater emphasis to important skills. For example, the importance of interpersonal skills increases as an employee moves up the ranks. The focus shifts from technical expertise to interpersonal, management and leadership skills, because it is assumed that the employee is already proficient in the basic technical/professional skills.

Guidelines for Summary Skill Areas	
Order of Importance at Junior/Mid-levels (FS Class 2 & Below, GS Grade 13 & Below)	Order of Importance at FS Class 1, GS Grade 14 & 15, and SFS
<ol style="list-style-type: none"> <li>1. Professionalism/Quality of Work/Management</li> <li>2. Teamwork/Interpersonal Skills</li> <li>3. Leadership</li> <li>4. Staff Development</li> </ol>	<ol style="list-style-type: none"> <li>1. Teamwork Interpersonal Skills/Leadership</li> <li>2. Staff Development</li> <li>3. Management</li> <li>4. Professionalism/Quality of Work</li> </ol>

### Career Development Worksheet

During the employee feedback session, the employee and rating official should complete the Career Development Worksheet. The Career Development Worksheet is important to all employees, and should be completed or updated annually for employees at the FS-3/GS-13 grade and below. Above these grades the worksheet may be completed at least every other year. This sheet is included with the Annual Evaluation Form; it is to be detached and sent directly to the Career Development Office.

On the worksheet, the employee should identify his/her current career goals and discuss progress made toward reaching those goals in the rating period. These goals should include both short-term and long-term objectives. The second part of the worksheet is to be used to list the employee's developmental needs and identify actions that can be taken to meet those needs.

To better identify developmental needs and actions, the employee and rating official should:

- Review evaluation results and feedback received at other times (e.g., mid-cycle review)
- Examine the employee's career goals, disappointments, motivations, and frustrations
- Identify the employee's personal strengths and accomplishments
- Outline challenging, attainable, measurable outcomes
- Identify actions such as training and work assignments that could enhance the employee's professional competence
- Determine a reasonable time-frame for the accomplishment of the developmental actions

### Supplementary Evaluation Form

This form is to be completed for all Senior Foreign Service employees, overseas SMG officers (e.g. Mission Directors) and all Foreign Service employees who are being nominated for promotion and/or being considered for tenure. If an employee is up for tenure and promotion during the same rating period, the rating official may send one copy of the form to the Selection Board and one copy to the Tenure Board, or may complete two separate forms.

#### Step 1 - Summary Information

When completing Section I, Summary Information, the rating official should note the different sources of input into the employee's appraisal.

## **Step 2 - Skills, Strengths and Potential**

In this space, the rating official should provide information about the employee's specific skills, strengths and potential. The purpose of this section is to provide detailed information to support the promotion and/or tenure recommendation. In completing this section, the rating official should:

- ✓ Describe the knowledge, skills, and abilities that the employee possesses
- ✓ Provide specific examples of employee actions to support the ratings given on the skill areas.
- ✓ Discuss how well the employee accomplished his/her objectives referencing the performance measures
- ✓ Describe the employee's contributions to the organization's goals
- ✓ Provide specific examples of employee actions.
- ✓ Reference the Performance Guidelines to identify the knowledge, skills, abilities, and behaviors necessary for effective performance at the FS 01 class (for tenure candidates) or in the grade to which the employee is being recommended (for promotion candidates)
- ✓ Describe the employee's potential to perform at the relevant level through discussing the appropriate knowledge, skills, and abilities the employee possesses
- ✓ Refer to the Important Skills for Promotion into the Senior Classes when identifying candidates for promotion into Officer Counselor Class, Minister-Counselor Class, and Career Minister Class.
- ✓ Refer to the precepts (promotion or tenure) as detailed in the appropriate USAID Handbook chapter.

## **Performance Standards Board (PSB) Recommendation Memorandum**

The designated rating official (or other officer designated by the Appraisal Committee) must write a memorandum for all Foreign Service employees who are being recommended for PSB action. This memo should provide sufficient evidence to support the recommendation to the PSB. The employee and the rating official will sign the memorandum and forward it to the Appraisal Committee for review. The rating official should follow these guidelines when drafting the memorandum:

- ✓ Reference the Employee Performance Problem Factors outlined in this Guidebook for types of evidence to present
- ✓ Cite specific examples where the employee did not meet an work objective during the rating period or had an unacceptable rating on a skill area
- ✓ Describe clearly the notification that was given to the employee during the mid-cycle review session
- ✓ Reference any notice of unacceptable performance that was developed with the employee to remedy performance problems
- ✓ State the results of the employee's corrective actions
- ✓ Describe specific examples of behavior to support the PSB recommendation
- ✓ Discuss any special or mitigating circumstances.

## **Employee Statement**

The purpose of the Employee Statement is to provide employees the opportunity to respond to issues with respect to their evaluations and/or speak directly to the Selection Boards. The Employee Statement is found on the last page of the Evaluation Form and should be attached to the appropriate documentation that is sent to the Selection, Tenure, or Performance Standards Boards.

**Responsibilities, Achievements, Mitigating Circumstances**

The employee should briefly describe his/her role and responsibilities during the rating period, how they led to the accomplishment of objectives, and any mitigating circumstances.

**Issues with Performance Evaluations, Promotion Nominations or PSB Recommendations**

The next section of the Employee Statement provides an opportunity to address any issues that the employee has with his/her Evaluation Form, Supplementary Evaluation Form, or PSB recommendation memo. The employee's comments will not change the content of these documents.

**Performance Guidelines**

The charts on the following pages present the specific skill areas to be rated in Section III of the AEF. Examples of guidelines for each skill area are provided, separated into three categories of grade levels: SFS, FS 01/02 and GS 15/14, and FS 03 - GS 13 and below. These are examples of behaviors and actions that would be deserving of an "Effective" rating for the particular sub-area. The examples may not apply to all positions. The intent is to provide a measure against which to compare the employee's performance. This chart should be used when evaluating an employee on the specific skill areas in the Evaluation Form and when completing the additional documentation, by referencing the appropriate level of the employee being rated.

The charts may also be used for determining the promotion potential of an employee. For this use, the rating official should reference the grade level to which the employee is being considered for promotion.

## USAID Performance Guidelines

<b>Quality of Work</b>			
<p>Translates technical and program skills into results that support USAID core objectives. Utilizes understanding of U.S. foreign policy and major global issues to promote sustainable development. This skill area reflects the <i>application</i> of knowledge and skills. Consider both the level of knowledge/skills the employee possesses, as well as the use of the knowledge and skills.</p>			
Skill Area	SFS/SES	FS 01/02, GS 14/15	FS 03, GS 13 and below
<p><b>Development Assistance Knowledge</b></p>	<p>Formulates development assistance concepts, goals, and objectives and applies an understanding of global, economic, political, and social trends to guide the operational unit.</p> <p>Directs and applies USAID core values to attain U.S. national interests and objectives.</p>	<p>Utilizes an understanding of development assistance issues and their interrelationships to develop and oversee activities.</p> <p>Utilizes broad knowledge of Agency policies and priorities to manage for results.</p>	<p>Understands and applies development assistance theories and strategies to address major global development issues in conducting work.</p> <p>Develops and uses knowledge of Agency strategies to implement development programs.</p>
<p><b>Technical Skills</b></p>	<p>Ensures that technical skills within the operational unit are aggressively used to achieve Agency objectives.</p> <p>Displays expertise in own work.</p> <p>Communicates effectively in at least one, and preferably two, foreign languages.</p>	<p>Applies content, policies, and advanced requirements of a professional discipline to achieve Agency strategic objectives.</p> <p>Displays expertise in own work.</p> <p>Communicates effectively in at least one, and preferably two, foreign languages.</p>	<p>Applies content, policies, and requirements of a professional discipline to achieve Agency and operational unit strategic objectives.</p> <p>Displays expertise in own work.</p> <p>Communicates effectively in at least one foreign language.</p>
<p><b>Analytical Skills</b></p>	<p>Determines appropriate approaches for achieving and exceeding goals for USAID priority areas.</p> <p>Evaluates the effectiveness of operational unit activities, provides recommendations, and directs the attainment of results.</p>	<p>Uses analytical skills to assess targets of opportunity for achievement of significant development assistance results, and makes recommendations on where those results can be expected to produce sustainable developmental impact.</p>	<p>Uses analytical skills to assess where development assistance can achieve significant results, and where those results can be expected to produce sustainable developmental impact.</p>

## USAID Performance Guidelines

<b>Quality of Work (con't.)</b>			
<b>Skill Area</b>	<b>SFS/SES</b>	<b>FS 01/02, GS 14/15</b>	<b>FS 03, GS 13 and below</b>
<b>Written Communication Skills</b>	<p>Prepares or approves excellent written products designed to motivate and persuade USAID/W, the U.S. mission, the host government, and other partners in the achievement of measurable and sustainable results.</p> <p>Provides internal written guidance to motivate, encourage, and enable organizational unit to achieve results. Conveys information clearly and accurately to appropriate parties.</p> <p>Communicates effectively in the host country language, as required.</p>	<p>Prepares strategic plans and other written materials in an organized, succinct, and comprehensible manner, and appropriate for the target audience.</p> <p>Communicates effectively in the host country language, as required.</p>	<p>Prepares strategic plans and other written materials in a succinct, organized, and comprehensible manner.</p> <p>Communicates effectively in the host country language, as required.</p>

## USAID Performance Guidelines

<b>Management</b>			
Allocates and monitors usage of financial and physical resources within actual span of control. Understands and effectively implements USAID business processes. Exercises good judgment, anticipates future requirements, develops plans, and establishes priorities. Evaluates progress and identifies ways to improve performance.			
Skill Area	SFS/SES	FS 01/02, GS 14/15	FS 03, GS 13 and below
Planning/ Programming	<p>Establishes goals and priorities for operational unit within the context of USAID's strategic objectives, using knowledge of a variety of geographic and/or functional areas and USAID priority development areas.</p> <p>Defines the strategic management framework for the organization and articulates the measurable results the agency expects to achieve.</p> <p>Allocates resources against relevant factors (e. g., priority sectors, geopolitical considerations, country sustainable development concerns, and desired agency-wide results), and identifies performance indicators.</p>	<p>Formulates and oversees implementation of strategic objectives in USAID priority areas.</p> <p>Prepares planning strategies and analyses, such as strategic plans, monitoring and evaluation plans, specific results frameworks, etc., within immediate operating unit and/or for parent organization.</p> <p>Understands the concepts of strategic management and uses these concepts in implementation.</p>	<p>Plans and designs individual work in the context of strategic planning and management.</p> <p>Prepares planning strategies and analyses, such as strategic plans, monitoring and evaluation plans, specific results framework, etc. , within or for the operating unit.</p> <p>Develops and outlines results package options.</p>
Budgeting	<p>Develops operational unit R4* and accountability systems.</p>	<p>Provides input into R4* for areas of responsibility.</p> <p>Assists with developing accountability systems.</p>	<p>Develops working knowledge of the budget cycle and provides input into R4* , as requested.</p> <p>Reviews USAID, host country, and other resources available to meet programming needs.</p>
Contract/Grant Management	<p>Establishes performance-based contracting and procurement guidelines within the operational unit.</p> <p>Develops and/ or oversees operational unit's contracts and grants/cooperative agreements strategy to further the Agency's operations.</p> <p>Ensures that Gray Amendment process is utilized in a proactive manner within the operational unit by identifying and seeking opportunities.</p>	<p>Provides policy and technical guidance to contractors and grantees on performance-based contracting.</p> <p>Identifies opportunities for contracting out functions or issuing grants.</p> <p>Negotiates terms of contracts AND grants/cooperative agreements using streamlined procurement methods.</p>	<p>Manages contracts or grants through providing technical or administrative oversight.</p> <p>Develops an understanding of performance-based contracting and procurement.</p>

\*R4: Results Report and Resource Request

## USAID Performance Guidelines

<b>Management (con't.)</b>			
<b>Skill Area</b>	<b>SFS/SES</b>	<b>FS 01/02, GS 14/15</b>	<b>FS 03, GS 13 and below</b>
<b>Financial and Resource Management</b>	<p>Tracks and ensures Agency financial and physical resources, including local currency, are used appropriately and aggressively in furtherance of USAID priority development assistance goals.</p> <p>Identifies resource needs and presses to ensure the availability of those resources necessary to meet the objectives of the program.</p> <p>Assures that appropriate internal controls exist.</p> <p>Defines financing options for desired program activities.</p>	<p>Monitors expenditures to ensure cost-effective support of activities and policies.</p> <p>Identifies need for and monitors use of physical resources.</p> <p>Reviews and clears vouchers.</p> <p>Prepares for audits.</p>	<p>Monitors contractor/grant expenditures to ensure appropriate use of resources.</p> <p>Tracks results packages and results framework progress; improves cost effectiveness and productivity when possible.</p> <p>Reviews and clears vouchers.</p> <p>Prepares for audits.</p>
<b>Evaluation/ Performance Monitoring</b>	<p>Develops program performance information for strategic management plans, to assess operational unit performance.</p> <p>Uses evaluation process to assure accountability, to improve program management, and to improve partner's understanding of development.</p>	<p>Develops program performance information for strategic management plans, to assess operational unit performance.</p> <p>Uses evaluation process to assure accountability, to improve program management, and to improve staff understanding of development.</p>	<p>Monitors and evaluates own work, and work of others, with respect to the program performance information for Strategic Management Plan.</p> <p>Uses evaluations to improve program management and to improve understanding of development.</p>

## USAID Performance Guidelines

<b>Teamwork/Interpersonal Skills</b>			
Creates and maintains effective working relations with other USAID staff, host country citizens, other U.S. and foreign government organizations, and representatives of donor institutions and non-government organizations. Works in a collaborative, inclusive, team-oriented manner, valuing diversity and equality of opportunity for all persons. Allocates time and effort effectively to meet needs of multiple teams.			
Sub-area	SFS/SES	FS 01/02, GS 14/15	FS 03, GS 13 and below
Cultural Sensitivity	<p>Identifies and manages culture shock; guides others in operational unit in adapting to a new environment.</p> <p>Assures an atmosphere of acceptance of, and promotes sensitivity to, differences in individual customs, mores, and beliefs.</p> <p>Strives to assure diversity in the workplace.</p>	<p>Guides subordinates in adjusting to new cultural environments.</p> <p>Identifies and manages culture shock.</p> <p>Demonstrates a sensitivity to differences in individual customs, mores, beliefs.</p> <p>Assures diversity in the workplace.</p>	<p>Analyzes and works effectively in new cultural contexts and environments.</p> <p>Demonstrates a sensitivity to differences in individual customs, mores, beliefs.</p> <p>Assures diversity in the workplace.</p>
Conflict Resolution Skills	<p>Presents and defends USAID's interests to foreign governments, other USG agencies, donors, the congress, stakeholders, etc.</p> <p>Considers all options and makes decisions acceptable to the key parties (e.g., high-level host country and U.S. government officials).</p>	<p>Achieves cooperation of parties to obtain information and to negotiate to find mutually rewarding goals, such as negotiating assistance agreements with the host country.</p> <p>Demonstrates ability to resolve conflicts.</p>	<p>Represents and defends the interests of all appropriate parties.</p> <p>Considers all options and makes decisions acceptable to key parties.</p> <p>Demonstrates ability to resolve conflicts.</p>
Oral Communication Skills	<p>Serves as principal spokesperson for USAID in a foreign country or for a particular geographic, technical, or functional area in USAID/W.</p> <p>Maintains effective communications with customers, stakeholders, and stakeholders (e.g., clients, counterparts, intermediaries, etc.).</p>	<p>Serves as spokesperson for a sector or functional area of expertise.</p> <p>Facilitates an open exchange of ideas among clients and others.</p>	<p>Serves as spokesperson for a sector or functional area of expertise.</p> <p>Verbally expresses ideas and facts effectively to individuals and groups.</p> <p>Facilitates an open exchange of ideas among clients and others.</p>

## USAID Performance Guidelines

<b>Teamwork/Interpersonal Skills (con't.)</b>			
<b>Sub-area</b>	<b>SFS/SES</b>	<b>FS 01/02, GS 14/15</b>	<b>FS 03, GS 13 and below</b>
<b>Collaborative Skills</b>	<p>Builds and manages results-oriented teams.</p> <p>Assesses own impact on the operational unit and/or the host country.</p> <p>Encourages feedback and empowerment to facilitate strategic planning.</p>	<p>Manages group processes, delegates authority for empowering employees, and fosters commitment to teams.</p> <p>Assesses own impact on subordinates, host-country citizens, USAID relations with other agencies, etc.</p>	<p>Works effectively as a team manager or team member to assure achievement of measurable results.</p> <p>Maintains awareness of own impact on others (e.g., USDHs, foreign service nationals, personal service contractors, etc.).</p>
<b>Adaptability/ Flexibility</b>	<p>Leads organizational unit in the effective achievement of results, under changing conditions and shifting priorities.</p> <p>Demonstrates versatility based on experience in various geographic and non-geographic bureau assignments, as well as a variety of functional specialty area assignments.</p>	<p>Responds appropriately to changing conditions and shifting priorities.</p> <p>Demonstrates versatility based on work in various geographic and non-geographic bureau assignments, as well as various functional specialty areas assignments.</p>	<p>Adjusts behavior appropriately in response to changing conditions.</p> <p>Allocates time and effort, as needed, to multiple teams.</p>

## USAID Performance Guidelines

<b>Leadership</b>			
<p>Inspires, motivates and guides others toward the achievement of USAID goals. Serves as a mentor. Understands USAID mission and effectively interprets and applies policies. Maintains standards of excellence for self and others. Demonstrates initiative.</p>			
Sub-area	SFS/SES	FS 01/02, GS 14/15	FS 03, GS 13 and below
Direction/ Vision	<p>Effectively defines and articulates the vision of the agency and operational unit.</p> <p>Identifies and acts on opportunities to move the operational unit toward the vision.</p> <p>Motivates staff effectively to achieve the highest USAID objectives.</p>	<p>Contributes to achievement of Agency and operational unit vision through enlightened management of the work of subordinate staff and through the performance of one's own work.</p> <p>Contributes to defining operational unit direction/vision.</p>	<p>Understands and contributes to the Agency and operational unit's vision and identifies and pursues one's own role in advancing the vision.</p>
Work Principles	<p>Defines and maintains high performance standards that reflect positively both the Agency's objectives and the values of the organization.</p> <p>Expects and elicits a high level of performance from employees of the operational unit.</p>	<p>Exhibits high performance standards that reflect both the Agency's objectives and the values of the organization.</p> <p>Motivates subordinate staff to provide a high level of performance.</p>	<p>Exhibits high performance standards that reflect both Agency objectives and the values of the organization.</p>
Initiative	<p>Actively leads the organization.</p> <p>Pursues calculated risks and utilizes innovative strategies to improve the overall functioning of the operational unit.</p> <p>Identifies and responds to changes in key trends that affect the functioning of the agency and the operational unit.</p>	<p>Identifies opportunities for new results package(s) or opportunities to redesign existing results package(s) in order to improve the chances for sustained development.</p> <p>Takes calculated risks to increase the Agency's effectiveness in meeting its goals.</p>	<p>Actively approaches work assignments in a results-oriented manner.</p> <p>Is willing to take intelligent risks.</p> <p>Identifies opportunities for improvement of work processes and performance of one's own assignment.</p>
Motivating Others	<p>Energizes staff to achieve both personal and Agency goals.</p> <p>Identifies and uses resources to reward and motivate key performers.</p> <p>serves as a mentor to subordinate staff and others.</p>	<p>Inspires and motivates staff to accomplish strategic objectives of operational unit.</p> <p>Serves as a mentor to peers, subordinates, and others.</p>	<p>Motivates contractors, foreign service nationals, and other USAID employees to successfully complete tasks.</p> <p>Serves as a mentor, seeks opportunities to share knowledge and experiences with others.</p>

## USAID Performance Guidelines

<b>Leadership (con't.)</b>			
<b>Sub-area</b>	<b>SFS/SES</b>	<b>FS 01/02, GS 14/15</b>	<b>FS 03, GS 13 and below</b>
Change Management	<p>Establishes effective methods for implementing organizational change (e.g., reorganization of an office, an increased focus on another sector, etc.).</p> <p>Identifies and overcomes resistance to change, both within and outside the operational unit.</p>	<p>Identifies functional or other areas needing modification.</p> <p>Integrates new technology into the workplace.</p> <p>Identifies barriers to change and utilizes appropriate methods for overcoming them and for improving performance.</p>	<p>Anticipates changes in the organizational and external surroundings, and adjusts work of self, contractors, and foreign service nationals to respond appropriately.</p>

## USAID Performance Guidelines

### Staff Development

Promotes career growth of subordinates and provides professional development opportunities in an equitable manner. Provides effective and timely performance feedback and thorough, accurate and timely performance evaluations. Establishes and communicates objectives of assignments. Staff Development responsibilities include interactions with all employees, including direct hires, foreign service nationals, and personal service contractors.

Sub-area	SFS/SES	FS 01/02, GS 14/15	FS 03, GS 13 and below
Goals/ Objectives Identification	<p>Coordinates and integrates communication throughout the organization, outlining Agency strategic objectives and establishing and articulating objectives and goals for the unit.</p> <p>Defines operating unit strategic objectives and delineates objectives for subordinate organizations and individual employees, identifying their roles and responsibilities in contributing to the achievement of greater agency objectives.</p>	<p>Establishes results framework with employees to achieve the Agency's mission and the operating unit's strategic objectives.</p> <p>Establishes individual employee work objectives, with employee input, that support the operating unit's overall strategic objectives.</p>	Articulates strategic objectives clearly, outlining expected results and performance expectations for subordinates, contractors, foreign service nationals, and other USAID project team members.
Availability/ Approachability	Remains accessible to employees of the operational unit and is responsive to the concerns of individuals.	Is always accessible to coworkers and subordinates and is responsive to individual concerns.	Stays accessible to others and is responsive to individual concerns.
Performance Evaluations	<p>Provides timely, accurate, and constructive evaluations of performance to staff of the operational unit.</p> <p>Uses information from EEP to make Agency management decisions.</p>	Provides timely, accurate, constructive input into performance evaluations for subordinates, contractors, foreign service nationals, and direct hires, as appropriate.	Provides timely, accurate, constructive input into performance evaluations for subordinates, contractors, foreign service nationals, and direct hires, as appropriate.
Enhancement of Subordinate Growth	<p>Establishes and maintains a climate that stimulates and enhances professional and personal development.</p> <p>Displays an ongoing commitment to the growth of individual employees, and of the service as a whole.</p> <p>Develops capabilities of staff by providing opportunities and by sharing expertise.</p> <p>Maintains an awareness of succession planning.</p>	<p>Oversees the career development of subordinate employees, as a group and individually.</p> <p>Serves as a coach and as a facilitator of improved staff performance.</p> <p>Shares power and authority, as well as rewards for achievements, with staff.</p>	<p>Encourages other employees (including direct hires, contractors, and foreign service nationals) to participate in activities that will improve their skills.</p> <p>Shares knowledge and experience with coworkers to enhance learning.</p>

## USAID Performance Guidelines

<b>Staff Development (con't.)</b>			
<b>Sub-area</b>	<b>SFS/SES</b>	<b>FS 01/02, GS 14/15</b>	<b>FS 03, GS 13 and below</b>
EEO Knowledge and Implementation	Provides direction and leadership for USAID's EEO and diversity programs, as they apply to the organization(s) supervised and as they apply to the agency as a whole, to ensure that they are implemented aggressively and creatively, throughout the Agency.	Implements USAID's EEO and diversity programs pro-actively in areas of direct responsibility and uses personal influence to assure they are applied in as broad a manner as possible.	Understands and implements USAID's EEO and diversity programs, to the maximum extent possible.  Adheres to EEO laws, regulations, and principles.

## USAID Performance Guidelines

<b>Professionalism</b>			
Competently accomplishes work tasks. Demonstrates reliability and accepts responsibility. Represents U.S. government appropriately.			
Sub-area	SFS/SES	FS 01/02, GS 14/15	FS 03, GS 13 and below
<b>Customer Service</b>	<p>Accurately assesses the desires, needs, and expectations of customers, and stakeholders.</p> <p>Meets or exceeds, where possible, all customer expectations and develops and maintains positive work and personal relationships, where appropriate.</p> <p>Identifies approaches to continually enhance the quality of services provided by the organization.</p>	<p>Accurately assesses the needs and expectations of customers, and stakeholders.</p> <p>Meets all customer expectations, where possible, and develops and maintains positive professional relationships.</p> <p>Identifies approaches to continually enhance the quality of services provided.</p>	<p>Accurately assesses the needs and expectations of customers, and stakeholders.</p> <p>Meets customer expectations and develops and maintains positive relationships.</p> <p>Identifies approaches to continually enhance the quality of services provided.</p>
<b>Reliability</b>	<p>Regularly and competently fulfills role as advocate, spokesperson, supervisor, leader, mentor, and friend.</p> <p>Can be relied upon to address the challenges facing the successful functioning of the operational unit.</p>	<p>Regularly and competently completes job assignments.</p> <p>Can be relied upon to address challenges to the operational unit.</p>	<p>Regularly and competently completes assigned or required tasks.</p> <p>Accepts increased responsibility.</p>
<b>Time Management</b>	<p>Manages the work of the operational unit in a competent manner, utilizing all resources available for the achievement of agency and organizational goals.</p> <p>Organizes and completes activities in an efficient manner.</p>	<p>Manages personal and staff time efficiently.</p> <p>Organizes and completes activities in an efficient manner.</p>	<p>Manages personal work time efficiently.</p> <p>Organizes and completes activities in an efficient manner.</p>
<b>Professional Conduct</b>	<p>Clearly exhibits professional and respectful demeanor during interactions with others, and copes effectively with stressful situations.</p> <p>Represents USAID to foreign governments, other us government agencies and other donors, the congress, partners, and other stakeholders and organizations in an effective and convincing manner.</p>	<p>Exhibits a clearly professional demeanor during interactions with others and copes effectively with stressful situations.</p> <p>Represents the operational unit to other offices and organizations in a highly effective manner.</p>	<p>Exhibits a professional demeanor during interactions with others and copes effectively with stressful situations.</p>