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ADS 462

Employee Evaluation Program,
Civil Service

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***This chapter has been substantively changed in all sections.**

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ADS 462 – Employee Evaluation Program, Civil Service
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ADS 462 – Employee Evaluation Program, Civil Service

462.1 OVERVIEW

Effective Date: 01/01/2005

The Employee Evaluation Program (EEP) provides a systematic process by which the Agency involves its employees in improving Agency organizational effectiveness by

- Establishing clear linkages among the Agency’s goals, Operating Unit strategic objectives, and employees’ work;
- Improving communications about organizational objectives and individual career goals;
- Developing employees’ capacity to perform better;
- Providing **feedback** to employees to motivate them to work more effectively, improve their skills, and prepare for increased responsibilities;
- Correcting deficiencies and providing both positive and negative feedback (negative feedback must be in writing); and
- Providing a basis for cash awards, bonuses, and pay adjustments based on performance, and other, non-monetary, awards for performance.

This chapter applies to all

Civil Service (CS) employees (including Schedule C employees and employees whose appointments are Administratively Determined (AD)) under the authority of [5 U.S.C. Chapter 43](#) and [5 CFR 430](#), Performance Management, Subpart B, Performance Appraisal for General Schedule, Prevailing Rate and Certain Other Employees.

This chapter does not apply to Foreign Service (FS), Senior Foreign Service (SFS), Presidential Appointees, Senior Executive Service (SES) employees, or experts and consultants. See [ADS 461](#) for the EEP for FS and SFS employees.

462.2 PRIMARY RESPONSIBILITIES

Effective Date: 01/01/2005

- a. The **Principal Officer** of an Operating Unit is responsible for managing his or her Operating Unit’s performance evaluation program. This responsibility includes communicating objectives, goals, policies, procedures, and deadlines; ensuring compliance with the program; designating employees to play particular roles in the program; and keeping the Bureau for Management, Office of Human Resources (M/HR) abreast of important information concerning the EEP.

- b. The **Rating Official** is responsible for working closely with individual employees throughout the review cycle to create **performance plans**, evaluate performance, provide feedback, and revise plans as appropriate. These actions culminate in the Rating Official's completion of an **Annual Evaluation Form** (AEF) for the employee, **Appraisal Committee** (AC), if requested or required, and M/HR.
- c. Employees are responsible for participating from beginning to end in their own evaluation. This includes helping to develop their **optional Performance Elements**, if any; performing as specified in the performance plan; evaluating themselves; and participating orally and in writing in review and feedback sessions.
- d. If requested by the Rating Official or employee, the Appraisal Committee reviews and discusses AEFs, **Appraisal Input Forms** (AIFs), and Skills Feedback Worksheets (SFWs) with Rating Officials, providing input to the evaluation, and formally approving the AEF. However, if an employee's performance is at the Needs Improvement or Unacceptable level, AC participation is mandatory. Throughout the evaluation process, the Appraisal Committee and individual members of the Committee ensure that Rating Officials comply with the policy directives and required procedures in this chapter. The Appraisal Committee provides assistance to, and helps to resolve conflicts between, Rating Officials and employees. In fulfilling its responsibilities, the AC is expected to be mindful of privacy concerns.
- e. M/HR is responsible for this program's formulation, monitoring, revision, and training. Additionally, as appropriate, M/HR is responsible for action against those who fail to comply with this program.

462.3 POLICY DIRECTIVES AND REQUIRED PROCEDURES

462.3.1 Employee Evaluation Program Basics

Effective Date: 01/01/2005

The Employee Evaluation Program (EEP) begins with the Principal Officer of each Operating Unit. The Principal Officer

- Establishes overall Operating Unit strategic objectives and communicates to employees the relationships among Agency goals and the Operating Unit's strategic objectives;
- Communicates information on the evaluation process to all employees in the unit, including establishing and publicizing internal deadlines and procedures for completing each phase of the process;
- Ensures the Operating Unit's adherence to Agency policies, procedures, and schedules governing the EEP; and

- Seeks Labor and Employee Relations and Benefits Division (M/HR/LERB) guidance regarding appropriate administrative action for employees who have failed to adhere to the policies, procedures, and schedules of the EEP.

In turn, M/HR/LERB provides guidance to managers regarding appropriate action for Agency management officials and employees who fail to comply with the policies, procedures, and schedules of the EEP. M/HR also formulates employee evaluation policies, procedures, and guidelines after monitoring the operation and evaluating implementation of the EEP, and the related pay and awards systems affected by this program.

To understand the policies and procedures for each part of the evaluation cycle, Principal Officers, Rating Officials, AC Representatives, and employees must first familiarize themselves with all aspects of the EEP.

462.3.1.1 Appraisal Period

Effective Date: 01/01/2005

USAID has established a one-year appraisal period for employees. The appraisal period is from January 1 through December 31. The [Rater of Record](#) must complete written performance appraisals at the end of the rating cycle (see [section 462.3.6](#)).

The [minimum appraisal period](#) is 120 days. All employees who are on an active performance plan of 120 days or more will receive an Annual Evaluation Form (AEF) ([AID Form 462-1](#)) at the end of their evaluation period.

462.3.1.2 Appraisal Input Form (AIF)

Effective Date: 01/01/2005

The Rating Official who is supervising the employee on December 31 is the rater of record and must complete the final AEF, regardless of the number of days the employee has been under his/her supervision. The Rating Official of record must use AIFs and other 360 degree information to complete the final AEF.

The Raters of the employee must complete an AIF when either the supervisor or employee changes assignment or responsibility and when the employee has been supervised for at least 30 calendar days. The AIF records [Performance Elements](#) and Standards and optional Performance Elements and Standards. The Rating Official must

- Complete the AIF at least two weeks before either the employee or the Rating Official changes jobs, unless M/HR/LERB grants a waiver;
- Provide the employee with the AIF at least five days prior to the performance feedback meeting;
- Hold a mandatory meeting with the employee to review and discuss the AIF; and

- Forward the AIF, with optional employee response, to the employee's next Rating Official (or Administrative Officer, EXO, or other employee designated by the Principal Officer) within two days after completion.

If an employee is on temporary duty (TDY) at another duty station for 30 days or more, an appropriate official at the TDY duty station must prepare an AIF on the employee's performance for the employee's Rating Official.

If requested during this stage, the AC can also be brought into the process and will have final approval authority.

462.3.1.3 Rating Officials

Effective Date: 01/01/2005

The Principal Officer of the Operating Unit designates the Rating Official. Rating Officials play an essential role in the EEP since they

- Develop optional Performance Elements and [performance standards](#) for each rated employee, if appropriate;
- Observe, evaluate performance, and provide ongoing feedback to each employee;
- Provide negative feedback in a timely manner and in writing;
- Conduct at least one mandatory mid-cycle review with each employee;
- Review the employee's [self-assessment](#) and work products, gather additional performance information from relevant sources (AIFs and other 360 degree input), draft the AEF ([AID Form 462-1](#)) and Skills Feedback Worksheet (SFW) ([AID Form 462-3](#)), and discuss both forms with the Appraisal Committee (AC), if requested.
- Submit the AEF to the AC for review and signature, if requested; and
- Discuss the final AEF and SFW with each rated employee.

Management Officials and ACs have the authority to seek guidance from M/HR/LERB regarding appropriate administrative action for any employee who fails to adhere to the policies, procedures, and schedules of the EEP.

462.3.1.4 Appraisal Committees (ACs)

Effective Date: 01/01/2005

Appraisal Committees (ACs) provide an organizational perspective on an employee's performance. The committees also ensure that all AEFs are fair and objective. An AC or AC Representative is involved in every aspect of the EEP, if requested.

a. AC Functions

ACs are responsible for the following actions:

- Review and sign performance plans, when requested by either the Rating Official or employee, and ensure that optional Performance Elements and performance standards are reasonable and attainable.
- Review substantive changes and sign mid-cycle performance reviews when requested by the Rating Official or employee.
- Assist Rating Officials with employee performance problems, when requested by the Rating Official or employee.
- Review and discuss draft AEFs and SFWs with Rating Officials, and recommend changes. This review includes ensuring that Rating Officials obtained 360 degree input and used it appropriately; ensuring that Rating Officials reviewed and considered employee self-assessments; and ensuring that evaluations are properly prepared and are equitable and objective.
- Make changes in the AEF, including adjectival ratings or the summary rating, and assumes final approval authority when participation is requested.

b. Who Is On The AC?

ACs are established at the beginning of the rating cycle and must include at least three members, not including Rating Officials. Rating Officials who are members of an AC must recuse themselves as members and may not participate in AC deliberations when the AC reviews the AEFs they prepared as Rating Officials and when the AC reviews their own AEF.

The AC should consist of knowledgeable career U.S. direct-hire (USDH) staff from the Operating Unit who are familiar with the unit's strategic objectives and have knowledge of the performance of the employees being evaluated. Every consideration should be given to the inclusion of peers on the AC. However, at least one member of the AC other than the Rating Official must be familiar with the work of the rated employee whose performance the AC will review. Large Operating Units must establish more than one AC to effectively review all employees.

The Principal Officer for each Operating Unit must establish the AC. The Officer must appoint only U.S. direct-hire career employees and untenured career candidates to ACs. Probationary CS employees are not eligible to serve on ACs. Only one untenured career candidate may serve on the AC and the untenured career candidate officer will not be allowed to serve as the committee chairperson. The Principal Officer may appoint supervisors, managers, or other individuals who have knowledge of the work of the Operating Unit.

462.3.1.5 Annual Evaluation Form (AID Form 462-1)

Effective Date: 01/01/2005

a. The AEF

The AEF ([AID Form 462-1](#)) is used to evaluate the performance of all U.S. Direct Hire employees other than FS, SFS, Foreign Service Nationals, Senior Executive Service employees, and Presidential Appointees. The Rating Official prepares, approves, and signs all AEFs unless participation of the AC is required or requested by the Rating Official or employee. If that is the case, completed AEFs are not official records of performance until approved by the appropriate Appraisal Committee. The employee does not need approval from the Rating Official to invoke AC participation.

See the [EEP Guidebook Part 2, Civil Service](#), for detailed information on the annual evaluation process.

When completing the AEF, do not exceed the space allowed. Complete the forms in 10 point Arial font only.

The AEF consists of seven sections:

1. Section 1 – Authentication of Performance Plan

Rating Officials complete this section, having appropriate parties sign to show that the AEF has been put in place.

2. Section 1-A – Authentication of Progress Review

Rating Officials complete this section, having appropriate parties sign to show that the mandatory [progress review](#) was held.

3. Section 1-B – Authentication of Final Annual Evaluation

Rating Officials complete this section, having appropriate parties sign to show that the final AEF has been completed.

4. Section 1-C – Final Annual Evaluation Performance Results

Rating Officials complete this section, indicating all 360 sources that were

contacted and the Summary Rating.

5. Section 2 – Role In The Organization

Rating Officials describe the employee's role in the organization in terms of organizational setting, including specific responsibility links Agency goals and unit strategic objectives, and the employee's principal duties, and Performance Elements and Performance Standards, if any.

6. Section 3 – Professional Development

Rating Officials complete this section if summary rating is less than Excellent.

7. Section 4 – Performance Elements and Standards

Rating Officials complete this section by establishing whether or not Performance Elements and Performance Standards are critical and by providing a narrative for each.

8. Section 5 – Final Summary Rating Explanation

Rating Official documents final summary rating if not self-explanatory or it varies from the majority or preponderance of adjectival ratings.

9. Section 6 – Critical Performance Elements and Performance Standards for Supervisors

Rating Officials of supervisors complete this mandatory critical element section.

10. Section 7 – Formal Mid-Cycle Progress Review

Rating Official documents mid-cycle progress review meeting, completing this page for all employees who are currently at the Needs Improvement or Unacceptable level.

b. Skills Feedback Worksheet

This worksheet is used to provide feedback and career guidance to employees. It is mandatory that the Rating Official use this tool throughout the evaluation period for professional development purposes and in evaluating the employee at mid-cycle review and for the end-of-year rating. However, it is not submitted to M/HR for filing in the employee's Performance Evaluation File. When completing this worksheet, the Rating Official must take into account the grade of the employee.

c. Employee Statement

This form ([AID form 462-2](#)) is used to enable employees to comment on the evaluation of their performance.

462.3.2 Performance Plans

Effective Date: 01/01/2005

Performance plans are documents prepared by the Rating Official in consultation with the employee that contain statements of performance expectations and results to be achieved. The plan informs the employee of the measures by which his or her performance will be judged. Performance plans consist of Performance Elements and Standards. There may also be optional Performance Elements, which are special assignments or projects.

The Rating Official approves the Performance Plan, and writes optional Performance Elements and Standards, if any, and gives it to the employee within 30 days of the beginning of the [annual rating cycle](#) or the employee's assignment to a new position. The AC reviews and signs Performance plans only if requested by the employee or Rating Official.

462.3.2.1 Optional Performance Elements

Effective Date: 01/01/2005

Performance Elements are either critical or non-critical. The Rating Official and employee are to collaborate in the development of the optional Performance Element(s) and Performance Standards. If a Rating Official decides to give an employee an optional (special assignment or project) Performance Element, the Performance Element must be within the employee's control to accomplish. Performance Plans must have at least one critical performance element. Performance Elements must be commensurate with the employee's official position grade.

462.3.2.2 Performance Standards

Effective Date: 01/01/2005

Employees and their Rating Officials must define Performance Standards for each Performance Element. Performance Standards address quantity, quality, timeliness, or the most cost-effective way of accomplishing the work objective. Rating Officials will establish Performance Standards at the "Fully Successful" level.

462.3.2.3 Review and Approval of Performance Plans

Effective Date: 01/01/2005

An AC is assigned to each Operating Unit to serve as a liaison among employees, and Rating Officials. The AC, when requested, will

- a. Review, provide input, and approve performance plans for all employees in the Operating Unit; and
- b. Review and approve any substantive revision of Performance Elements and Performance Standards during the rating period.

An employee's performance plan becomes effective the day after the Rating Official and employee sign the AEF. If an employee declines to sign the AEF, the Rating Official will annotate the AEF with an "x" in the employee signature block. If this is the case, the AC Representative will initial the signature block. The day after the date the Rating Official and AC Representative annotate the AEF is the date that the performance plan becomes official. The Rating Official must provide the employee with a copy of the performance plan.

462.3.3 Deficient Performance

Effective Date: 01/01/2005

If an employee is performing at less than the "Fully Successful" level against established Performance Elements and Standards, the Rating Official must provide timely and constructive feedback in writing, outlining the measures the employee must take to improve.

462.3.3.1 Managing Performance Problems

Effective Date: 01/01/2005

Misconduct is generally a failure to follow a workplace rule (whether written or unwritten). Although it is common for performance and misconduct to be interrelated, it is important to recognize the difference between the two. On issues of misconduct, the Rating Official must seek guidance from the Labor and Employee Relations and Benefits (M/HR/LERB) Division. When the issue is primarily a performance problem, the Rating Official must communicate expectations and performance problems to the employee and must also seek guidance from M/HR/LERB.

Consistent performance feedback is the best way to prevent performance problems from developing. In most cases, an open line of communication between the Rating Official and employee can resolve or improve performance problems. When the Rating Official determines that there is a performance problem, the Rating Official must conduct a counseling session with the employee. The counseling session will:

- a. Specify in which Performance Elements and or on which Performance Standards the employee is performing poorly;
- b. Reiterate the "Fully Successful" level of performance for the Performance Elements(s) and Standard(s); and

- c. Specify, in writing, how the employee can improve to achieve the “Fully Successful” level of performance.

462.3.4 Progress Reviews

Effective Date: 01/01/2005

Rating Officials must conduct at least one progress review with each employee, normally at mid-cycle during an appraisal period, and are encouraged to provide progress reviews to employees on a continuous basis throughout the rating cycle.

For the mid-cycle progress review, employees must provide the Rating Official with **360 degree sources** (names of customers, peers, subordinates (if any), and any other person with whom they may have worked during the rating cycle) who can provide the Rating Official with information about their performance.

During progress reviews, Rating Officials and employees are to discuss the employee's progress toward achieving Performance Elements and Performance Standards. If an employee is failing to meet a Performance Element, the Rating Official must counsel the employee and document in writing his or her deficient performance.

Rating Officials must document on the AEF in Section 7 – Progress Reviews an interim summary rating of what the employee's performance is to date. Narratives for Needs Improvement and Unacceptable must be indicated in Section 7.

If the employee's performance is at the Needs Improvement level, the Rating Official outlines the deficiencies in writing in Section 7 of the AEF and counsels the employee. The maximum allowance for improvement to the Fully Successful level or higher is 120 calendar days. Depending upon the time left in the rating period and the severity of the deficient performance, this time may be less than the 120 calendar day period. If performance has not improved to the Fully Successful level by the end of the rating cycle, the employee's next Within Grade Increase may be withheld.

If the employee's performance is at the Unacceptable level, the Rating Official outlines the deficiencies in writing in Section 7 of the AEF and counsels the employee. However, at this point, the employee is also to be placed on a Performance Improvement Plan (PIP). The maximum allowance for improvement to the Needs Improvement level or higher is 120 calendar days.

The Rating Official and employee must sign the AEF indicating that a mid-cycle progress review took place. If requested, the AC will be brought into the process and sign the AEF having final approval authority. However, if the employee's performance on a critical element is at the Needs Improvement or Unacceptable level, then it is mandatory that the AC be notified by the Rating Official. If an employee declines to sign a **mid-cycle review**, the Rating Official will check the box in Section 1-A. If this is the case, the AC representative will initial. The review then becomes part of the official record.

462.3.5 Gathering Appraisal Information

Effective Date: 01/01/2005

Rating Officials must base employee performance appraisals on multiple sources of information, including the following:

- a. Direct observation of performance and evaluation of representative work products;
- b. The employee's self-assessment of performance;
- c. Information solicited from individuals who can provide informed views of the employee's performance during the rating cycle (360 degree input sources); and
- d. All AIFs received from Rating Officials
- e. If rating a supervisor, the Rating Official must receive comments from at least two subordinates.

462.3.5.1 Employee Self-Assessments

Effective Date: 01/01/2005

At the end of the appraisal period, employees must provide Rating Officials with a written assessment of their performance during the appraisal period. Employees must include on the self-assessment a summary of comments received from AIFs completed by all other offices.

462.3.5.2 360 Degree Input Sources

Effective Date: 01/01/2005

a. Employee Submission of Names

At the end of the appraisal period, employees must also provide the Rating Official with the names of customers, peers, subordinates (if any), and any other person with whom they may have worked during the appraisal period who can provide the Rating Official with information about their performance. Rating Officials must contact at least three of these sources for performance information. However, Rating Officials can contact more if they desire to do so.

b. Agreeing on 360 Degree Input Sources

Rating Officials and employees are required to agree on at least three individuals whom the Rating Official will contact to gather performance information. Rating Officials are free to contact more than three individuals on the employee's list or other sources deemed appropriate to the Rating Official. AC members may be consulted if requested by the Rating Official or employee.

Rating Officials of supervisors are required to contact no fewer than two of the supervisor's subordinates for information about the supervisor's Leadership, Staff Development and Equal Employment Opportunity skills.

c. Soliciting Input from 360 Degree Input Sources

Rating Officials must focus their questions on job-relevant discussions of Performance Elements and Performance Standards. It is the Rating Official's responsibility to reconcile any differences of opinion and determine which viewpoint is most accurate.

Rating Officials' notes on feedback from 360 degree-input sources are personal working notes. If significant performance problems are identified during the process that will result in an employee receiving a Needs Improvement or Unacceptable, then the Rating Official will need supporting documentation.

462.3.6 Final AEF
Effective Date: 01/01/2005

Using the multiple sources of information described in 462.3.5, the Rater of Record must prepare the final AEF, in accordance with instructions on the AEF Form ([AID 462-1](#)) and guidance provided in section 462.3.

462.3.6.1 Professional Development
Effective Date: 01/01/2005

Professional development includes but is not limited to activities, training, details, assignments, projects that, alone or with others, provide learning opportunities for career growth.

462.3.6.2 Skills Feedback Worksheet (SFW)
Effective Date: 01/01/2005

The SFW ([AID Form 462-3](#)) is a tool that guides the Rating Official during the employee feedback session. The Rating Official must be mindful of the SFW throughout the rating cycle to provide performance feedback to the employee. The AC reviews the SFW only when requested by the Rating Official or employee. However, it is not part of the official rating of record.

462.3.6.3 Rating of Record
Effective Date: 01/01/2005

Every employee will receive a rating of record. A rating of record is the performance rating prepared at the end of the appraisal period for performance over the entire period. Ratings of record include adjectival performance ratings for each Performance Element and Performance Standard and a summary rating.

If a Rating of Record cannot be prepared at the end of the rating cycle, the appraisal period will be extended. A rating of record must be prepared when the minimum appraisal period has been met.

No Rating of Record may be assigned for employees solely for affecting an employee's Reduction in Force (RIF) retention standing.

Rating Officials must not assign Ratings of Record according to a predetermined or forced distribution. All Ratings of Record must reflect an employee's performance against specific Performance Elements and Performance Standards.

462.3.6.4 Adjectival Ratings for Performance Elements Effective Date: 01/01/2005

The Rating Official must determine the performance level the employee attained for each established Performance Element and Performance Standard and assign an adjectival rating. An employee's Rating of Record must be consistent with the procedures for deriving summary ratings in 462.3.6.5 below.

The five adjectival ratings follow:

Outstanding: Work performance consistently exceeds established Performance Elements and Standards.

Excellent: Work performance usually exceeds established Performance Elements and Standards.

Fully Successful: Work performance consistently meets established Performance Elements and Standards

Needs Improvement: Work performance meets some, but not all established Performance Elements and Standards

Unacceptable: Work performance does not meet any established Performance Elements and Standards

462.3.6.5 Summary Ratings Effective Date: 01/01/2005

All employees will be assigned a summary rating based on the adjectival ratings of each of the employee's Performance Elements and optional Performance Elements, as follows:

Outstanding (Level 5): A majority of critical Performance Elements and critical optional Performance Elements are rated Outstanding AND none are rated below Fully Successful, unless the supervisor briefly explains the basis for assigning any other permissible Summary Rating.

Excellent (Level 4): A majority or preponderance of critical Performance Elements and optional Performance Elements are rated Excellent or are averaged to Excellent, unless the supervisor briefly explains the basis for assigning a different permissible Summary Rating.

Fully Successful (Level 3): A majority or preponderance of critical Performance Elements and optional Performance Elements are rated Fully Successful or are averaged to Fully Successful, unless the supervisor briefly explains the basis for assigning a different permissible Summary Rating.

Needs Improvement (Level 2): A majority or preponderance of critical Performance Elements and optional Performance Elements are rated Needs Improvement, unless the supervisor briefly explains the basis for assigning a different permissible Summary Rating.

Unacceptable (Level 1): Any one critical Performance Element or optional Performance Element is rated Unacceptable.

462.3.7 Employee Feedback Sessions

Effective Date: 01/01/2005

The Rating Official must discuss the draft AEF with the employee. This discussion allows the employee to point out any discrepancies, inconsistencies, or gross omissions on the draft AEF.

The employee has five working days from the date of the discussion of his or her AEF to submit documentation regarding this matter. The Rating Official, absent documented good cause, then has two working days to revise the AEF, as appropriate.

The Rating Official must conduct an end-of-cycle performance review with the employee at which the Rating Official discusses the employee's evaluation, areas of improvement, and professional development needs and goals. Professional development discussions may result in proposed formal training, on-the-job training, stretch assignments, or detail(s) to another office(s).

The Rating Official must use the SFW (Skills Feedback Worksheet) ([AID Form 462-3](#)) as a feedback tool and provide the employee with a copy. This document is not submitted to M/HR, but remains with the employee and the Rating Official.

Employees must be given the opportunity to express any concerns with the evaluation and are strongly encouraged to prepare an [Employee Statement \(AID Form 462-2\)](#). Employees have a mandatory period of five working days to review the approved AEF and prepare an Employee Statement, if desired.

462.3.8 AC Review of the Evaluation

Effective Date: 01/01/2005

ACs are responsible for reviewing and discussing each employee's AEF and SFW with the responsible Rating Official, if requested, at any point in the rating cycle.

When reviewing an employee's evaluation, ACs will review self-assessments, contact anyone (including the employee and selected 360 degree input sources), and review documents relied on by the Rating Official in order to make appropriate recommendations and decisions. The Rating Official is mandated to make the requested changes, including adjectival and/or summary ratings, as the AC has final approval authority.

ACs are responsible for ensuring that AEFs are balanced, fair, and accurate.

AC members who reviewed final AEFs will have their names typed at the bottom of Section 1-B of the AEF. The AC Representative must sign the final AEF.

462.3.9 Principal Officer's Role

Effective Date: 01/01/2005

The Principal Officer is responsible for managing the Operating Unit's performance evaluation program by adhering to Agency policies, procedures, and schedules. The Principal Officer also disseminates information on the EEP to Rating Officials and employees in the Operating Unit.

Principal Officers establish Operating Unit AC membership, standard procedures, and internal deadlines and designate Rating Officials, who in most situations will be the employee's supervisor.

462.3.10 Submission of Annual Evaluation Forms

Effective Date: 01/01/2005

The AMS or other employee designated by the Principal Officer must forward approved AEFs to the Bureau for Management, Office of Human Resources, Executive Management (M/HR/EM) for retention in the employee's Performance Evaluation File (PEF) and distribution as appropriate. The Principal Officer of an Operating Unit is responsible for ensuring that all AEFs are submitted to M/HR/EM.

All AEFs submitted after the prescribed due dates must include a statement explaining the reason(s) for the lateness. M/HR/EM will review these statements to determine whether the delays have been adequately explained. If it is determined that the delay was not justified, M/HR/EM will refer the matter to the Director, Office of Human Resources (M/HR), who will decide whether action should be taken. The Director, M/HR may decide to issue a critical letter. If warranted, this letter will serve to deny or reduce any award or performance bonus for the year in which the AEFs were due.

462.3.11 Training
Effective Date: 01/01/2005

All Agency employees will be offered training and information about the EEP. Information will include a guidebook (**see mandatory reference, [Employee Evaluation Program Guidebook Part 2, Civil Service](#)**) describing the operation of the program and the roles and responsibilities of employees, Rating Officials, and ACs. In addition to this and Agency-sponsored supervisory and managerial courses and other learning activities, Operating Units may request special briefings or training sessions on the program.

462.4 MANDATORY REFERENCES

462.4.1 External Mandatory References

- a. [5 U.S.C. 43](#)
- b. [5 CFR 430, Subpart B](#)

462.4.2 Internal Mandatory References

- a. [Employee Evaluation Program Guidebook Part 2, Civil Service](#)

462.4.3 Mandatory Forms

- a. [AID Form 462-1, Annual Evaluation Form](#)
[Instructions, Civil Service AEF](#)
- *b. [AID Form 462-2, Skills Feedback Worksheet](#)
- *c. [AID Form 462-3, Employee Statement](#)
- d. [AID Form 462-4, Appraisal Input Form](#)

462.5 DEFINITIONS

The terms and definitions listed below have been incorporated into the ADS Glossary. See the [ADS Glossary](#) for all ADS terms and definitions.

360 degree sources

Customers, peers, other managers, subordinates, and other individuals with whom or for whom an employee may have worked who can provide feedback, from their various perspectives, about the employee's performance during any period of performance currently being evaluated. (Chapter 462)

Annual Evaluation Form (AEF)

The form used to evaluate employees under the Employee Evaluation Program (EEP). (Chapters 415, 462, 463)

annual rating cycle

A one-year evaluation period, which is January 1 – December 31. (Chapter 462)

Appraisal Committee

A committee that reviews and provides management input into employee Performance Elements and Performance Standards (if requested), reviews mid-point performance (if required or requested), and reviews end-of-year AEFs (mandatory if requested or required if Needs Improvement or Unacceptable). (Chapter 462)

Appraisal Committee Representative

A member of the Appraisal Committee, who acts as liaison to the Appraisal Committee for a specific employee and his/her Rating Official. (Chapter 462)

Appraisal Input Form (AIF)

An evaluation form covering a period of performance of at least 30 days that is long enough to require written documentation of performance against an established performance plan. (Chapter 462)

employee statement

A optional statement that accompanies the AEF allowing an employee to comment on his/her performance for the current rating cycle. (Chapter 462)

feedback

Communicating to employees the extent to which their performance does not meet, meets, or exceeds expectations, the adequacy of their relevant skills, and their progress toward career development goals. (Chapter 462)

mid-cycle review

A mandatory progress review to be held by the Rating Official and employee at or near the mid-point in the appraisal period. (Chapter 462)

minimum appraisal period

The minimum performance period of 120 days that must be completed before a performance rating can be given. (Chapter 462)

Needs Improvement Performance

Work performance meets some, but not all established Performance Elements and Performance Standards. (Chapter 462)

Non-critical element

A performance element that, while sufficiently important to be documented on the Annual Evaluation Form (AEF), would not result in an Unacceptable summary rating for the annual rating cycle if performance on this element was unacceptable. (Chapter 462)

Opportunity period (Performance Improvement Period)

The period during which an employee is given a reasonable time to demonstrate acceptable performance, where the performance had been determined to be unacceptable. (Chapter 462)

Optional Performance Element(s)

Special assignment(s) or project(s) established by management for a particular rating period. (Chapter 462)

Performance Elements

Work responsibility for an employee established by management for a particular rating period. (Chapter 462)

Performance Standard

Criteria (qualitative and quantitative) that measure an employee's achievement of a given performance element. (Chapter 462)

performance plan

The completed Annual Evaluation Form at the beginning of the performance cycle, which consists of Performance Elements and Performance Standards. (Chapter 462)

Principal Officer

The most senior officer in a USAID Operating Unit, who establishes the Appraisal Committees for that Operating Unit, e.g., Assistant Administrator, Independent USAID/W Office Director, Mission Director, or USAID Representative. (Chapter 462)

progress review

Progress reviews may be held periodically throughout the rating cycle, during which the Rating Official provides feedback to the employee about performance or progress toward career development goals. Also see mid-cycle review. (Chapter 462)

Rating Official

The employee's immediate supervisor or team leader, as designated by the Principal Officer. (Chapter 462)

Rater of Record

The Rating Official who officially (according to record) supervises the employee at the end of the evaluation period, December 31. (Chapter 462)

self-assessment

A narrative written by the employee commenting on the performance of each Performance Element and performance standard, or any other performance. (Chapter 462)

Unacceptable Performance

Performance that fails to significantly meet the Performance Standard established for a Performance Element or optional Performance Element. (Chapter 462)

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