



**Functional Series [400](#)  
Programming Policy**

**INTERIM UPDATE 08-03**

**SUBJECT:** 2008 New Civil Service Performance Evaluation System Changes

**NEW MATERIAL:** This Interim Update provides information on the new Civil Service (CS) Annual Evaluation System and Annual Evaluation Form-CIVIL SERVICE (AEF), Form AID 462-1 (3/2008). .

**EFFECTIVE DATE:** 03/21/2008

**ATTACHMENTS:** 1. [USAID Annual Evaluation Form, Civil Service](#)  
2. [Diversity Checklist](#)

POLICY

USAID General Notice  
HR/ELR  
03/21/2008

Subject: 2008 New Civil Service Performance Evaluation System Changes

THIS NOTICE SHOULD BE READ BY ALL FOREIGN SERVICE, CIVIL SERVICE,  
AND SENIOR EXECUTIVE SERVICE DIRECT HIRE EMPLOYEES

The Office of Human Resources and AFGE are pleased to announce the new Civil Service (CS) Annual Evaluation System and Annual Evaluation Form-CIVIL SERVICE (AEF), Form AID 462-1 (3/2008). The new AEF will be augmented by a Diversity Checklist, Form AID 400-27 (3/2008). These forms are attachments to this Notice, and on Wednesday, March 26, 2008, they will be made available and posted on the Agency's Form web page at: <http://inside.usaid.gov/forms/>.

ADS 462, Employee Evaluation Program, Civil Service, and the Employee Evaluation Guidebook (EEP) are being revised and will soon be available, further specifying changes outlined in this Notice.

The system 1) enhances overall performance evaluation system for CS employees, 2) supports the Office of Personnel Management's program requirements and the President's Management Agenda and 3) enhances the effective management of the Agency's human resources practices.

The new AEF and Diversity Checklist will replace the current forms dated June 2007. These will no longer be available on the HR web site after Friday, March 26, 2008. Although all 2008 CS performance plans were scheduled to be put in place by January 31, 2008, the due date is being extended until April 21, 2008. Please download the old AEF to your computer or Compact Disc should you need to refer to it at a later time.

THE REVISED AEF: The revisions to the AEF include the following:

#### SECTION 1 - Establishment of Performance Elements and Standards

**RATING OFFICIAL.** In accordance with OPM policy, Team Leaders will no longer sign AEFs and discuss the performance evaluation with the employee. Team Leaders may communicate assignments, milestones and deadlines to the team and individuals based on supervisor's instructions, and coach, facilitate, solve work problems and participate in the work of the team, etc. ADS 102, Agency Organization, will be revised in the near future regarding use of team leaders and their responsibilities. In the interim, this guidance is operative. (For additional information regarding the responsibilities of Team Leaders, see the General Schedule Leader Grade Evaluation Guide at:

<https://www.opm.gov/fedclass/gslead.pdf>

**APPROVING OFFICIAL.** An Approving Official (AO) has been added to the process. The AO is the Deputy Director or equivalent or whomever the Principal Officer delegates (as long as the AO is at a higher level than the Rating Official serving in a supervisory-designated capacity). If an employee's Rating Official serves at the top level (e.g. Secretary supervised by the Deputy Administrator), an AO is not required.

The AO must approve the AEFs for all CS employees in their respective Bureau or Independent Office at all three stages of the process; i.e.,

- 1) when performance elements are established at the beginning of rating cycle;
- 2) evaluation of the employee's performance at mid-cycle; and
- 3) evaluation of performance at the end of the rating cycle. The AO is also responsible for verifying that the Rating Official observes and evaluates employee performance and provides ongoing feedback.

**APPRAISAL COMMITTEE (AC).** The Appraisal Committee's role is still optional but is only invoked by the employee and/or the AO. The Rating Official can no longer request AC participation (unless he/she serves at the top level and an AO is not required). The

AO has final approval authority, unless the AC is invoked. If that is the case, the AC has final approval authority.

PERIOD OF PERFORMANCE. The minimum appraisal period is now 90 days (no longer 120 days). All employees will be given 90 days to improve performance if rated at the Unacceptable level or up to 90 days if rated at the Minimally Successful level, at any time during the rating cycle.

Employees arriving on or after October 4th of each rating cycle, will receive their performance plan within 30 days of entrance on duty and the rating cycle will be extended (e.g. October 4, 2008 - December 31, 2009) because there are less than 90 calendar days remaining in the rating cycle.

Employees who change jobs or get a new supervisor after October 4th of each rating cycle will receive a completed AEF from the losing supervisor and will start a new appraisal period that will be extended through the next year's rating cycle (as in the above example).

Employees who change positions or get a new supervisor anytime before October 4th of each rating cycle will receive an AIF and get a completed AEF from the new rating official at the end of the appraisal cycle.

Rating officials of employees who may have unusual circumstances and not addressed above should consult HR/ELR.

### SECTION 1C - 360 Degree Input Sources

Currently, raters are asked to contact at least two supervisor's subordinates for 360 degree feedback on specified performance elements. This policy is still in effect. However, raters of supervisors are to request all supervisors' subordinates to complete the Diversity Checklist (form implemented in July 2007).

The adjectival/summary ratings have been changed to be consistent with the terms used in Part 5 Code of Federal Regulations (CFR) (e.g, "Excellent" is now "Exceeds Fully Successful"; "Effective" is now "Fully Successful"; and "Needs Improvement" is now "Minimally Successful").

### SECTION 2 - Role in the Organization, Goal Alignment and Concrete Results Performance Elements

This section has been divided into three parts (a-c) and stresses the importance of and facilitating aligning performance elements through the chain of command with organizational/Agency goals.

### SECTION 3 - Performance Elements and Standards

A mandatory critical performance element, #1 Execution of Duties and "Delivery of Assignments" was revised from "Execution of Duties." The previous optional performance elements were merged into this new performance element to meet OPM's requirement that all employee must have one results focused critical element. The results must align clearly with organizational goals and the standard must contain credible measures of performance.

Performance Standards must be verbally communicated to the employee, but are also written on the AEF in sections designated, "Further specification of performance standard."

### SECTION 4 - For Supervisory or Managerial Employees Only

OPM raised strong concerns that managers were not being held accountable for making sure that employees were properly evaluated. Therefore, a tenth performance element, "Accountability" has been added for supervisors and managers.

### SECTION 5 - Final Summary Rating Explanation

The Derivation of Summary Ratings is as follows:

**OUTSTANDING.** To receive an Outstanding rating, the mandatory Performance Element #1, (Execution of Duties and Delivery of Assignments) must be "Outstanding", a majority of critical Performance Elements must be rated "Outstanding" and none of the other elements can be lower than "Exceeds Fully Successful." For supervisors, in addition to Performance Element #1 being "Outstanding", three (3) of the four (4) supervisor-specific Performance Elements #7-10 must be "Outstanding" with the majority of Performance Elements #2-6 being "Outstanding."

**EXCEEDS FULLY SUCCESSFUL.** To receive an "Exceeds Fully Successful" rating, a majority or preponderance of critical performance elements must be rated, "Exceeds Fully Successful" and none may be below "Fully Successful."

**FULLY SUCCESSFUL.** To receive a "Fully Successful" rating, the mandatory Performance Element #1 (Execution of Duties and Delivery of Assignments) must be rated at least "Fully Successful", a majority or preponderance of critical performance elements are rated, "Fully Successful" and none may be below "Minimally Successful".

**MINIMALLY SUCCESSFUL.** To receive a "Minimally Successful" rating, the mandatory Performance Element #1 (Execution of Duties and Delivery of Assignments) must be rated at least "Fully Successful", a majority or preponderance of critical performance elements are rated, "Minimally Successful" and none may be below that level.

**UNACCEPTABLE.** An employee is rated "unacceptable" if any one critical performance element is rated "Unacceptable."

Rating Officials, Approving Officials, or Appraisal Committee's (if requested) are no longer allowed to assign any permissible rating not in strict conformance with the above directives. This section allows raters to explain their overall rating rationale if employees have two or more equal number of adjectival ratings only (e.g employee has three "Exceeds Fully Successful" and three "Fully Successful"). The rater will have to explain why one rating is being assigned rather than the other.

Information given in this Notice is enough to allow all employees' plans to be immediately put in place. In light of this system change, the Office of Human Resources has established a new deadline date to have performance plans in place, as noted previously, which has been established as April 21, 2008.

**TRAINING.** Training is being scheduled to familiarize all employees and supervisors with the new performance evaluation system. The OHR will contact Administrative Management Staff (AMS) to schedule training sessions.

We understand that all (employees and supervisors alike) may not be comfortable with some of the changes instituted, however, OPM insisted that the Agency make these changes and has approved all the new revisions in this Notice.

Point of Contact: Any questions concerning this Notice may be directed to:  
Melissa Jackson, HR/ELR, (202) 712-1781.

Notice 0381

<b>File Name</b>	<b>Notice Date</b>	<b>Effective Date</b>	<b>Editorial Revision Date</b>	<b>Remarks</b>
IU4_0803_032408	03/21/2008	03/21/2008		This IU will be cancelled once the policy in this IU is incorporated into a Series 400 ADS chapter.

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