
MANAGEMENT

PERFORMANCE MANAGEMENT PROGRAM

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Attachment A - Performance Evaluation Plan (PEP)

PURPOSE ● This MAPP outlines the procedures for the Performance Management Program for the Center for Drug Evaluation and Research (CDER).

REFERENCES

- FDA Instruction 430-7, FDA Performance Management Program (PMP) Policy
- Department of Health and Human Services Personnel Instruction 430-7, Performance Appraisal System
- 5 USC Chapter 43, Performance Appraisal
- 5 CFR Part 430, Performance Management
- 5 CFR 213.3102 (Schedule A), Entire Executive Civil Service
- Public Law 103-89, The Performance Management and Recognition System Termination Act of 1993
- 5 USC Section 5376, Pay for Certain Senior-Level Positions

- 5 CFR Section 213.3202(b) (Schedule B), Student Career Experience Program (SCEP)
 - 5 USC Section 3105, Appointment of Administrative Law Judges
 - 5 USC Section 5352, Stipends
 - Section 207(g), Public Health Service Act
 - 5 USC Section 552a, Records Maintained on Individuals (The Privacy Act); 5 CFR Part 293, Personnel Records; 5 CFR Sections 293.404, Retention Schedule, and 293.405, Disposition of Records
 - 5 CFR Section 351.504, Credit for Performance
 - 5 CFR Section 432.104, Addressing Unacceptable Performance
 - 5 USC Section 5304, Locality-Based Comparability Payments; 5 USC Section 5335, Periodic Step Increases; 5 CFR Part 531, Subpart D, Within-Grade Increases
 - 5 USC Section 4303, Actions Based on Unacceptable Performance
 - FDA Instruction 771-1, Dispute Resolution System (DRS)
 - Department of Health and Human Services Personnel Instruction 432-1 (Exhibit 432-1-A only), Performance Based Reduction In Grade and Removal Action
 - Department of Health and Human Services Personnel Instruction 752-1 (752-1-A only), Adverse Actions
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DEFINITIONS

- **Element.** A work assignment or responsibility set out in an employee's performance evaluation plan that is of such importance that it must be accomplished for a rating of "Meets Performance Measures."

- **Element Rating Levels.** The measure of performance for each element. Each element shall be rated at one of three levels: “Exceeds Performance Measures,” “Meets Performance Measures,” or “Fails to Meet Performance Measures.”
- **Fails to Meet Performance Measures.** As a final rating, the employee has not performed acceptably on one or more elements within the employee’s performance evaluation plan which results in a final rating of “Fails to Meet Performance Measures.” This constitutes an “**Unacceptable**” rating for the purpose of personnel actions.
- **Final Rating.** An overall rating of performance which is done at the end of the rating period. A final rating summarizes and measures an employee’s performance on each element for which there has been an opportunity to perform for the minimum rating period (120 days). A final rating is the official rating of record. The final rating shall be either “Meets Performance Measures” or “Fails to Meet Performance Measures.”
- **Meets Performance Measures.** As a final rating, the employee has performed acceptably on all elements within the employee’s performance evaluation plan. Performance must be at this level to earn a within-grade increase.
- **Performance Evaluation Plan (PEP).** The written, or otherwise recorded, elements setting out expected performance objectives and related performance measures signed by the supervisor.
- **Performance Management Program (PMP).** FDA’s procedures and requirements for measuring performance, as established under the Performance Appraisal System of the Department of Health and Human Services. This FDA program seeks to improve employee and organizational performance by defining critical aspects of employee performance and assessing results achieved, by providing uniform and consistent evaluation of performance for all employees, by encouraging communication between supervisors and staff, by recognizing employees for good performance, and dealing appropriately with deficient performance.
- **Performance Measures.** The thresholds, requirements, or expectations for each element that shall be met in order for an employee to be rated at a particular level of performance. Performance measures may include: quality, quantity, timeliness, and manner of performance.

- **Progress Review (PEP Talk).** Communication between a supervisor and an employee regarding the employee's progress on performance measures in the employee's performance evaluation plan. There shall be at least one progress review during the rating period, generally near mid-year.
 - **Rating.** The process of reviewing and evaluating an employee's performance by comparing results achieved to established performance measures.
 - **Rating Period.** The period of time for which performance is measured. The rating period is normally one calendar year from January 1, through December 31. An employee must be under a performance evaluation plan a minimum of 120 calendar days during the rating period to receive a rating.
 - **Rating Official.** The supervisor who establishes an employee's performance evaluation plan, conducts progress reviews, rates the employee's performance, and prepares a final rating.
 - **Reviewing Official.** The supervisory official who has review and approval/disapproval authority for final ratings of "Fails to Meet Performance Measures." The reviewing official shall be at least one organizational tier higher than the person who initially assigned the rating.
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COVERAGE

Employees Covered Under This Program

- Permanent General Schedule (GS) employees (including General Management (GM) employees covered by Public Law 103-89, The Performance Management and Recognition System Termination Act of 1993) as long as a minimum of 120 days are worked under a performance plan during the rating period;
- Senior Biomedical Research Service (SBRS) employees;
- Employees paid under Title 38, Physician Special Pay;
- Prevailing rate employees (e.g., Wage Grade, Wage Leader, Wage Supervisor);

- Senior-level, scientific, and professional (ST) employees paid under 5 USC 5376;
- Employees under the Student Career Experience Program (SCEP) Schedule B, 5 CFR 213.3202(b); and
- Fellows appointed under Section 207(g) of the Public Health Service Act, as amended; i.e., FDA Staff Fellows and Visiting Scientists---“local option.”

In addition to those employees covered above, the Center Director or his/her designee may include other employees who are on the list of “Exclusions.” See below for employees not covered under this performance management program.

Before implementing the program within an organization where an employee union has obtained exclusive recognition, managers must satisfy their obligation to negotiate in accord with the provisions of the Federal labor relations statute and the provisions of any existing agreement covering bargaining unit employees.

Exclusions - Employees Not Covered Under This Program

- Senior Executive Service (SES) members;
- All employees appointed under Schedule A 213.3102 “0” (excepted appointment) authority whose appointment is limited to 1 year or less;
- Administrative law judges appointed under section 3105 of Title 5 USC;
- Experts and consultants serving in an individual capacity and members of advisory committees;
- Persons serving under an appointment in the excepted service having a time limit of less than 120 days;
- Employees in military service, e.g., PHS Commissioned Corps Officers (this does not preclude rating officials from establishing goals or establishing a performance plan as a supplement to the COER -- “local Option”);
- Residents, interns, and other student employees who receive stipends under

Title 5 USC 5352;

- Personnel on detail to a public international organization;
 - Presidential appointees; and
 - Positions for which employment is not reasonably expected to exceed 120 calendar days in a consecutive 12-month period.
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PROCEDURES

FDA's Performance Management Program (PMP) encourages continuous communication throughout the rating period, from the development of the plan, through the progress reviews, and ending with the final rating. Each step in the program provides opportunities for supervisors and employees, together, to develop and assess goals, objectives, and performance measures.

- **Planning Performance**

Establishing Performance Evaluation Plans (PEP). The supervisor and employee shall discuss goals and work expectations for the rating period prior to the establishment of the employee's performance evaluation plan by the supervisor. Discussions may include reviewing:

- the employee's official duties and responsibilities;
- organizational goals and objectives; and
- the employee's goals for the future.

A Performance Evaluation Plan shall be given to an employee normally within 30 days after the beginning of the rating period. The plan is effective when signed by the rating official and the employee.

The employee's signature means that the supervisor has communicated the elements and performance measures to the employee, and the plan has been received and is in effect. It does not necessarily mean that the employee agrees with the plan. If the employee declines to sign, the effective date of the plan is

the date the rating official attempted to obtain the employee's signature. The rating official shall note this fact on the plan, citing the date the employee was given a copy of the established plan.

- **Measuring Performance**

Elements. A Performance Evaluation Plan shall contain at least one, and generally no more than five, elements. All elements are critical and define what is important in the job. Performance measures define what is successful performance on the element. Written performance measures shall be established at the "Meets Performance Measures" level for all elements. If **team elements** are used, employees shall be rated for their **individual contributions** to the success of the team.

To simplify measuring performance, yet individualize employee goals and objectives, FDA's Performance Evaluation Plan form provides five basic employee elements and four basic supervisory elements, as well as blank space for individualizing elements and measures to include a specific assignment. Within each element are a number of performance measures which may be chosen to measure that element. The supervisor may choose any number of elements and measures within an element, write additional measures, or define measures further. Measures may be customized or clarified if necessary. For example, the supervisor may add specific quantity, quality, timeliness, etc., factors. Refer to Attachment A for a copy of the Performance Evaluation Plan with the basic elements.

Performance measures are based on the requirements of the employee's assigned duties and responsibilities. They may be based on:

- Results where the final product defines the success of the employee, and/or
- Manner of Performance which refers to the way an employee acts on the job in order to produce the results.

To the extent possible, measures should be:

- Objective. Free from personal feelings or opinions that might bias the rating of actual performance;

- Explicit. Clearly written and free from ambiguities;
- Observable or measurable. Specify discernable conditions, characteristics, and allow for differentiating between levels of performance; and
- Attainable. Commensurate with the level of the employee's job responsibilities. Similar measures should be expected of employees having similar duties and responsibilities at the same grade level. Measures shall be neither too easy nor too difficult, but instead state what is normally expected in order for the job element to be successfully met.

- **Reviewing Performance**

Progress Reviews (PEP Talks). The rating official shall conduct at least one progress review (PEP Talk) in person between the establishment of the performance plan and the end of the rating period (generally mid-year). The rating official shall also provide continuous communication regarding the employee's achievement of goals and objectives throughout the rating period. During any progress review, the rating official and employee may discuss:

- the employee's accomplishments,
- performance measures remaining to be accomplished and any barriers which may impede their accomplishment,
- revisions to the plan which may reflect changes in work assignments or program initiatives,
- deficiencies in performance and required improvements, and
- training and development needs.

At the conclusion of the mid-year progress review, discussions may be summarized in the comments section of Part II of the Performance Evaluation Plan. The rating official and the employee shall sign and date Part II of the plan. If the employee declines to sign and date the form, the rating official shall note that the employee declined to sign in Section II of the plan, citing the date

the employee was given a copy.

Modifying Performance Plans. Performance elements and measures may be changed as necessary during the rating period. Changes to the original performance plan shall be initialed and dated by the rating official and the employee, and a copy provided to the employee.

If a plan is revised to include new performance elements and measures, changes shall become effective at the time they are given to the employee, i.e., when the rating official and employee have initialed and dated. An employee may not be rated on a new element/measure or any major revisions to an existing element/measure that has been in effect less than 120 days.

- **Rating Performance**

Rating an element. The supervisor shall review the employee's performance for the entire rating period. Ratings shall be based on an individual's performance on each element according to the performance measures. In the event that the employee has not had the opportunity to perform on an element, no rating shall be assigned and the words "Not Rated" shall be written on the form.

There are **three levels** for rating performance on an element:

1. **Exceeds Performance Measures.** This level surpasses the requirements specified in the "Meets Performance Measures" level in the Performance Evaluation Plan. It is reserved for exceptional contributions.
2. **Meets Performance Measures.** The level of performance needed to successfully accomplish all of the performance measures.
3. **Fails to Meet Performance Measures.** Performance is rated at this level when it does not meet the requirements in the "Meets Performance Measures" level.

An element rating level is reached by averaging the performance measures' ratings within the element. The following will be used as the valuation points:

Exceeds Performance Measures is valued as “3” points.

Meets Performance Measures is valued as “2” points.

Fails to Meet Performance Measures is valued as “1” point.

Final ratings have two rating levels. These levels are: “Meets Performance Measures” and “Fails to Meet Performance Measures.” The following method shall be used to translate the composite rating into a final rating:

1. A final rating of “**Meets Performance Measures**” shall be assigned if an employee receives a rating of “Meets Performance Measures” and/or “Exceeds Performance Measures” on all elements.
2. A final rating of “**Fails to Meet Performance Measures**” shall be assigned if an employee receives a rating of “Fails to Meet Performance Measures” on one or more elements.

When the employee’s proposed final rating is “Fails to Meet Performance Measures,” the rating official shall provide a written explanation describing the specific areas in which the employee failed. **The reviewing official shall review and approve/disapprove the rating.**

The **Final Rating** shall be discussed with the employee. The final rating shall be in writing, or otherwise recorded, and given to the employee as soon as possible after the end of the rating year (normally within 45 days). The rating official may include narrative comments for an individual who receives a “Meets Performance Measures” as a final rating.

Employees who wish to comment on their final rating may record their comments on their Performance Evaluation Plan (PEP) or as an attachment to it. An employee who disagrees with his/her final rating and wishes to file a grievance, may do so in accordance with FDA Instruction 771-1 or an applicable negotiated grievance procedure, as appropriate.

- **Ratings in Nonstandard Situations**

Employee not under a plan for at least 120 days. An employee is considered to be rateable if he/she has performed under a performance evaluation plan for

at least 120 days during the rating period. If a final rating cannot be prepared at the end of the annual rating period because the employee has not been under a performance evaluation plan for at least 120 days, the rating period shall be extended until 120 days are reached. A final rating shall be prepared as soon as possible after 120 days is reached, normally within 45 days.

Permanent Position Changes. If an employee permanently changes positions during the rating period, and has performed under a plan for at least 120 days in the previous position, the employee's former rating official must prepare a rating appraising the employee's performance in the previous position. This rating will be provided to the new rating official who will take the rating from the previous position into consideration in deriving the final rating for the annual rating period.

Details/Temporary Promotions. When an employee is temporarily detailed or receives a temporary promotion to a position with FDA for 120 days or more, the gaining supervisor shall prepare a Performance Evaluation Plan describing the critical elements of the temporary job and prepare a rating of the employee's performance during the temporary work assignment. This rating will be provided to the supervisor of record upon the employee's return to the original position, and will be considered by the rating official when determining the employee's final rating for the annual rating period. If the employee is on a temporary detail or temporary promotion for more than three quarters of the performance year, the rating from the supervisor of the temporary work assignment will be the rating of record and must be provided to the supervisor of record.

Temporary Assignments Outside FDA. The rating official will make a reasonable attempt to obtain a performance assessment of any temporary work assignment by an employee performed outside the FDA. At a minimum, the rating official will contact the temporary duty supervisor and request a memorandum describing the assignments performed by the employee and an assessment of how well the employee performed the assignments. If definitive information is obtained, the rating official will consider it in developing the final rating for the annual rating period. If the employee is on a temporary work assignment for more than three quarters of the performance year, the rating from the performance assessment must be the only source of performance review used in deriving a final rating of "Meets" or "Fails to Meet."

Employees Transferring Into FDA. When an employee moves into FDA from another Federal agency at any time during the rating period, the rating prepared at the time of the transfer and forwarded by the outside agency must be taken into consideration when preparing the final rating at the end of the FDA annual rating period.

Supervisory Changes. Whenever a supervisor leaves his/her position, he/she shall provide a written assessment about their employee's performance, up to the time of the change, so that the gaining supervisor will have information to consider when preparing a final rating at the end of the annual rating period, and so that the employee will be properly credited for work accomplished during the entire rating period.

- **Deficiencies in Performance**

Fails to Meet Performance Measures. When an employee demonstrates aspects of less than acceptable performance on any element at any time during the rating period, the supervisor shall provide assistance to help the employee improve performance at an acceptable level. Supervisors should act in a prompt and straightforward manner in dealing with performance deficiencies to ensure the best possible outcome and to avoid exacerbating the problem. Representatives of the Division of Employee Relations, OHRMS, will advise and assist supervisors in meeting this obligation.

When efforts to help an employee improve performance have been unsuccessful and the employee's performance is determined to be "**Fails to Meet Performance Measures**" on any element, the supervisor shall contact the Division of Employee Relations, OHRMS, for the steps required in preparing a notification to the employee. The supervisor must, at a minimum, give written notice to the employee of his/her failure to meet performance measures and give the employee an opportunity to demonstrate "Meets Performance Measures" under a Performance Improvement Plan (PIP). This written notification must include the following:

1. The specific element(s) on which the employee's performance is determined to be "**Fails to Meet Performance Measures,**" including specific examples of how the employee's performance meets this level of performance;

2. The performance measure(s) that must be met in order to be retained in his/her position;
3. The specific assistance that will be provided to help the employee improve his/her performance, e.g., formal and/or on-the-job training; closer supervision including, but not limited to, regular meetings to discuss and review work and provide continuing guidance; mentoring; development of guides/operating procedures; details to facilitate training, etc.;
4. The specific period of time the employee will be given to demonstrate meeting performance measures on the element(s) in question. **[NOTE: The period of time varies depending on the nature of the position, the type of assistance planned, etc. It must be at least 30 days, but there is no maximum time specified. The time allotted must be sufficient to allow a reasonable opportunity for the employee to meet performance measures. Time periods normally run from 30 to 120 calendar days.];** and
5. Notification that action must be initiated to reassign, reduce in grade, or remove the employee from his/her position and the Federal service if performance on the element(s) in question is not at the “Meets Performance Measures” or “Exceeds Performance Measures” level at the conclusion of the opportunity period.

Opportunity periods should be timed so that they do not overlap rating periods. If unavoidable, however, an employee’s rating period, along with the existing performance evaluation plan upon which the employee is determined to be **“Fails to Meet Performance Measures,”** shall be extended through the end of an opportunity period, at which time a final rating shall be prepared.

If, at the conclusion of the opportunity period, the employee’s performance is still rated at “Fails to Meet Performance Measures” on the element(s) in question, the supervisor shall prepare a final rating and initiate action to reassign, reduce in grade, or remove the employee from his/her position and the Federal service in accordance with 5 USC 4303 and HHS Instruction 432-1 (Exhibit 432-1-A only) or 752-1 (Exhibit 752-1-A only) as may be appropriate. Supervisors shall consult

with their representative in the Division of Employee Relations, OHRMS, before initiating this action.

- **Transfer of Ratings**

When an employee moves to a different organization within the Department or to a Federal agency outside the Department at any time during the Department’s rating period, all performance ratings of record that are four years old or less must be transferred to the new Agency as required in 5 CFR Part 293. This includes the rating that must be prepared at the time of the position change if the performance plan was in effect for at least 120 days.

When an employee moves into FDA from another Federal agency during the appraisal year, the rating prepared at the time of the transfer, and forwarded by the outside agency, must be taken into consideration when preparing the rating of record for that appraisal year. The following chart shows a conversion chart for equivalent rating levels:

Equivalent Rating Levels Conversion Chart

Rating Levels in Original Program	Rating Levels in New FDA Program
Outstanding - Level 5	Meets Performance Measures
Excellent - Level 4	Meets Performance Measures
Fully Successful - Level 3	Meets Performance Measures
Marginally Successful - Level 2	Meets Performance Measures
Unacceptable - Level 1	Fails to Meet Performance Measures

- **Reward and Recognition**

The FDA Performance Management Program supports employee recognition and rewards (monetary or otherwise) to recognize and encourage quality work and good customer service. The employee recognition program is the mechanism by which to do this. Since supervisors are encouraged to reward and recognize their employees as soon as possible after accomplishments have occurred, there will be no annual performance awards (bonuses), monetary or

non-monetary, linked to final ratings. Instead, the employee recognition program provides a variety of recognition/reward options; for example: Sustained Superior Performance Awards, Special Act Cash Awards, Time-Off Awards, and other non-monetary items for use throughout the year.

- **Maintenance of Records of Employee Performance**

After a rating of record is issued, any form which identifies job elements, the performance measure for those elements, and any changes, including appraisal information on those elements, shall be retained for four (4) years in an Employee Performance File (EPF) system established for employees covered by this program.

RESPONSIBILITIES

- **Employees shall:**

1. Discuss with their supervisor the objectives, elements, and performance measures for the rating period.
2. Advise their supervisors promptly of changes in circumstances or considerations that may affect performance.
3. Be prepared to discuss performance accomplishments and may provide documentation supporting their accomplishments.

- **Rating Officials shall:**

1. Establish a written, or otherwise recorded, Performance Evaluation Plan for each employee under their supervision normally no later than 30 days after the beginning of the rating period or after the first day of a new hire, ensuring employee participation in the process as appropriate.
2. Monitor performance to clarify expectations, identify progress and/or deficiencies, conduct and document progress review(s), and modify performance evaluation plans as warranted.
3. Maintain open and continuous communication with employees regarding

progress or deficiencies.

4. Assist any employee who is not meeting performance measures (e.g., provide additional guidance or develop a Performance Improvement Plan (PIP)). (See Deficiencies in Performance, page 12.)
5. Rate employee's performance, taking into consideration any other ratings during the rating period.
6. Obtain the reviewing official's approval for final rating of "Fails to Meet Performance Measures."
7. Provide the employee with a signed copy of the final rating, including any other performance rating(s) (e.g., ratings while on detail, while on training, from another agency) during the rating period. (See Ratings In Non-Standard Situations, page 11.)

- **Reviewing Officials shall:**

Review and approve/disapprove a "Fails to Meet Performance Measures" final rating.

- **Division of Management Services/Program Management Services Branch shall:**

1. Actively support managers and supervisors by providing guidance and assistance in the practical application of the Performance Management Program, as necessary.
2. Review all new PEPs and final ratings for completeness and compliance with CDER/FDA policy.
3. Maintain files of all required performance documents as outlined in Maintenance of Records of Employee Performance, page 15.
4. Submit data generated by the Performance Management Program to the Agency.

EFFECTIVE DATE

This MAPP is effective upon date of publication.

ATTACHMENT A



DEPARTMENT OF HEALTH AND HUMAN SERVICES
Food and Drug Administration



PERFORMANCE MANAGEMENT PROGRAM (PMP)

Performance Evaluation Plan (PEP)

PART I: IDENTIFYING INFORMATION

EMPLOYEE'S NAME:	SSN:	
POSITION TITLE:	SERIES:	GRADE:
ORGANIZATION:		

PART II: PERFORMANCE PLAN

SET AND APPROVED	FOR THE PERIOD:	TO:
RATING OFFICIAL SIGNATURE:	DATE:	
EMPLOYEE SIGNATURE:	DATE:	

MIDYEAR PROGRESS REVIEW

DATE REVIEW CONDUCTED:	RATING OFFICIAL SIGNATURE:	EMPLOYEE SIGNATURE:
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COMMENTS:

MIDYEAR PROGRESS REVIEW

PART III: FINAL RATING

FINAL RATING:

Meets Performance Measures Fails to Meet Performance Measures

RATING OFFICIAL SIGNATURE:	DATE:
EMPLOYEE SIGNATURE:	DATE:
REVIEWING OFFICIAL SIGNATURE: <i>(Required if Final Rating is "Fails to Meet Performance Measures.")</i>	DATE:

COMMENTS: *(Required if Final Rating is "Fails to Meet Performance Measures.")*

Performance Evaluation Plan (PEP) Directions

- Column 1 The element, a brief description of the element's objective, and the final rating for that element. There is space provided in which the supervisor can add additional elements for specific tasks or goals.

- Column 2 Measures for the element. Measures are written for the "Meets Performance Measures" level.

 In planning employee goals, the supervisor and employee shall discuss elements for the year and those measures appropriate for the objective of the element and for the employee. Those measures for which the employee is to be appraised are checked in the boxes to the left of the measures. The supervisor and employee discuss what is expected in each of these measures based on the individual employee's work area. There is a space below the measures beginning with the phrase "As evidenced by" in which the supervisor can add definers for the measures above. There is space provided in which the supervisor can add additional individualized measures for that rating year.

- Column 3 Midyear Progress Review notes. A "✓" is placed in this column for a specific performance measure which the supervisor perceives as an area of weakness or area he/she feels the employee needs to concentrate on for the remainder of the rating period. These "✓"s denote target areas for the rest of the year.

- Column 4 The performance measure rating.

 If the employee "Exceeds Performance Measures" for a specific measure, a "3" will be placed in this column at the end of the rating period.

 If the employee "Meets Performance Measures" for a specific measure, a "2" will be placed in this column at the end of the rating period.

 If the employee "Fails to Meet Performance Measures" for a specific measure, a "1" will be placed in this column at the end of the rating period.

Rating Levels

Deriving Element Ratings A "✓" is placed in the appropriate box in Part III: Final Rating." The average of the performance measures within the element, with Exceeds = "3," Meets = "2," and Fails = "1." An average of ".5" or better is rounded up to the next number. Ratings are whole numbers.

Deriving Final Ratings

- Meets Performance Measures If all **elements** are rated "Meets Performance Measures" or "Exceeds Performance Measures," the final rating level is "Meets Performance Measures."

- Fails to Meet Performance Measures If one or more **elements** is rated "Fails to Meet Performance Measures," the final rating is "Fails to Meet Performance Measures."

Performance Evaluation Plan (PEP)

ELEMENTS	PERFORMANCE MEASURES	M I D	Final Measures Ratings	
	Standards for "Meets Performance Measures" 1. Check all measures for which the employee will be rated. 2. Add additional measures after the bullets, if needed. 3. Define a measure further on the "As evidenced by" line, if needed.	Y E A R	3 - Exceeds 2 - Meets 1 - Fails to Meet	
<p><input type="checkbox"/> Individual Work</p> <p><i>Works to accomplish tasks or provide services effectively and efficiently in support of the Agency's mission. Strives for excellence.</i></p> <p>Final Element Rating</p> <p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Fails to Meet</p>	<p><input type="checkbox"/> Leadership (<i>Examples may Include</i>):</p> <ul style="list-style-type: none"> ● Plans work toward set goals/results. ● Communicates clearly and effectively orally. ● Uses effective judgement and conduct in the performance of responsibilities. ● Devises effective solutions to problems and appropriate procedures for accomplishing objectives. <p>● As evidenced by:</p> <p>● As evidenced by:</p> <p><input type="checkbox"/> Manner of Performance (<i>Examples may Include</i>):</p> <ul style="list-style-type: none"> ● Work products are clear and well-organized. ● Communicates clearly and effectively in writing. ● Completes work within established deadlines. ● Works independently with little need for supervision or help. ● Follows management procedures, directives, regulations, or technical orders. <p>● As evidenced by:</p> <p>● As evidenced by:</p> <p><input type="checkbox"/> Communication (<i>Examples may Include</i>):</p> <ul style="list-style-type: none"> ● Seeks other opinions, as appropriate, to produce balanced work product. ● Keeps supervisor apprised of changes, progress, and barriers to progress. ● Undertakes difficult assignments with a professional attitude. ● Adjusts positively to changes in workload and priorities. <p>● As evidenced by:</p> <p>● As evidenced by:</p>			
<p><input type="checkbox"/> Technical Competency</p> <p><i>Knowledge skills and abilities.</i></p> <p>Final Element Rating</p> <p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Fails to Meet</p>	<p><input type="checkbox"/> Technical Competency (<i>Examples may Include</i>):</p> <ul style="list-style-type: none"> ● Demonstrates technical competency/expertise in area of responsibility. ● Demonstrates quality and accountability in the majority of work activities. ● Keeps abreast of current developments within area of responsibility. ● Requires minimal supervision. ● Displays understanding of how job relates to others within area. <p>● As evidenced by:</p> <p>● As evidenced by:</p>			

<p><input type="checkbox"/> Teamwork</p> <p><i>Works with others either in formal teams or ad hoc groups to accomplish tasks or provide services effectively and efficiently.</i></p> <p>Final Element Rating</p> <p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Fails to Meet</p>	<p><input type="checkbox"/> Cooperation (<i>Examples may Include</i>):</p> <ul style="list-style-type: none"> ● Works well with other Agency groups and organizations for the success of the group or organization. ● Works with others in developing and implementing solutions to problems. ● Assists others to meet objectives. ● Maintains effective working relationships with team members. ● Actively participates in team efforts. <p><input type="checkbox"/> Leadership (<i>Examples may Include</i>):</p> <ul style="list-style-type: none"> ● Leads or follows, as necessary, within the team. ● Takes initiative to arbitrate and resolve disagreements if they arise. <p><input type="checkbox"/> Commitment to Team Effort (<i>Examples may Include</i>):</p> <ul style="list-style-type: none"> ● Shares information willingly. ● Shares credit, recognition, and visibility with others. ● Supports and promotes team decisions and initiatives. ● As evidenced by: ● As evidenced by: 		
<p><input type="checkbox"/> Innovation</p> <p><i>Takes risks and seeks creative approaches in completion of work. Influences others by ideas or example.</i></p> <p>Final Element Rating</p> <p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Fails to Meet</p>	<p><input type="checkbox"/> Risktaking, Initiative, and Innovation (<i>Examples may Include</i>):</p> <ul style="list-style-type: none"> ● Shows initiative in starting, carrying out, and completing tasks. ● Seeks alternative solutions and creative approaches to problem solving. ● Takes necessary and appropriate risks. ● Takes into consideration new ideas and differing professional opinions. ● Treats change as an opportunity for growth and mistakes as learning opportunities. <p><input type="checkbox"/> Leadership (<i>Examples may Include</i>):</p> <ul style="list-style-type: none"> ● Exhibits collegiality. Works well with other Agency groups and organizations for the success of the Agency's mission and goals. ● Supports division, center/office, and Agency goals. ● Demonstrates integrity and professionalism. ● Leads by example. Acts as a role model for providing quality service. ● As evidenced by: ● As evidenced by: 		
<p><input type="checkbox"/> Customer Service <i>(Customers as defined by the employee's supervisor)</i></p> <p><i>Provides professional and responsive service within mutually agreed upon time frames.</i></p> <p>Final Element Rating</p> <p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Fails to Meet</p>	<p><input type="checkbox"/> Customer Service (<i>Examples may Include</i>):</p> <ul style="list-style-type: none"> ● Delivers high quality products/services to internal/external customers. ● Stays focused on customer needs through effective communication. ● Projects positive attitude. ● Treats everyone with courtesy and respect. ● Honors commitments and agreed upon deadlines. ● As evidenced by: ● As evidenced by: 		

<p><input type="checkbox"/> Specific Task or Goal</p> <p>Final Element Rating</p> <p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Fails to Meet</p>	<ul style="list-style-type: none"> • • • • <p>• As evidenced by:</p> <p>• As evidenced by:</p>		
<p><input type="checkbox"/> Specific Task or Goal</p> <p>Final Element Rating</p> <p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Fails to Meet</p>	<ul style="list-style-type: none"> • • • • <p>• As evidenced by:</p> <p>• As evidenced by:</p>		
<p><input type="checkbox"/> Specific Task or Goal</p> <p>Final Element Rating</p> <p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Fails to Meet</p>	<ul style="list-style-type: none"> • • • • <p>• As evidenced by:</p> <p>• As evidenced by:</p>		
<p><input type="checkbox"/> Specific Task or Goal</p> <p>Final Element Rating</p> <p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Fails to Meet</p>	<ul style="list-style-type: none"> • • • • <p>• As evidenced by:</p> <p>• As evidenced by:</p>		

<p><input type="checkbox"/> Manages and Develops Employees <i>(Supervisors)</i></p> <p><i>Ensures effective and efficient use of human resources within a positive work environment.</i></p> <p>Final Element Rating</p> <p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Fails to Meet</p>	<p><input type="checkbox"/> Employee Development <i>(Examples may Include):</i></p> <ul style="list-style-type: none"> ● Fosters teamwork, commitment, and quality service to customers. ● Delegates to the lowest level. Involves employees in problem solving and decision making. ● Provides encouragement, guidance, and direction to teams and individual employees . ● Empowers employees to think and act on their own. ● Encourages risktaking and independence. ● Provides employees opportunities for growth and cross training. ● Uses available resources to help employees to meet developmental needs and accomplish work objectives. ● Helps employees improve work performance through effective coaching. <p><input type="checkbox"/> Employee Management <i>(Examples may Include):</i></p> <ul style="list-style-type: none"> ● Leads by example. ● Maintains appropriate balance between concern for people and concern for productivity. ● Adjusts management style to fit situation. ● Establishes and maintains clear and realistic employee performance measures. ● Evaluates employee's performance honestly and objectively. ● Recognizes and rewards good performance. ● Deals effectively with deficient performance. ● Resolves controversial or delicate matters skillfully. <p><input type="checkbox"/> Communication <i>(Examples may Include):</i></p> <ul style="list-style-type: none"> ● Encourages and supports new ideas to improve work processes and services. ● Communicates effectively with employees and management. ● Provides frequent timely, honest, and constructive feedback. ● Provides criticism in private. ● Explains decisions, goals, and objectives. ● Negotiates conflicts effectively. <p>● As evidenced by:</p> <p>● As evidenced by:</p>		
<p><input type="checkbox"/> Manages Programs <i>(Supervisors)</i></p> <p><i>Achieves program goals.</i></p> <p>Final Element Rating</p> <p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Fails to Meet</p>	<p><input type="checkbox"/> Manages Programs <i>(Examples may Include):</i></p> <ul style="list-style-type: none"> ● Plans and organizes unit work effectively. ● Establishes appropriate program objectives linked to organizational objectives. ● Coordinates work of subordinates effectively. ● Allocates and/or adjusts resources in response to workload and priority changes. ● Directs and coordinates activities of unit, assuring deadlines are met. ● Actively supports FDA's mission and values. ● Provides clear vision and direction to staff. ● Develops long-range plans. <p>● As evidenced by:</p> <p>● As evidenced by:</p>		

MANUAL OF POLICIES AND PROCEDURES

CENTER FOR DRUG EVALUATION AND RESEARCH

MAPP 4655.2

<p><input type="checkbox"/> Equal Employment Opportunity <i>(Supervisors)</i></p> <p>Final Element Rating</p> <p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Fails to Meet</p>	<p><input checked="" type="checkbox"/> Equal Employment Opportunity <i>(Examples may Include):</i></p> <ul style="list-style-type: none"> ● Understands and applies Equal Employment principles. ● Promotes diversity, mutual respect, and open communication. <p>● As evidenced by:</p> <p>● As evidenced by:</p>		
<p><input type="checkbox"/> Administrative and Regulatory Responsibilities <i>(Supervisors)</i></p> <p>Final Element Rating</p> <p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Fails to Meet</p>	<p><input checked="" type="checkbox"/> Administrative and Regulatory Responsibilities <i>(Examples may Include):</i></p> <ul style="list-style-type: none"> ● Ensures work is conducted in accordance with established laws and regulations. ● Ensures effective and efficient fulfillment of reporting requirements. ● Maintains effective internal management controls under FMFIA. ● Handles labor-management responsibilities appropriately. ● Promotes effective security practices and occupational safety and health in the work environment. <p>● As evidenced by:</p> <p>● As evidenced by:</p>		