

April 6, 2005

This change to the *Corporation Personnel System Handbook* revises certain policies governing the performance management system for executives, managers and supervisors. Effective immediately, this policy supersedes those which were approved on June 22, 2004. Pages 53 through 75 of *The Handbook*, which is accessible from the Human Capital Website, incorporates the updated policy.

EVALUATING MANAGERIAL PERFORMANCE

A. OVERVIEW

1. What does this policy do?

The Managerial Appraisal System (MAS) established through this policy reinforces the Corporation's commitment to building a strong and positive performance culture. It provides a tool for holding executives, managers and supervisors accountable and serves as the basis for making important human capital decisions.

2. Who is covered by the policy?

All Corporation executives, managers and supervisors under the Alternative Personnel System (APS) or the General Schedule (GS) are covered by this policy, except employees in the Office of the Inspector General. All covered positions include formal responsibility for supervising other employees. However, managers and executives also have other critical program management and leadership responsibilities. (Appendix 1 describes the leadership competencies applicable to Corporation executives, managers and supervisors and links them to broad Corporation goals, as well as the generic performance elements and objectives set forth in this policy.)

For clarity, the policy uses the term "Manager" to encompass all executives, managers and supervisors, unless otherwise noted.

3. What is the Corporation's policy on managerial performance appraisal?

In order to deliver effective results for its customers and energize its employees, the Corporation needs top-notch Managers. The MAS will help ensure management accountability by:

- a. Aligning organizational goals and managerial performance;
- b. Building and supporting a corporate culture that (1) highlights transparency in decision-making, (2) emphasizes accountability to stakeholders, and (3) builds credibility among customers and employees;

- c. Focusing on results-oriented accomplishments that can be measured or otherwise verified;
- d. Establishing meaningful distinctions in levels of performance;
- e. Strengthening the link between managerial performance and compensation decisions;
- f. Providing a means to document and appropriately deal with poor performance;
- g. Helping instill a culture that fosters continuing organizational improvement; and,
- h. Enhancing communication about performance expectations and achievements.

4. What is the legal authority for the Corporation's MAS?

Congress gave the Corporation legal authority to devise and maintain its own excepted service personnel system, generally distinct from the common “title 5” personnel system set forth for many federal agencies. 42 U.S.C. §12651f(b). This system is commonly referred to as the Corporation’s Alternative Personnel System (APS). The Corporation’s APS legal authority allows the Corporation to manage the performance of Managers, and to apply the MAS to all Corporation Managers, regardless of whether they hold an APS or GS appointment.

Also, the APS authority requires that the Corporation make each Manager’s job performance a basis for his or her compensation. Thus, the compensation of Managers is tied to their performance.

Moreover, as a part of the Corporation’s APS authority, performance-based adverse actions that the Corporation may undertake against less than fully successful Managers are subject to “title 5” federal personnel law and regulations regarding employee-based adverse actions. (See 5 U.S.C., Ch. 75; 5 CFR Part 752), not “title 5” federal performance management law and regulations, which apply to most other Federal agencies. (See 5 U.S.C. Ch. 43; 5 CFR Parts 430 and 432.)

5. Definitions

- a. Days. Are calendar days.
- b. Performance Appraisal Cycle. The minimum appraisal period is 90 days. Typically, the period for which performance is monitored and a rating of record prepared is October 1st through September 30th. However, if at any time, a Manager’s performance is less than fully successful, the appraisal period can be closed and a rating of record prepared.
- c. Performance Elements. The 5 leadership categories against which all Managers are appraised. The five performance elements are (1) Results Driven, (2) Leading Change, (3) Leading People, (4) Business Acumen, and (5) Building Coalitions/Communications.

(NOTE: These elements support the Corporation's strategic goals and reflect the 5 leadership competency groups established by the Office of Personnel Management.)

- d. Performance Objectives. The performance expectations associated with the five performance elements. The performance objectives common to most, but not all, Corporation executives, managers and supervisors are identified on Form MAS (Appendix 2). In addition, the Rater should establish additional job-specific performance objectives which document expectations for the appraisal period. These performance objectives should reflect the Manager's responsibility for key organizational goals.
- e. Performance Plan. A summary of what a Manager is expected to accomplish during the appraisal period and the leadership behaviors they are expected to display. The performance plan is a combination of the 5 generic performance elements, their underlying performance objectives, and the individualized performance objectives established for the Manager.
- f. Progress Review. A discussion between a Manager and his/her rating official documenting the Manager's progress in accomplishing the performance elements and objectives contained in his/her performance plan. Typically conducted in April after the mid-point of the appraisal cycle, the completion of the progress review must be documented in writing.
- g. Manager. The employee whose performance is being documented and rated.
- h. Rater or Rating Official. The immediate supervisor of the Manager. The Rater (1) defines performance objectives, (2) provides ongoing informal and formal feedback during the appraisal cycle, (3) develops ratings of record, and (4) takes action to handle poor performance or reward outstanding performance.
- i. Reviewer. An individual at least one level higher than the Rater who may review and approve each Manager's performance plan and/or rating of record.
- j. Summary Appraisal. An interim appraisal prepared by the Rater whenever a Manager transfers to a new position in the Corporation or another agency. The summary rating will be considered by the new Rater when preparing the rating of record and be maintained in the Manager's Employee Performance File.
- k. Rating of Record. The formal appraisal of the Manager's performance elements and objectives that is required for each appraisal period. This rating combines the rating for each performance element to derive an overall rating of record. As defined in paragraph B.4.f., the rating of record will be either *Outstanding*, *Exceeds Fully Successful*, *Fully Successful*, *Minimally Successful*, or *Unsuccessful*.

6. Who is responsible for what:

- a. The Chief Executive Officer (CEO) is responsible for:

- (1) Implementing the Board-approved strategic direction for the Corporation's programs and activities;
 - (2) Building teams and coalitions in order to fulfill the President's agenda for national and community service programs;
 - (3) Communicating and "cascading" the Corporation's strategic plan, goals, and objectives down through all Corporation personnel;
 - (4) Ensuring that members of the Executive Team support the MAS and discharge their duties according to this policy; and,
 - (5) Using the MAS as a means to accomplish meaningful *results* and thereby drive continuous improvement in the Corporation.
- b. Program Directors and Office Heads are responsible for:
- (1) Supporting the corporate culture, described in A.3.b. above, throughout the entirety of their individual programs or functions;
 - (2) Using the MAS to promote managerial accountability and drive organizational results. Managerial performance plans should include performance objectives that reflect or are linked with the Corporation's strategic and operational goals and objectives;
 - (3) Ensuring that lower level supervisors and managers adhere not only to the requirements of the MAS but also to the Corporation's culture;
 - (4) Acting as a Rater and/or Reviewer in accordance with this policy; and
 - (5) Evaluating the rating profiles of subordinate Raters and Reviewers to facilitate fairness, while ensuring that no predetermined or "forced" distribution of rating levels occurs in their respective organizations.
- c. Reviewers. The second-level supervisor is responsible for:
- (1) Determining whether to review and sign off on the performance plans and/or ratings of record for one or more subordinate Managers, in order to promote organizational effectiveness;
 - (2) Reviewing and signing off on the performance plan and/or rating of record for any Manager who requests such a review; and
 - (3) Being involved, as appropriate, when action is required for Managers whose performance is *Minimally Successful* or *Unsuccessful*.

d. Raters. First-line supervisors are responsible for:

- (1) Leading and motivating people. Raters have a critical responsibility to support the mission of the Corporation by promoting the corporate culture described in A.3.b. above and holding Managers accountable for achieving strategic goals and objectives;
- (2) Meeting with each Manager before the beginning of the rating cycle to discuss performance expectations, elements and individual objectives so that each Manager thoroughly understands his/her performance plan;
- (3) Ensuring that each Manager has a meaningful opportunity to provide input and/or feedback on the content of his or her performance plan; and understands how the generic MAS performance objectives apply to their particular organization and position;
- (4) Finalizing a written performance plan for each Manager within 45 days of the beginning of each new appraisal cycle or the date a Manager enters a new position;
- (5) Conducting at least one formal progress review with each Manager and documenting the feedback provided during this review on Form MAS;
- (6) Suggesting or considering appropriate training and developmental opportunities to ensure Managers' skills are consistent with their job responsibilities and/or performance elements and objectives;
- (7) Providing continuous informal and/or formal feedback on Managers' performance during the performance appraisal cycle;
- (8) Considering each Manager's self-appraisal, when that option is exercised, as well as any summary appraisals prepared by previous supervisors;
- (9) Giving appropriate consideration to employee and customer input in appraising Managers' performance;
- (10) Accurately appraising Managers' performance and assigning ratings of record that make meaningful distinctions in employees' performance;
- (11) Maintaining thorough, contemporaneous notes and other appropriate documentation that may be necessary to support administrative action when a Manager's performance is *Fully Successful Minus* for any performance element; and
- (12) Initiating appropriate administrative action, with advice, guidance and assistance from the Office of Human Capital, if a Manager's overall performance becomes *Unsuccessful*.

e. Managers are responsible for:

- (1) Leading and motivating people. Managers have a critical responsibility to support the mission of the Corporation by promoting the corporate culture described in A.3.b. above and holding employees accountable for working independently, and as part of a larger organization or work unit, toward achieving strategic goals and objectives;
- (2) Working in good faith toward successful completion of their performance elements and objectives;
- (3) Meeting with their Raters at the beginning of the appraisal cycle to discuss their performance plans and requesting clarification, if needed, so they fully understand them; and,
- (4) Keeping their Rater informed of accomplishments, problems, and/or issues which may affect performance.

f. The Chief Human Capital Officer is responsible for:

- (1) Providing leadership on the MAS, including working with the Executive Team to ensure that the system is used to support organizational goals;
- (2) Periodically reviewing and recommending changes to MAS policies to ensure that the system contributes to the Corporation's strategic goals;
- (3) Developing and maintaining an effective performance management system for non-supervisory personnel to further reinforce the Corporation's commitment to a performance culture;
- (4) Providing training on the MAS;
- (5) Issuing instructions on implementation of the MAS, including processing deadlines;
- (6) Developing and maintaining Employee Performance Files (EPFs) in accordance with 5 CFR Part 293, Subpart D;
- (7) Developing and maintaining data management systems that respond to OPM requirements, and make performance data available in a manner that promotes transparency, without sacrificing employee privacy;
- (8) Advising the CEO and Executive Team on appropriate measures if there is evidence of performance rating inflation or bias against protected employee categories; and

- (9) Serving as a consultant to Managers and Raters by providing advice, guidance, and support on all performance-related matters.

7. What forms are associated with this policy?

Appendix 2 contains Form MAS, the form to be used to implement the Managerial Appraisal System. An electronic version of Form MAS is available at: <http://intranet.cns.gov/hr2/default.htm> (go to: MAS section).

B. PROCEDURES: THE MANAGERIAL APPRAISAL SYSTEM

- 1. Introduction.** Performance management is an ongoing process that consists of: (1) performance planning, (2) monitoring and feedback, and (3) performance appraisal. Policy and procedures for each are described in detail below.
- 2. Performance planning.**
 - a. The performance appraisal cycle for Managers begins October 1st and concludes September 30th of the following year. A new performance plan (Form MAS) is developed for each Manager and put into effect no later than 45 days from the beginning of the performance appraisal cycle, or, in the case of a new or reassigned Manager, within 45 days from his or her start in the position.
 - b. The process of developing a performance plan is a collaboration between the Rater and the Manager being rated. The performance planning process should be used to communicate leadership expectations, as well as the individual Manager's responsibility for the success of his/her unit's goals and objectives. The Manager's position description may provide an outline of broad duties and responsibilities. However, these duties and responsibilities must be translated into specific performance expectations flowing from the Corporation's strategic goals.
 - c. Form MAS outlines the generic performance objectives that apply to most, but not all, Corporation supervisors, managers and executives. The Rater is expected to work with individual Managers to adapt the generic standards to their specific organization and position. This adaptation should include dropping performance objectives that are not relevant, adding others, and tailoring the generic standards to make them more relevant to the organization and position. At the end of the process, the Rater should ensure that he/she and the Manager have a mutual understanding of the performance expectations communicated through the generic and tailored performance objectives.
 - d. The specific organizational goals and objectives the Manager is expected to achieve during the appraisal period will be attached to Form MAS, and assessed under the "Results Driven" performance element. An Individual Work Plan may be prepared to summarize these organizational performance objectives. However, in an effort to avoid

redundancy, it is also appropriate to attach sections of the Corporation or organizational strategic/operating plans for which the Manager is responsible. (NOTE: Since the “Results Driven” element captures the essence of the Manager’s responsibilities, it is considered a “critical element” and is the most heavily weighted in assigning the overall rating of record. In addition to capturing the Manager’s essential responsibilities, “Results Driven” can be used to identify and evaluate progress towards “stretch goals” established to promote organizational improvement.)

- e. Once performance objectives have been identified, defined and discussed to the point that they are fully understood, they are entered onto or attached to Form MAS.
- f. After Form MAS is signed and dated by the Rater, it may be reviewed by the Manager’s second-level supervisor. This optional higher level review may be initiated by the Reviewer or the Manager.
- g. Form MAS is then given to the Manager, who has two (2) days to review, sign, and return it to the Rater. If the Manager declines to sign, the Rater will note "The Manager declined to sign," on the employee signature block and will include his or her initials and date. A Manager’s declination to sign Form MAS does not void the contents or requirements of the Plan.
- h. A copy of the completed performance plan is given to the Manager, and the original is retained by the Rater.
- i. A Manager’s performance plan may be amended by the Rater at any time during the performance cycle when there are substantial or noteworthy changes to job expectations and/or goals and objectives. Changes or amendments may be made either by hand or on the electronic Form MAS and should reflect the Manager’s opportunity to provide input and/or feedback to the changes. If significant changes are made to the performance plan, the Manager must be on the new performance plan a minimum of 90 days before a rating of record can be given.

3. Monitoring and feedback. Performance monitoring and feedback is a continuous process where the Rater monitors each Manager's work and provides informal and/or formal feedback on the progress she/he is making toward achievement of his or her performance elements and objectives. Feedback should be honest and direct; it should include discussion of the Manager's strengths as well as what needs improvement.

- a. A minimum of one *formal* progress review – usually during the month of April -- is required during the performance appraisal cycle. The mid-cycle progress review should address the Manager's actual performance to date. Any problems, experienced or anticipated, must be discussed, either face-to-face, or via telephone. Similarly, positive accomplishments should be discussed, reinforced and documented. A summary of the feedback provided will be documented on Form MAS.

- b. Although a minimum of one formal progress review is required in April, frequent informal and/or impromptu feedback throughout the rating cycle is beneficial and is therefore strongly encouraged. Any additional progress reviews covering substantive issues should be documented on Form MAS.
- c. Each Manager may request additional formal or informal progress reviews, at any time during the rating cycle, whenever he/she feels it would assist meeting performance elements and/or goals and objectives.
- d. Upon completion of the formal mid-cycle progress review, the Manager and Rater sign and date Form MAS. Signature by the Manager denotes that the mid-cycle progress review was conducted but does not necessarily indicate agreement with the review.

4. Performance Appraisal.

- a. At the end of the rating cycle, each Manager who is employed by the Corporation, and has been under a performance plan for at least 90 days, must be given a final, written rating of record. (NOTES: 1) If an employee is Acting in a covered position for the minimum 90 day period, his/her performance during that assignment will be evaluated in accordance with this policy. 2) If a Manager has not been under a performance plan for the minimum 90 days, his or her rating is held in abeyance -- and the rating cycle extended -- until the 90-day threshold has been reached.)
- b. While preparing the rating of record, the Rater should take into account performance indicators, including but not limited to, his or her personal observations of the Manager's performance and behavior, copies of written work performed, the Manager's self-assessment, and/or feedback from customers. Also, when appropriate, Raters should make an effort to solicit employees' feedback and/or input concerning a Manager's performance during the rating cycle.
- c. Optional self-assessments must be completed and submitted to the Rater no later than 14 days after the end of the rating cycle. In addition to describing the Manager's progress in meeting his/her specific organizational and individual performance objectives, the Manager can use the self-assessment to summarize his/her leadership challenges and accomplishments during the appraisal period. Although the Rater need not formally respond to the self-assessment, it will be attached to the rating of record and maintained in the Manager's official Employee Performance File.
- d. The Rater will evaluate each objective in the Manager's performance plan. Each of the objectives will be evaluated against the following descriptors:
 - (1) Fully Successful Plus (FS+). Job performance consistently exceeds that described in the performance objective described for the *Fully Successful* level.
 - (2) Fully Successful (FS). This is the level of performance typically expected for the performance objective.

- (3) Fully Successful Minus (FS-). Overall performance was below that described at the *Fully Successful* level of the performance objective.
- e. After each objective has been assessed, the Rater will assign an overall rating of FS+, FS, or FS- to each of the 5 performance elements. In assigning the overall element rating, the Rater must consider each objective. However, since some objectives are more central to managerial success and more critical to particular positions, they do not need to be given equal weight. (NOTE: If an element is assigned a rating other than *Fully Successful*, supporting documentation must be included in the “Justification Section” of Form MAS.)
 - f. When all 5 performance elements have been evaluated, a final rating of record is derived from an assessment of the Manager's overall performance, and entered onto Form MAS, as follows:
 - (1) Outstanding (O). All five performance elements are rated *Fully Successful Plus*. This rating represents a level of performance that is very rare. These exceptional Managers must have had a significant impact on accomplishment of the organization's goals and objectives. Both their co-workers and those outside their operating sphere recognize that the Manager's performance regularly goes “above and beyond” expectations.
 - (2) Exceeds Fully Successful (ES). The majority of performance elements, including “Results Driven,” are rated *Fully Successful Plus*. No elements are rated *Fully Successful Minus*.
 - (3) Fully Successful (FS). All elements are rated at least FS. These Managers are solid contributors and it is anticipated that most Managers will be assigned this rating.
 - (4) Minimally Successful (MS). One or more performance element, other than “Results Driven,” is rated *Fully Successful Minus*.
 - (5) Unsuccessful (U). The “Results Driven” performance element by itself is rated *Fully Successful Minus* or at least two other elements are rated *Fully Successful Minus*.
 - g. An optional higher level review will be conducted if requested by the Manager or if the second-level supervisor determines it promotes organizational effectiveness. In such instances, the Reviewer should review the content of Form MAS to ensure that:
 - (1) Each performance element and objective has been assigned a rating;
 - (2) The Manager's optional self-assessment and any summary appraisals were considered by the Rater;

- (3) The Rater has complied with the overall requirements of the MAS; and
 - (4) The Manager's performance supports the rating proposed. (Inconsistencies should be worked out between the Rater and the Reviewer before the rating of record is finalized.)
- h. Once the Rater and Reviewer have signed Form MAS, it is given to the Manager, who has two work days to sign, provide comments, and return the form to the Rater. If the Manager declines to sign, the Rater will note "The Manager declined to sign," on the managerial signature block and will include his or her initials and date.
 - i. A written rating of record for each Manager must be completed by the Rater no later than 60 days after the end of the rating cycle.
 - j. In accordance with guidance from the Office of Human Capital, completed Forms MAS and Managerial self-assessments are forwarded to the Office of Human Capital no later than 14 days after the 60-day period described above.
 - k. Managers who are dissatisfied with their final rating of record may seek assistance in accordance with Alternative Dispute Resolution (ADR) procedures (see Corporation Policy No. 152, *Alternative Dispute Resolution*).
5. **Summary Appraisals:** Whenever a Manager transfers to a position in another agency or his/her supervisor changes, the former Rater will prepare a summary appraisal based on the elements and objectives in the Manager's approved performance plan.

C. RECOGNIZING OUTSTANDING PERFORMANCE

It is anticipated that a very small percentage of Corporation's Managers will be rated *Outstanding*. A larger proportion will fall into the *Exceeds Fully Successful* and *Fully Successful* categories. In accordance with guidance developed by the Compensation Committee and issued by the Chief Executive Officer, Managers in these three rating categories are all eligible for the annual cost-of-living pay adjustments. However, to receive a performance-based bonus or pay increase, a Manager's rating of record must document *Outstanding* or *Exceeds Fully Successful* performance during the entire appraisal period.

NOTE: All Managers are eligible for non-monetary awards or special contribution/spot cash awards to recognize isolated incidents of excellent performance.

D. ADDRESSING PERFORMANCE AT THE LESS THAN SUCCESSFUL LEVELS

1. Introduction.

All Managers in the Corporation serve a role that is highly valuable and significant. Managers lead and motivate people, oversee important programmatic functions, and share responsibility for promoting the Corporation's mission as well as achieving the

Corporation's strategic goals. A Corporation Manager who performs below the *Fully Successful* level in any performance element or objective may undermine the performance of his or her organization or work unit, and put it at risk of not meeting important goals and objectives. In turn, such performance could adversely affect other organizations and/or the Corporation. Accordingly, the Manager's Rater must intervene whenever the rated Manager's performance in any performance element or objective, falls below the *Fully Successful* level.

2. Less Than Fully Successful Performance.

- a. Whenever aspects of a Manager's performance drop below the *Fully Successful* level, the Rater should immediately provide coaching and offer suggestions for improving the performance. This informal intervention should occur when any individual performance objective is considered *Fully Successful Minus*. The Rater should maintain documentation of the reasons the Manager's performance is below *Fully Successful* and a record of the counseling session.
- b. When a Manager's overall performance is deemed *Unsuccessful* at any time during the appraisal cycle, formal intervention is required. (As discussed in paragraph B.4.f.(5), overall performance is deemed *Unsuccessful*, when the element "Results Driven" is rated *Fully Successful Minus* or at least two other performance elements are rated *Fully Successful Minus*.)
- c. Formal intervention requires written notice to the Manager that his or her overall performance is *Unsuccessful*. In preparing this written notice, the Rater must seek consultation and assistance from the Office of Human Capital. Following the written notice to the Manager, the Rater should carefully track the Manager's performance to determine whether he/she is making meaningful improvement such that he/she may achieve at least a *Minimally Successful* rating of record. The Manager will be provided with a reasonable period of time to bring their performance to at least the *Minimally Successful* level. Failure to do so may lead to administrative action up to and including termination.
- d. If the Manager's overall performance has been *Unsuccessful* for at least the minimum 90-day appraisal period, the Rater may curtail the rating period, assign an *Unsuccessful* rating and initiate appropriate administrative action. However, when the Rater has determined that the Manager's overall performance remains *Unsuccessful* at the end of the performance appraisal cycle, the Rater must assign an *Unsuccessful* rating and initiate appropriate administrative action.

3. Impact on Pay

If an APS Manager receives a rating of record of *Minimally Successful*, he/she will only receive half of any annual Corporation-wide pay adjustment authorized by the Chief Executive Officer. If an APS Manager receives a rating of record of *Unsuccessful*, he/she will not receive the annual Corporation-wide pay adjustment authorized by the Chief Executive Officer.

APPENDIX 1: MAS: Performance Elements and Leadership Competency Definitions

APPENDIX 2: Form MAS

THE MANAGERIAL APPRAISAL SYSTEM

Performance Elements and Leadership Competencies

The Managerial Appraisal System (MAS) supports and reinforces the Corporation's commitment to accountability, customer service, and organizational excellence. This results-based performance evaluation system is directly linked to the Corporation's mission and goals:

- Meet human needs through diverse, high-quality service programs
- Improve the lives of national service participants
- Strengthen the infrastructure, capacity, and social capital of communities across America
- Improve the Corporation's trust, credibility, accountability, and customer focus

To achieve these goals and strive toward organizational excellence, the MAS incorporates five performance elements, the competencies needed to achieve high performance in each of the elements, and the generic performance objectives that set the expectations for accomplishment. The components of the appraisal system provide the foundation to track the Corporation's goals and performance of the desired outcomes.

The appraisal system identifies a set of eleven Core Supervisory Competencies needed across all leadership levels and functions. The Core Supervisory Competencies are:

- 1) Accountability
- 2) Customer Service
- 3) Service Motivation
- 4) Integrity/Honesty
- 5) Leveraging Diversity
- 6) Team Building
- 7) Human Resource Management
- 8) Oral Communication
- 9) Written Communication
- 10) Continual Learning
- 11) Conflict Management

Four additional competencies apply to managers and executives:

- 1) Creativity and Innovation
- 2) Financial Management
- 3) Technology Management
- 4) Partnering

In addition to the 15 competencies that apply to supervisors and managers, executives must demonstrate:

- 1) External Awareness, and

2) Strategic Thinking.

These 17 competencies provide a matrix of core leadership competencies with a progression of higher level competencies that are linked to five performance elements and their underlying performance objectives which support accomplishment of Corporation's mission and goals. The performance elements and competencies were drawn from the OPM Leadership Competency Model which established the criteria for high performance leaders.

The performance elements and related competencies and their definitions are provided below.

I. RESULTS DRIVEN

Core Supervisory Competencies

Accountability – Hold self and others accountable for high-quality, timely, and cost-effective results; determine objectives, set priorities, and delegate work; accept responsibility for mistakes; comply with established control systems and rules.

Customer Service – Anticipate and meet the needs of both internal and external customers; deliver high-quality products and services; committed to continuous improvement.

II. LEADING CHANGE

Core Supervisory Competencies

Continual Learning - Grasp the essence of new information and apply it to promote organizational improvement; recognize personal strengths and weaknesses and pursue appropriate self-development.

Service Motivation - Show a commitment to serve the public; ensure that actions meet public needs; align organizational objectives and practices with public interests.

Managerial/Executive Competencies

Creativity and Innovation – Develop new insights into situations; question conventional approaches; encourage new ideas and innovative ways of working; design and implement new or cutting edge programs/processes.

Executive Competencies

External Awareness – Understand and keep up-to-date on local, national, and international policies and trends that affect the organization and shape stakeholders' views; aware of the organization's impact on the external environment.

Strategic Thinking – Formulate objectives, priorities, and plans consistent with the long-term business and competitive interests of the organization in a global environment; capitalize on opportunities while managing risks.

III. LEADING PEOPLE

Core Supervisory Competencies

Conflict Management – Identify and take steps to prevent potential situations that could result in unpleasant confrontations; manage and resolve conflicts and disagreements in a positive and constructive manner.

Integrity/Honesty – Behave in an honest, fair, and ethical manner; show consistency in words and actions; model high standards of ethics.

Leveraging Diversity – Foster an inclusive workplace where diversity and individual differences are valued and leveraged to achieve the vision and mission of the organization.

Team Building – Inspire and foster team commitment, spirit, pride, and trust; facilitate cooperation and motivate team members to accomplish group goals.

IV. BUSINESS ACUMEN

Core Supervisory Competencies

Human Resource Management – Build and manage workforce based on organizational goals, budget considerations, and staffing needs; ensure that employees are appropriately recruited, selected, appraised, and rewarded; take action to address performance problems; develop talents of employees.

Managerial/Executive Competencies

Financial Management – Understand organization’s financial processes; prepare, justify, and administer the program budget; monitor expenditures and use cost-benefit thinking to set priorities; oversee program-related procurement and contracting; focus on results and measure outcomes.

Technology Management – Keep up-to-date on technological developments, make effective use of technology to achieve results; ensure access to and security of technology systems.

V. BUILDING COALITIONS/COMMUNICATIONS

Core Supervisory Competencies

Oral Communication – Make clear and convincing oral presentations; listen effectively; clarify information as needed.

Written Communication – Write in a clear, concise, organized, and convincing manner for the intended audience.

Managerial/Executive Competencies

Partnering – Develop networks and build alliances; collaborate across boundaries to build strategic relationships and achieve common goals.

MANAGERIAL APPRAISAL SYSTEM

RATING OF RECORD

Manager's Name

Title & Grade

Organizational Unit

Dates of Appraisal Period _____ through _____

Name of Rater/Title

Name of Reviewer/Title
(Optional)

	Performance Plan Communicated		Mid-Year Performance Review Completed		Rating of Record Finalized and Communicated	
Rater						
	Signature	Date	Signature	Date	Signature	Date
Reviewer (Optional)			N/A			
	Signature	Date			Signature	Date
Manager						
	Signature	Date	Signature	Date	Signature	Date

Summary of Element Ratings (FS+, FS, FS-)

Results Driven: _____

Leading Change: _____

Leading People: _____

Business Acumen: _____

Building Coalitions / Communication: _____

Overall Rating of Record (O, ES, FS, MS, U)

Outstanding (O): All five performance elements are rated *Fully Successful Plus*.

Exceeds Fully Successful (ES): The majority of performance elements, including "Results Driven," are rated *Fully Successful Plus*. No elements are rated below *Fully Successful*.

Fully Successful (FS): All elements are rated at least *Fully Successful*.

Minimally Successful (MS): One or more performance elements, other than "Results Driven," is rated *Fully Successful Minus*.

Unsuccessful (U): The "Results Driven" performance element by itself is rated *Fully Successful Minus* or at least two other elements are rated *Fully Successful Minus*.

MANAGERIAL APPRAISAL SYSTEM

PERFORMANCE ELEMENTS & OBJECTIVES

1. RESULTS DRIVEN FS+ FS FS- CIRCLE OVERALL RATING ABOVE		ENTER "X" IN THE APPROPRIATE BOX		
SUPERVISORY OBJECTIVES		FS+	FS	FS-
Accountability: Meets performance targets for critical program responsibilities, as identified in the attached organizational Performance Plan and/or individual work plan. This includes making satisfactory progress towards any "stretch goals" established.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<small>NOTE: IF AN ORGANIZATIONAL OR INDIVIDUAL PERFORMANCE PLAN HAS NOT BEEN DEVELOPED, JOB SPECIFIC PERFORMANCE OBJECTIVES MUST BE IDENTIFIED BELOW.</small>				
Accountability: Supports a corporate culture that (1) highlights transparency in decision making, (2) emphasizes accountability to stakeholders, and (3) builds credibility among customers and employees.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Accountability: Effectively structures, organizes, and sets work priorities to accomplish the organization or work unit's programmatic goals and objectives.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Accountability: Sets short and long term objectives that are realistic, observable, measurable, and/or verifiable, and stress results.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Accountability: Monitors progress toward achieving goals and objectives and keeps higher level management informed of significant initiatives, developments, and status.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Accountability: Holds self and others accountable for high quality, timely, and cost-effective results; feedback from customers and stakeholders reflects satisfaction with quality of work or organizational communication and outreach.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Customer Service: Anticipates and meets the needs of both internal and external customers; strives for continuous improvement; customer feedback and organizational/work unit measures reflect continual improvement in service and performance.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Additional Objectives: 				
Justification: (Must be completed for rating above or below Fully Successful)				

Fully Successful Plus (FS+), Fully Successful (F), Fully Successful Minus (FS-)

MANAGERIAL APPRAISAL SYSTEM

PERFORMANCE ELEMENTS & OBJECTIVES

2. LEADING CHANGE FS+ FS FS- CIRCLE OVERALL RATING ABOVE	ENTER "X" IN THE APPROPRIATE BOX		
SUPERVISORY OBJECTIVES	FS+	FS	FS-
Continual Learning: Responds appropriately to new information, unexpected obstacles, and changing priorities. This includes using the new information to promote personal development and organizational improvement.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Service Motivation: Supports a corporate culture that shows a commitment to serve the public, ensures actions meet public needs, aligns organizational objectives and practices with public interests.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
MANAGERIAL/EXECUTIVE OBJECTIVES	FS+	FS	FS-
Creativity and Innovation: Employee feedback indicates a clear understanding of the organizational vision and satisfaction with the opportunity to display creative thinking and innovation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EXECUTIVE OBJECTIVES	FS+	FS	FS-
External Awareness: Establishes program/policy objectives and strategies that consider local, national, and international policies and trends that affect the organization, its stakeholders, and customers.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Strategic Planning: Identifies and solves critical and sensitive problems. Considers all choices, competing viewpoints and alternatives. Solutions consider long term business and competitive interests of the organization.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Additional Objectives: 			
Justification: (Must be completed for rating above or below Fully Successful)			

Fully Successful Plus (FS+), Fully Successful (F), Fully Successful Minus (FS-)

MANAGERIAL APPRAISAL SYSTEM

PERFORMANCE ELEMENTS & OBJECTIVES

3. LEADING PEOPLE FS+ FS FS- CIRCLE OVERALL RATING ABOVE	ENTER "X" IN THE APPROPRIATE BOX		
SUPERVISORY OBJECTIVES	FS+	FS	FS-
Integrity/Honesty: Models high standards of ethics, honesty, and fairness in actions and words.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Leveraging Diversity: Supports the Corporation's workforce diversity and equal employment policies and programs. Fosters an inclusive workplace where diversity and individual differences are valued and leveraged to achieve the mission of the organization.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Leveraging Diversity: Promotes respectful, cooperative, and productive working relationships among culturally diverse employees. Establishes an effective work/life balance.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Conflict Management: Identifies and takes steps to prevent potential situations that could result in unpleasant confrontations. Manages and resolves conflicts and disagreements in a positive and constructive manner that minimizes negative impact.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Team Building: Promotes team work at all levels of the organization; inspires and fosters team commitment, spirit, and trust; motivates team members to accomplish group goals and organizational goals.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Team Building: Clearly communicates organizational expectations to all employees; provides employees with direction, constructive feedback, developmental opportunities that maximize organizational performance, and recognizes individual and team accomplishments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Team Building: Employee feedback reflects that work assignments are delegated and employees are encouraged to develop creative ways to accomplish the Corporation's mission.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Additional Objectives: 			
Justification: (Must be completed for rating above or below Fully Successful)			

Fully Successful Plus (FS+), Fully Successful (F), Fully Successful Minus (FS-)

MANAGERIAL APPRAISAL SYSTEM

PERFORMANCE ELEMENTS & OBJECTIVES

4. BUSINESS ACUMEN FS+ FS FS- CIRCLE OVERALL RATING ABOVE	ENTER "X" IN THE APPROPRIATE BOX		
SUPERVISORY OBJECTIVES	FS+	FS	FS-
Human Resources Management: Recruits, retains, and develops the talent needed to achieve the goals and objectives of the organization and work groups.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Human Resources Management: Performance management practices align employee and organizational performance and provides recognition to high performers and addresses poor performance.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Human Resources Management: Supports and maintains effective labor/management cooperation and collaboration.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
MANAGERIAL/EXECUTIVE OBJECTIVES	FS+	FS	FS-
Financial Management: Manages current and future resource needs based on organizational work unit's goals and objectives and budget realities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Financial Management: Prepares, justifies, and administers program budget; monitors expenditures efficiently and effectively, and focuses on results and measurable outcomes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Financial Management: Establishes and maintains effective and efficient management controls in program area and conducts appropriate reviews of documents to identify any weaknesses; corrects weaknesses in a timely manner.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Technology Management: Ensures the use of efficient and cost effective management information systems; understands the Corporation's technology systems and uses the information for planning, analysis, reporting, and enhancing decision making.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Additional Objectives: 			
Justification: (Must be completed for rating above or below Fully Successful)			

Fully Successful Plus(FS+), Fully Successful (FS), Fully Successful Minus (FS-)

MANAGERIAL APPRAISAL SYSTEM

PERFORMANCE ELEMENTS & OBJECTIVES

5. BUILDING COALITIONS / COMMUNICATION		ENTER "X" IN THE APPROPRIATE BOX		
FS+ FS FS- CIRCLE OVERALL RATING ABOVE				
SUPERVISORY OBJECTIVES		FS+	FS	FS-
Oral Communication and Written Communication: Clearly communicates and explains information about the Corporation's goals, activities, and policies to employees, top management, stakeholders, and customers. Promotes and supports the Corporation's initiatives internally and externally in a clear and convincing manner.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Oral Communication and Written Communication: Informs senior managers of significant program proposals, developments, and status of program activities in a timely manner.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Oral Communication and Written Communication: Oral presentations and written material provide clear, organized, and convincing information to intended audiences.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
MANAGERIAL/EXECUTIVE OBJECTIVES		FS+	FS	FS-
Partnering: Develops networks and builds alliances, collaborates across boundaries to build strategic relationships to achieve common goals.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Partnering: Coordinates policy development with all appropriate parties within the Corporation and with appropriate external groups (e.g., agencies, Congress, customers, State and local govt, etc.) to maximize input from the widest range of stakeholders. Facilitates an open exchange of opinion from diverse groups, and strengthens internal and external support.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Additional Objectives: 				
Justification: (Must be completed for rating above or below Fully Successful)				

Fully Successful Plus (FS+), Fully Successful (FS), Fully Successful Minus (FS-)

MANAGERIAL APPRAISAL SYSTEM

PERFORMANCE FEEDBACK

To be completed by the Rater for review with the Manager during the Mid-Year Progress Review and at the end of the Appraisal Period: (1) Summarize the Manager's contributions toward achieving individual critical tasks and toward the organizational unit's overall performance; (2) Identify Manager's primary strengths during the Appraisal Period and suggest ways the Manager can improve individual and organizational performance.

Mid-Year Summary Comments

Summary Comments at End of Appraisal Period

