



# POLICY STATEMENT

Policy Statement 430.2

Policy Area: Human Resources

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## PERFORMANCE MANAGEMENT PROGRAM

### I. COVERAGE

This Policy Statement covers all Court Services and Offender Supervision Agency for the District of Columbia (hereinafter, "CSOSA" or "the Agency") General Schedule employees or equivalent, including law enforcement officers classified under the GL pay plan code. This Policy Statement does not apply to employees classified within the Senior Executive Service or Senior Level positions or Pretrial Services Agency employees.

### II. PURPOSE

This Policy Statement revises the performance management program for CSOSA, to improve the effectiveness of the appraisal of employee performance in the accomplishment of the Agency's mission and goals. The CSOSA performance management program is aligned with its mission, Strategic Plan, strategic goals, operational strategies, Human Capital Management objectives, and annual performance measures. The purpose of the performance management program is to hold employees accountable for achieving results, and to use performance as the key criterion for promotions, salary increases, awards, retention, and addressing performance deficiencies. CSOSA's performance management program requires the use of critical elements and standards that use credible measures of performance (e.g., standards that are observable, measurable and/or demonstrable) and establishes a five-level appraisal structure.

### III. POLICY

The performance management program is the systematic process by which CSOSA involves its employees in improving organizational effectiveness in the accomplishment of the Agency's mission and goals. Performance management is used to communicate organizational strategic goals, ensure employee accountability, and track and evaluate individual and organizational

performance results. The stages of the performance management program include: planning work and setting expectations, continually monitoring employee performance, developing an employee's capacity to perform, periodically rating performance in a summary fashion, and rewarding good performance.

CSOSA Executive Staff, first-line supervisors (Rating Officials) and second-line supervisors (Approving Officials) must comply with the requirements, processes, and timelines outlined in this Policy. The CSOSA Office of Human Resources (OHR) is responsible for managing the Agency's employee performance program and working with supervisors to ensure that employee performance requirements outlined in this Policy are completed and enforced in a timely, equitable, and accurate manner. The OHR employee responsible for this function is the Employee Performance Manager.

#### **IV. AUTHORITIES, SUPERSEDESURES, REFERENCES, AND ATTACHMENTS**

##### **A. AUTHORITIES:**

1. Performance Appraisal, 5 U.S.C. Chapter 43
2. Part 430 of title 5, Code of Federal Regulations, "Performance Management"
3. Part 531 of title 5, Subpart D Code of Federal Regulations, "Within-Grade Increases"
4. Part 293 of title 5, Subpart C Code of Federal Regulations, "Official Personnel Folder"

The following citations are related to this document:

1. Part 771 of title 5, Code of Federal Regulations, "Agency Administrative Grievance System"
2. Part 792 of title 5, Code of Federal Regulations, "Federal Employees' Health and Counseling Programs"
3. Adverse Actions, 5 U.S.C. Chapter 75, 5 CFR Part 752
4. Incentive Awards, 5 U.S.C. Chapter 45; Awards, 5 CFR Part 451
5. Pay Rates and Systems, 5 U.S.C. Chapter 53; Pay Under the General Schedule, 5 CFR Part 531; Grade and Pay Retention, 5 CFR Part 536; Pay Administration (General), 5 CFR Part 550

6. Actions based on unacceptable performance, 5 U.S.C. 4303; and Performance Based Reduction in Grade and Removal Actions, 5 CFR Part 432

The establishment and content of performance expectations set forth in individual performance plans are not negotiable terms for collective bargaining under 5 U.S.C. 7106(a)(2)(A) and (B). Exclusive representatives of bargaining units may bargain on the impact and implementation of a performance management program under 5 U.S.C. 7106(b)(2) and (3).

The provisions of this Policy Statement are subject to modification by changes in pertinent statutes and Office of Personnel Management (OPM) regulations. In these cases, the applicable provision or provisions of this Policy Statement shall be considered automatically amended or superseded and effective on the dates specified in the statute or regulation.

**B. SUPERCEDURES:**

1. HRD 430.2 – Performance Management System, dated 3/29/01
2. All Performance Plans issued under the prior 3-Level performance management system.

**C. REFERENCES:**

1. PS 451.3 – Incentive Awards and Recognition Program
2. HRD 771.1 – Conflict Resolution Procedure
3. HRD 752.1 – Disciplinary and Adverse Actions
4. U.S. Office of Personnel Management, Performance Appraisal and Assessment Tool
5. AFGE Local 727 and CSOSA Collective Bargaining Agreement.

**D. ATTACHMENTS:**

- Appendix A - General Procedures
- Appendix B - Definitions
- Appendix C - Responsibilities
- Appendix D - Guide to Non-Standard Situations
- Appendix E - Description of Summary Levels

## APPENDIX A GENERAL PROCEDURES

### A. PERFORMANCE PLANS:

1. Critical elements will be established for each position covered by this program, which will, to the maximum extent feasible, permit the accurate evaluation of job performance on the basis of results achieved by the employee during the appraisal period. Performance plans will contain a **minimum of three** and a **maximum of six** critical elements. Each critical element must be developed by aligning the results and expectations of each employee to the organizational goals and mission of the Agency. The critical elements must express the specific results that will be expected to be accomplished to support the Agency's mission. Each **critical element must contain, at a minimum, three expected results/accomplishments**. A critical element will address work assignments and responsibilities of such importance that unacceptable performance (Level 1) on a critical element will result in a determination that the employee's overall performance is Level 1, "Unacceptable". All elements in the performance plan must be critical.
2. **A critical element will have at least three corresponding performance standards, which must, at a minimum, describe performance at the Level 3 "Fully Successful"**. Performance standards must be observable, measurable, and/or demonstrable. The performance standards must be written to account for the quality, quantity, timeliness, cost-effectiveness, and/or manner of employee work performance results. Additional work performance standards may be written at the additional Levels (e.g., Level 1, Level 2, Level 4, and/or Level 5).
3. A supervisor may attach supplemental performance standards in lieu of writing the performance standards within the space provided in the performance plan. Supplemental performance standards must be observable, measurable, and/or demonstrable and written to account for the quality, quantity, timeliness, cost-effectiveness, and/or the manner of performance in the accomplishment of work performance. The performance plan must state which critical element is measured by the supplemental standards and those supplemental standards must be attached to the performance plan. The purpose of supplemental standards is to allow the use of measurable standards that cannot be clearly articulated within the limited space provided by the performance plan template.
4. Critical elements, performance standards, element ratings, and the summary rating, must be documented on the employee's performance plan.

5. Critical elements must be assigned a **weighted value of no less than 15 percent**; and the sum of all critical elements **must equal 100 percent**. The assigned weighted values must be whole numbers; no fractional weights or scores are permitted.
6. All employees (including supervisors) must have at least one performance standard that measures customer service performance.
7. All supervisory employees must have performance standards that measure: employee perspectives, customer perspectives, and accountability for the performance management of subordinates.
8. Each covered employee will receive an annual summary rating based on the established results-oriented critical elements and corresponding performance standards.
9. Employees are strongly encouraged to participate in the development of their performance plans. In many Agency positions it will be necessary for the results and standards within the performance plan to be consistent across that entire group of employees to ensure fairness in the successful accomplishment of the employee's unit and the Agency mission. Employees covered by performance plans that have standards applicable to many employees are also encouraged to provide feedback to their supervisors about the performance results and standards to ensure the performance plan is a true and effective measure of performance.

**B. RATING CYCLE/DUE DATES:**

1. The appraisal cycle for the CSOSA performance management system is **July 1st through June 30th**. During the first year of implementation, the appraisal cycle will be abridged to **August 1, 2013 through June 30, 2014**.
2. The **minimum appraisal period is 90 calendar days**. The minimum appraisal period begins on the date that an employee receives his or her performance plan.
3. Performance plans must be established, approved, and provided to the employee within 30 calendar days of the beginning of each appraisal year (July 30<sup>th</sup>). Performance plans for employees who enter on duty with the Agency, or who enter a new position within the Agency, should generally be provided to that employee on, or as near as possible to, the employee's first day of work.

During the first year of the performance management program's implementation, supervisors and managers will provide performance plans to the employees within 60 calendar days of the abridged appraisal year (September 30, 2013). This allotted time period (only applicable to the first year) is to allow for the development and implementation of the new results-oriented, 5-level performance plan.

4. A mandatory progress review must be conducted in or about the midpoint of the appraisal period. It is encouraged that the progress review takes place between the first line supervisor and employee in-person, where possible. Additional progress reviews throughout the annual appraisal cycle are optional, yet encouraged. Employees performing below the Level 3 on a critical element are expected to have additional progress reviews. Each Executive Staff member or designee (e.g. Office Director), is accountable for ensuring employees in their organization(s) receive mandatory progress reviews in or about the midpoint of the appraisal year (January). Each Executive Staff member or designee is responsible for providing the dates of these progress reviews to the Employee Performance Manager who will assemble all progress review dates, provide oversight, and prepare reports as required.
5. Agency employees (both supervisory and non-supervisory) are expected to complete training on the components and operations of the performance management program at least once every two years. Separate training will be offered to supervisors and employees. New supervisors and employees are expected to attend the first available performance management program training after entrance on duty.

### **C. SUMMARY RATING:**

1. The performance management program will use five summary levels: Levels 5-1.

Brief descriptions of the five summary levels are listed below:

- **Level 5** is "Outstanding", or rare, exceptional, performance that represents the highest level of accomplishment. Level 5 is performance that consistently exceeds the performance standard; the quality is outstanding; and overall contribution is of maximum benefit to the organization and stands out from that of most employees.
- **Level 4** is "Exceeds Expectations", a level of unusually good performance that is noteworthy. Level 4 is performance that often exceeds the performance standard. The level of performance is commendable and often viewed as a model for other employees.

- **Level 3** is “Fully Successful” or “Fully Meets Expectations” and represents performance that has fully met the expectations measured by the performance plan. Level 3 is performance typical of a capable, productive performer. Efforts infrequently require minor rework or other corrective measures.
- **Level 2** is “Minimally Meets Expectations” and demonstrates positive contributions, but also shows notable deficiencies. Level 2 is performance that does not consistently and/or fully meet the organization's needs. Performance is inconsistent and problems caused by deficiencies counterbalance acceptable work.
- **Level 1** is “Unacceptable” and represents performance that fails to meet the requirements of one or more critical elements. The employee's work products fall short of requirements of the element. Level 1 performance efforts require significant rework or other corrective measures. The quality, quantity, timeliness, and/or cost-effectiveness of the employee's performance results under this element are inadequate for the position.

Full descriptions of the five summary levels can be found in Appendix E.

2. Summary ratings are computed based on employee performance at each of the three or more individual performance elements. Summary ratings are derived by multiplying the critical element's rating level by the assigned element weight to achieve a critical element score. The critical element scores are then added to achieve a summary rating score, which is used to assign a summary rating. Regardless of the numeric summary rating score, a Level 1 rating on any one element requires that the employee's summary rating be Level 1, “Unacceptable”.
3. Summary ratings must be fully discussed with employees. This is accomplished after the summary rating has been reviewed and approved by the Approving Official (e.g., Associate Director, Office Head, or second-level supervisor). Employees will receive a copy of the summary rating.
4. When rating a critical element, a rating official may determine that an employee's performance on the results of a critical element was inconsistent. For example, the employee may have performed at Level 4 on several major results within a critical element and at Level 2 on several others. In such a case, the rating official must consider the overall effect of the employee's work on the element and make a judgment as to the appropriate rating level he or she will assign. Additionally, when possible, the rating

official may choose to assign weights within a critical element to explicitly state the importance of each result within a critical element.

5. The results of an employee's performance appraisal may be used as a basis for training, rewarding, reassigning, promoting, reducing in grade, retaining, and removing an employee.
6. An employee who demonstrates a high level of performance should be recognized and/or rewarded for such performance. A list of possible awards provided by the Agency to recognize employee performance and reward special accomplishments is included in *Policy Statement 451.3 "Incentive Awards and Recognition Program"*. Examples of monetary and non-monetary awards include Special Act Awards, On-the-Spot Awards, and Time-Off awards.
7. Performance awards may be granted based on the accomplishment of organizational goals and the availability of agency funding. A performance award is linked to the summary rating for the most recent annual appraisal cycle. Supervisors and managers are specifically prohibited from discussing proposed awards with employees since awards budgets often impact a proposed award. For example, ratings and awards recommended by Rating Officials are not considered final until approved. Although performance awards are linked to the annual summary rating, other awards may be granted throughout the year for special accomplishments (*See PS 451.3*).
8. Employees shall continually be provided with constructive suggestions to improve their job performance. When a supervisor determines that the employee has performance deficiencies which are at the Level 1 (Unacceptable) or Level 2 (Minimally Meets) on any element, the supervisor must provide written feedback to the employee. This written feedback should be provided as soon as deficiencies are noticed and may be provided at any time during the appraisal year, including (but not limited to) during progress review(s). When an employee's performance is deemed to be below the Level 3 on a critical element, supervisors should contact their servicing Employee and Labor Relations Specialist. For example, when an employee's performance on a critical element is considered to be at the Level 2, one recommended practice is to provide the employee a Letter of Direction, Letter of Instruction, Performance Action Plan or other written document, which offers informal written guidance on identifying and improving specific areas of performance.

9. After being provided an opportunity to improve Level 1 performance through a performance improvement period (PIP), employees whose performance remains unacceptable (Level 1), may be reassigned, reduced in grade, or removed.
10. In accordance with 5 CFR 531.404(a), employees who are deemed to be performing at a summary rating Level 2 or Level 1 will not be eligible for a Within Grade Increase until his or her performance improves to the summary rating level of Level 3 or higher.
11. In accordance with 5 CFR 430.208(c), the method for deriving and assigning a summary level may not limit or require the use of particular summary levels (i.e., establish a forced distribution of summary levels).
12. Employees will be encouraged to submit written documentation of their accomplishments for the final appraisal and may also provide documentation prior to a progress review. Upon an employee's request, written documentation provided by an employee should be attached to the performance plan.
13. Rating officials must provide written justification for each critical element rating above or below the Level 3.
14. Employees are ratable if they occupy a covered position on the last day of the appraisal cycle and have served under a performance plan for the minimum appraisal period of 90 calendar days. For example, an employee who enters on duty prior to April 1<sup>st</sup>, has worked during a 90 calendar day period under a performance plan, and occupies a position on June 30<sup>th</sup>, must receive a summary rating.
15. Rating officials must conduct a final appraisal meeting with a covered employee within 30 days of the end of the appraisal year or period. Rating officials will consider an employee's accomplishments and results tied to organizational goals and objectives in conducting the final appraisal. Prior to the rating official meeting with the employee and providing a final summary rating, the summary rating must be approved by the approving official.
16. Service credit for reduction-in-force purposes is linked to the rating level in accordance with 5 CFR 351.504.
17. Supervisors and managers must meet prescribed performance appraisal responsibilities and deadlines, and take appropriate action against an employee whose performance is

“Unacceptable”. Timely and appropriate completion of this managerial requirement will be a performance metric in his/her progress review and appraisal.

18. Employees are considered unratable if they did not work the minimum appraisal period (90 days) in one or more covered positions during the appraisal cycle. In the event that an employee enters on duty with fewer than 90 days remaining in the appraisal year (EODs after April 1), the rating year must be extended until the employee has worked under a performance plan for a period of 90 calendar days. Once the 90 day minimum appraisal period has been reached, the new employee shall be provided a summary rating based on the performance plan for that period. Supervisors must provide at least one progress review, even for those employees covered under a 90 day minimum appraisal period, per 5 CFR 430.207(b). For new employees entering a position with fewer than 90 days remaining in the appraisal year, the progress review should be completed approximately midway through the 90 day minimum appraisal period.
19. An employee may request informal or formal reconsideration of his or her rating. An employee may request reconsideration of his or her rating by attempting to resolve the disagreement informally with the rating official. Employees who seek formal reconsideration of their annual rating must pursue their request for reconsideration through the appropriate grievance procedure. Although ratings may be reconsidered under informal or formal processes, the critical elements and performance standards may not be grieved. The grievance procedure for performance ratings is outlined in Human Resources Directive (HRD) 771.1, Conflict Resolution Procedure (for non-bargaining unit employees) or the applicable Negotiated Grievance Procedures (for bargaining unit employees). If an employee believes that he/she was subjected to a discriminatory performance rating based on a protected equal employment opportunity (EEO) basis, he/she may file an EEO complaint with the EEO office.
20. Each division or office is accountable for ensuring an employee receives an annual rating of record within 30 calendar days following the end of the rating year (**by July 30th**), unless extenuating circumstances occur. Each division or office is responsible for providing a performance plan and an annual performance appraisal summary rating for each covered employee to the Employee Performance Manager within the prescribed time period. The Employee Performance Manager is responsible for ensuring the performance plans/summary ratings are included in each Employee Performance Folder (EPF) and updated within the personnel database.

**D. SOURCES OF PERFORMANCE FEEDBACK:**

The first level supervisor's observations and review of their employees' work performance and work product remain the primary basis for the performance rating. Raters are encouraged to notify employees at the time the performance plans are issued that they will consider other relevant feedback during the appraisal period to include in the performance review (*e.g.*, customer service comments regarding employees responsible for providing service to internal/external clients; feedback on an employee's ability to work effectively with other offices in furtherance of the Agency's mission, etc.).

**E. CHANGES IN POSITIONS DURING THE RATING PERIOD:**

1. When an employee changes his/her position (*e.g.* enters a position with a new performance plan and significantly different duties and responsibilities) before the end of the rating period, but after working under an Agency performance plan at least 90 days, an interim summary rating will be prepared by the previous supervisor prior to the position change to document the assessment of the performance in the previous position. The new supervisor will consider the interim summary rating in determining the rating of record.
2. When an employee changes his/her position (*e.g.* enters a position with a new performance plan and significantly different duties and responsibilities) after April 1st, the rating year shall be extended by 90 days from the date of the issuance of the new performance plan to allow for sufficient time for the new supervisor to assess performance. The previous supervisor should prepare an interim summary rating prior to the position change. The new supervisor must consider the interim summary rating in determining the rating of record. For example, if an employee changes positions on May 15, 2014 (and the employee receives a performance plan on his or her first day of work in the new position), the rating year shall be extended to end on August 15, 2014. In these situations, managers should ensure that these employees are provided equitable consideration when determining awards.
3. When an employee is moved within a division or office (*e.g.* the employee maintains a position with similar duties and responsibilities but is assigned a new supervisor) before the end of the rating year, but after working in the position for at least 90 days, an interim summary rating is not required. The previous supervisor shall transfer all appraisal information to the new supervisor. The new supervisor shall incorporate the existing appraisal information into the rating of record at the end of the appraisal year.
4. When an employee is moved within a division or office (*e.g.* the employee maintains a position with similar duties and responsibilities but is assigned a new supervisor) after

April 1, the rating year shall be extended by 90 days from the date of the move to allow for sufficient time for the new supervisor to assess performance. In this situation an interim summary rating is not required. The previous supervisor shall transfer all appraisal information to the new supervisor. The new supervisor shall incorporate the existing appraisal information into the rating of record at the end of the appraisal year. For example, if the employee move occurs on May 15, 2014, the rating year shall be extended to end on August 15, 2014. In these situations, managers should ensure that these employees are provided equitable consideration when determining awards.

5. If an employee is detailed for more than 90 days within the Agency, the detail supervisor must provide narrative performance information at the end of the detail and at the end of the performance year (if applicable). This information will be considered by the supervisor-of-record in deriving the employee's next summary rating.
6. If an employee is detailed outside of the Agency, CSOSA will make reasonable efforts to obtain narrative performance appraisal information from the supervisor of the outside agency. This information will be considered by the supervisor-of-record in deriving the employee's next summary rating.
7. If an employee receives a career-ladder promotion, the employee will be rated at the end of the performance year, unless additional circumstances (as detailed in this section) require the performance year to be extended. The supervisor must consider the employee's full year of performance (assessed at each applicable grade) in determining the rating of record.
8. If an employee receives a promotion where the new position involves significant differences in duties and responsibilities, management has the discretion to issue a rating of record at the end of the performance year, or to extend the rating period by 90 days from the issuance date of the new performance plan. The supervisor must consider the full year of performance (assessed at each applicable grade) in determining the rating of record.
9. When an employee's immediate supervisor departs from his/her position, he/she shall transfer all appraisal information to the second-level supervisor. When possible, it is also encouraged that departing supervisors prepare interim summary ratings for their employees. The new supervisor shall meet with the second-level supervisor to incorporate existing appraisal information into the employee's rating of record. As an alternative, or when a new supervisor is not in place at the end of the rating period, the second-level supervisor can choose to provide the rating of record for the employee. At

management's discretion, if the second-level supervisor does not believe that there is sufficient information to provide the employee with a rating of record, the rating year may be extended by 90 days from the date following the departure of the former supervisor or the date of the entrance of a new supervisor.

10. There is no minimum required period of time during which a supervisor must hold his or her new position before he or she can complete an employee's appraisal, as long as the supervisor held the position on the last day of the appraisal cycle. However, in the event that a departing supervisor did not complete an interim summary rating, a new supervisor must request input from the second level supervisor and other management officials with knowledge of the employee's performance and work product during the appraisal period. When an interim summary rating was prepared by the previous supervisor, this rating must be considered in the preparation of the rating of record. If the employee does not have a new supervisor on June 30, the second-level supervisor will provide the rating of record, or extend the rating year if deemed necessary (as provided in paragraph 9 above). If the rating year is extended, management should ensure that these employees receive equitable consideration for awards.

#### **F. LEVEL 1 (UNACCEPTABLE PERFORMANCE):**

1. At any time during the appraisal year, when an employee's performance has notable and sustained deficiencies and his or her performance is considered to be at the Level 1 "Unacceptable" on one or more critical elements, the supervisor must provide the employee a formal, written notice of this determination, including the critical element(s) involved, with specific examples. The supervisor must offer remedial guidance to the employee, provide goals and measures of success and inform the employee of the performance level that must be reached in order to be retained. A supervisor or rating official must provide the employee with at least a 60-day time period in which to demonstrate improvement. This is referred to as the **Performance Improvement Period (PIP)**. During the PIP, the final rating will typically be suspended, except when a summary rating is necessary for a WGI determination. The PIP should state the performance that needs to be improved and cite examples, the support and resources the supervisor will provide to assist the employee, and the possible consequences. The supervisor will provide feedback on the employee's progress during the PIP. The PIP does not apply to employees serving an initial probationary or trial period, whose employment must be terminated if performance is considered unacceptable.

2. At the conclusion of the PIP, a final summary rating is issued to the employee. However, if the performance has not improved to at least the Level 2, the supervisor or manager must initiate an action to reassign, demote, or remove the employee. If the employee's summary performance has improved to the Level 3 or "Fully Meets Expectations" level or better, any pending Within-Grade Increase will be processed.
3. If an employee's performance improves to at least the Level 2, "Minimally Meets", as a result of the PIP, but decreases to the "Unacceptable" level within one year of the date of issuance of the PIP, a rater may take action without providing a new PIP to the employee.
4. If an employee has performed at the Level 2 or higher for one year from the beginning of the PIP and the employee's performance again becomes unacceptable, the agency shall afford the employee an additional opportunity to demonstrate acceptable performance before determining whether to propose a reduction in grade or removal.

#### **G. WITHIN GRADE INCREASES AND QUALITY STEP INCREASES:**

1. **Within-Grade Increase (WGI)** - An employee paid at less than step 10 of his/her grade shall earn advancement in pay to the next higher step of that grade upon meeting the following requirements:
  - a. The employee's performance must be at an acceptable or above level of competence (*i.e.*, a rating of Level 3, Level 4, or Level 5)
    - i. When a within-grade increase decision is not consistent with the employee's most recent rating of record a more current rating of record must be prepared.
    - ii. The rating of record used as the basis for an acceptable level of competence determination for a within-grade increase must have been assigned no earlier than the most recently completed appraisal period.
  - b. The employee **must have** completed the required waiting period for advancement to the next higher step of the grade of his/her position (see subsection d below).
  - c. The employee **must not have** received an "equivalent increase" (*e.g.*, a promotion) during the waiting period. An increase in an employee's rate of basic pay shall not be considered an equivalent increase when it results from:
    - a statutory pay adjustment;
    - periodic adjustment of a wage schedule;
    - establishment of higher minimum rates;
    - quality step increase; or

- temporary or term promotion when returned to the permanent grade and step.
- d. The waiting periods for within-grade increases are as follows:
- 52 weeks to move to Steps 2, 3 and 4;
  - 104 weeks to move to Steps 5, 6 and 7; and
  - 156 weeks to move to Steps 8, 9 and 10.
2. **Quality Step Increase (QSI)** - A QSI may only be awarded based on receipt of a Level 5 “Outstanding” summary performance rating. A QSI may not be granted if an employee received one within the preceding 52 consecutive calendar weeks. QSI recommendations shall accompany the rating and must include a brief justification that addresses the employee’s high quality performance. In addition, to justify a QSI, the high quality performance must be expected to continue. The expectation is that these increases will be limited in number and granted to recognize the performance of the Agency’s very best performers.

#### **H. CASH AWARDS:**

Awards will be processed in accordance with *PS 451.3, “Incentive Awards and Recognition Program”*, until superseded, and by any additional instructions which may be issued by OHR, the Office of Financial Management (OFM), the Office of Management & Administration (M&A), or the Office of the Director (OD).

#### **I. RECORDS:**

1. **Maintenance:** Copies of each employee's current and previous performance ratings of record (four years old or less), including the performance plans on which the performance ratings were based, will be retained in the Employee Performance Folder (EPF) in OHR. Copies of performance ratings issued for temporary assignments and other performance related documents will also be kept in the EPF.
2. **Disposition:** When an employee’s Official Personnel Folder (OPF) is sent to another Federal agency, or to the National Personnel Records Center, the OHR shall include in the OPF all performance ratings of record that are four (4) years old or less, including the performance plan on which the most recent performance rating was based. Summary performance ratings that may have been issued when employees change positions are also retained for four (4) years and filed in the EPF.

## **APPENDIX B DEFINITIONS**

- A. **Alignment** - the results measured within the critical elements of each performance plan cascade directly from CSOSA's mission, Strategic Plan, strategic goals, operational strategies, Human Capital Management objectives, and/or annual performance measures. This alignment should be clearly indicated on the performance plan.
- B. **Appraisal** - the act or process of evaluating the performance of an employee against the prescribed performance standard(s).
- C. **Approving Official** – the second-level supervisor who is responsible for approving the assignment of the summary rating.
- D. **Career-Ladder Promotion** - a non-competitive promotion within an established career progression path based on: (1) fully acceptable or higher performance level, (2) the employee's demonstration of the ability to perform successfully at the higher grade; (3) budgetary resources; (4) the availability of work at the higher level, and (5) supervisory approval.
- E. **Covered Employee** - all CSOSA General Schedule employees or equivalent, including law enforcement officers classified under the GL pay plan code. This Policy Statement does not cover employees classified within the Senior Executive Service or Senior Level positions or Pretrial Services Agency employees.
- F. **Critical Element** - a component of an employee's job that is of such importance that performance at the Level 1, "Unacceptable", as established by management, would result in a determination that an employee's overall performance is unacceptable. Critical elements shall be used to measure performance only at the individual level.
- G. **Critical Element Score** – the score derived by multiplying an assigned employee's performance Level for an Element by the assigned weight of that element. The sum of the Critical Element Scores is the Summary Rating Score, which is used to assign a Summary Rating (with the exception of "Level 1" performance).
- H. **Employee Involvement** - employees are strongly encouraged to participate in the creation of their performance plans by providing input on their results and performance activities to supervisors. Employees are also strongly encouraged to provide a written

summary of accomplishments before their appraisal meetings. In many Agency positions it will be necessary for the results and standards within the performance plan to be consistent across that entire group of employees to ensure fairness in the successful accomplishment of the employee's unit and the Agency mission: employees performing the same work must be held to the same expectations and standards. Employees covered by performance plans that have standards applicable to many employees are also encouraged to provide feedback to their supervisors about the performance standards and results to ensure the performance plan is a true and effective measure of performance.

- I. **“Exceeds Expectations” or Level 4 Performance** – Performance in the applicable critical element which is significantly higher than normally expected. (See Appendix E for a full description)
- J. **“Fully Successful”/ “Fully Meets Expectations” or Level 3 Performance** - overall performance of the duties and responsibilities which satisfies the normal expectations of the supervisor on critical elements. (See Appendix E for a full description)
- K. **Interim Summary Rating** - A summary rating assigned at a time other than the end of the appraisal period. An Interim Summary rating may be provided upon reassignment, departure of supervisor, or as needed, to determine performance competency for a WGI or to provide a record of an employee's performance prior to the end of the appraisal period. An Interim Summary Rating should be prepared in the same manner as a Summary Rating.
- L. **“Minimally Meets” or Level 2 Performance** - this level of performance, while demonstrating some positive contributions to the organization, shows notable deficiencies. It is below the level expected for the position, and requires corrective action. (See Appendix E for a full description)
- M. **Minimum Appraisal Period** – The minimum time an employee must have held a position under a performance plan to receive a summary rating of record. The minimum appraisal period is 90 calendar days. The minimum appraisal period begins on the date that an employee receives a performance plan.
- N. **Narrative Feedback** – The Performance Management Program requires written narrative feedback for each critical element rated Level 1, Level 2, Level 4, or Level 5. When providing written narrative feedback, the supervisor should provide detailed, specific, and objective comments on performance during the rating period. General statements such as “Good Job”, “Keep up the Good Work”, or “Needs Improvement” are insufficient

without specific examples justifying the performance rating. Additionally, during a progress review, written narrative feedback must be provided if the employee is determined to be performing below the Level 3 on at least one critical element. When an employee is deemed to be performing below the Level 3 on a critical element, the supervisor must contact OHR, Employee and Labor Relations, for assistance on providing written constructive feedback and suggestions.

- O. **“Outstanding” or Level 5 Performance** – the highest level of performance. The results and accomplishments of the employee during the appraisal period far exceed the standards within the performance plan. (See Appendix E for a full description)
- P. **Performance** - an employee's accomplishment of assigned work as specified in the critical elements and as measured against the performance standards of the employee's position.
- Q. **Performance Appraisal** - the act or process of reviewing and evaluating the performance of an employee against established performance criteria.
- R. **Performance Action Plan (PAP)** - an informal counseling memorandum notifying an employee that his/her performance of at least one critical element has fallen below the Level 3 (Fully Successful level). The PAP identifies performance deficiencies and provides assistance by describing the actions needed to improve performance to at least the Level 3. A PAP is considered informal because it does not constitute a formal opportunity to improve performance and may not result in a proposed removal or reduction in grade.
- S. **Performance Improvement Period (PIP)** – a period which begins when an employee is provided a formal, written notice of the supervisor’s determination that the employee’s performance is considered to be at the “Unacceptable” level on one or more critical elements. The PIP notice must state the critical element(s) involved, with examples, offer remedial guidance, inform the employee of the performance level that must be reached in order to be retained, and provide for a 60-day period in which to demonstrate the specified performance improvement.
- T. **Performance Award** - a lump-sum cash award based on overall performance achievement as documented in the annual performance rating.

- U. **Performance Plan** – the documentation of performance expectations communicated to employees by supervisors. Plans define the critical elements and the performance standards by which an employee's performance will be evaluated.
  
- V. **Performance Standards** - management-approved expressions of the performance threshold(s), requirement(s), or expectation(s) that must be met to be appraised at a particular level of performance. At least three performance standards written at the Level 3 “Fully Successful” must be established for each critical element and included in the employee performance plan. Supervisors are encouraged to provide performance standards at the additional Levels. The performance standards measure how employee results were accomplished and should be written in terms of quality, quantity, timeliness, cost-effectiveness, and/or manner of performance.
  
- W. **Performance Year** – the 12 month period beginning July 1st and ending June 30th during which an employee’s performance is rated.
  
- X. **Probationary Period** – the initial period of Federal employment for employees in the Competitive Service (or “trial period” in the Excepted Service), which is designed to allow the employee an opportunity to demonstrate acceptable performance and compatibility with the Agency. An employee is also required to serve a probationary period prescribed by the Agency upon initial appointment to a supervisory and/or managerial position.
  
- Y. **Progress Review** - a meeting at approximately the midpoint of the performance year between the first level supervisor and employee to review and discuss the employee’s performance, duties and responsibilities, performance standards, performance goals and objectives, critical elements, appropriate training, and remedial action if appropriate. At least one progress review must be conducted each appraisal period. Additional progress reviews throughout the performance year are optional, yet encouraged. Employees performing below the Level 3 on a critical element are expected to have additional progress reviews. Progress reviews are not considered formal ratings; however, employees must be informed whether they are performing at the Level 3 or above on all critical elements. Employees should not receive a rating during the progress review. Progress reviews may be initiated at any time by a supervisor or at an employee’s request. When the results/standards in a performance plan are modified during a progress review, the performance plan must be annotated to document any new performance requirements or changes to existing performance requirements.

Z. **Quality Step Increase (QSI)** – a pay increase from one step of a grade to the next higher step based on a Level 5, “Outstanding” performance rating. An employee may not receive a QSI in the same performance year that he/she receives a performance award.

AA. **Performance Rating** - the appraisal of the employee's performance compared to the elements and standards established in the performance plan.

BB. **Rating Official (First-Line Supervisor)** - the first level of management to whom the employee reports; he or she is responsible for appraising the performance of an employee under his/her direct supervision.

CC. **Rating of Record** - The evaluation of an employee's performance as compared to the elements and standards for performance over the entire appraisal period.

DD. **Reduction in Force** - in the Federal Government, layoffs are called reduction in force (RIF) actions. When an agency must abolish positions, the RIF regulations determine whether an employee keeps his or her present position, or whether the employee has a right to a different position. Performance ratings are one of the four retention factors.

EE. **Summary Level** - An ordered category of performance from Level 1 through Level 5, with Level 1 as the lowest and Level 5 as the highest.

FF. **Summary Rating** - A summary rating is the employee's overall performance as assigned from Level 1 through Level 5, with Level 1 as the lowest and Level 5 as the highest. The Summary Rating is prepared using the Summary Rating Score (with the exception of Level 1 performance). When a summary rating includes the consideration of performance under a prior position or includes consideration of Interim Ratings, this should be noted in a written narrative.

GG. **Summary Rating Score** - The sum of numeric critical element scores. The Summary Rating Score is compared against a pre-defined distribution (e.g. Level 5 = 470-500; Level 4 = 380-469; Level 3 = 290 – 379; Level 2 = 200 – 289) to determine the Summary Rating. The one exception is the Summary Rating of a “Level 1”, which is required when one or more individual critical elements are rated at the “Level 1”.

HH. **Supplemental Performance Standards** – detailed standards attached to the performance plan in lieu of standards written within the performance plan template. Supplemental standards should only be used when the standards are better articulated in an attachment to the plan due to their detail or measurement criteria. When supplemental standards apply

to a critical element, the performance plan must explicitly indicate this. For example, within the applicable critical element, the performance plan could state: “Please see attached supplemental standards for this critical element”.

- II. **Unacceptable Performance (Level 1)** – performance on one or more critical elements which fails to meet the minimum standards as set forth for retention. This rating describes performance that cannot be accepted as satisfactory, i.e., the employee failed to meet the prescribed standard on one or more critical elements. A rating of “Unacceptable” on any one critical element will result in an overall rating of “Unacceptable” and will serve as the basis for the initiation of remedial action. (See Appendix E for a full description)
- JJ. **Within Grade Increase (WGI)** - a periodic pay increase from one step of the employee’s grade to the next higher step in the employee’s grade based on performance at or above the Level 3, “Fully Successful” summary rating.

### **APPENDIX C RESPONSIBILITIES**

Performance management is an inherent responsibility for all employees within the Agency. Both management and employees have significant roles. The individuals involved in the performance management process and their roles include:

- A. The Director, who is responsible for setting general policies for the administration of the Performance Management Program.
- B. The Associate Director for Human Resources, Office of Human Resources (OHR), who is responsible for overall implementation of this Policy Statement, to include developing and maintaining necessary procedures and instructions for the administration of the Performance Management Program; for providing initial and on-going training; and for processing salary increases, performance awards, and other personnel actions approved pursuant to this Policy Statement.
- C. The OHR Assistant Director for Policy, Performance and Telework (Employee Performance Manager), who is responsible for the overall management of the Performance Management Program; assisting management and employees with the creation, modification or deletion of performance plans, when necessary; collecting all completed performance appraisals and progress review dates to ensure compliance with OPM guidance; ensuring performance management training is provided to employees and supervisors/managers as needed; ensuring the EPF for each employee is updated with his or her performance appraisal following the end of the performance year; providing reports to the Director that ensure continual accountability across the Agency; recommending/implementing changes to policy and procedures, when necessary; and providing the Performance Appraisal Assessment Tool or other Agency response to OPM, the Government Accountability Office (GAO), or other oversight organization, as needed.
- D. The Executive Staff, who are responsible for the overall compliance of the requirements of this policy within their respective Division/Offices. Executives are responsible for reviewing and approving performance awards that are warranted, subject to budgetary constraints. Executives are also responsible to ensure that newly assigned supervisors complete Performance Management Training for Supervisors within six (6) months of assignment to a supervisory position. Executives are accountable for ensuring the meeting of performance management deadlines/requirements in their Offices/Divisions, including the timely completion and submission of progress reviews and summary ratings to the Employee Performance Manager. Executives must also review the management of

performance within their respective areas against total organizational performance to enforce fairness, mission accomplishment, and accountability. Executives are responsible for ensuring critical elements within their Offices/Divisions reflect current Agency priorities and that the standards within performance plans are specific, measurable and sufficiently rigorous, to ensure the accomplishment of Agency mission and goals.

- E. Second level supervisors (Approving Officials), who review and approve performance plans and ratings of those employees reporting through subordinate levels of management, and are responsible for compliance with the requirements of this Policy Statement, including the identification of critical elements and performance standards, the timely submission of performance ratings, and the recommendation of performance awards when warranted.
- F. First level supervisors (Rating Officials), who are responsible for developing, modifying or deleting Performance Plans; issuing performance plans for employees within 30 days of the beginning of the performance year; rating the performance of all assigned employees through summary ratings (or interim ratings, if necessary); conducting and documenting progress reviews; meeting with new employees (or new to the team) to establish the appropriate performance plans as soon as possible from the date of team assignment; and recommending employees for a performance award when warranted. New supervisors are also expected to attend the first available Performance Management Training for Supervisors and are required to attend this training within six (6) months of assignment to a supervisory position.
- G. Employees, who are responsible for participating in the development of performance plans; documenting their work accomplishments for both the progress review(s) and the final appraisal; participating in the progress review(s) and the final appraisal process; providing input into the creation of the performance plan, and most importantly, accomplishing the results and activities detailed in their performance plans.

**APPENDIX D**  
**GUIDE TO NON-STANDARD SITUATIONS**

<b>Situation</b>	<b>Performance Plan</b>	<b>Action To Be Taken</b>
Employee is reassigned from one position (A) to another position (B) prior to April 1 <sup>st</sup> . There are significant differences in the duties and responsibilities of the two positions.	Provide interim summary rating if supervised in position A for 90 days. Establish performance plan for new position B with an end date of June 30 <sup>th</sup> .	If performance standards were in place for position A for at least 90 days, provide an interim summary rating for the employee prior to the reassignment. Issue a new performance plan to the employee with an end date of June 30 <sup>th</sup> . The interim summary rating must be considered by the supervisor of position B when determining the rating of record.
Employee is reassigned from one position (A) to another position (B) on or after April 1 <sup>st</sup> . There are significant differences in the duties and responsibilities of the two positions.	Provide interim summary rating if supervised in position A for 90 days. Establish performance plan for new position B with an end date of 90 days from the issuance of the new performance plan.	If performance standards were in place for position A for at least 90 days, provide an interim summary rating for the employee prior to the position change. Issue a new performance plan to the employee as close as possible to the date of the position change. Provide an appraisal period end date of 90 calendar days from the date of that planning meeting. Extend the rating year accordingly, but also ensure that the employee receives equitable consideration for performance awards. The next appraisal year should start on the date following the end of this extended appraisal year.
Between April 2 <sup>nd</sup> and June 30 <sup>th</sup> , an employee is hired from outside the Agency and receives a performance plan.	Establish performance plan for 90 calendar days.	If there are fewer than 90 calendar days remaining in the appraisal period, issue a performance plan to the employee as soon as possible. Extend the appraisal period until the employee has served the 90 day minimum appraisal period under the performance plan and then rate the employee. This applies to all new employees who EOD and receive a performance plan after April 1 <sup>st</sup> . This procedure ensures that new employees have a summary rating on file for WGI determinations.
Employee is moved within a division or office (e.g. the	Supervisor and employee must	When an employee is moved within a division or office (e.g. the employee maintains a position with similar

<p>employee maintains a position with similar duties and responsibilities but is assigned a new supervisor) before the end of the rating period, but after working in the position for at least 90 days.</p>	<p>discuss performance expectations, but a new performance plan is not required.</p>	<p>duties and responsibilities but is assigned a new supervisor) before the end of the rating period, but after working in the position for at least 90 days, an interim summary rating is not required. The new supervisor shall incorporate the existing appraisal information into the rating of record at the end of the appraisal year.</p>
<p>Employee is moved within a division or office (e.g. the employee maintains a position with similar duties and responsibilities but is assigned a new supervisor) after April 1<sup>st</sup> and has worked in the position for at least 90 days.</p>	<p>Supervisor and employee must discuss performance expectations, but a new performance plan is not required. The rating year is extended 90 days from date of move.</p>	<p>When an employee is moved within a division or office (e.g. the employee maintains a position with similar duties and responsibilities but is assigned a new supervisor) after April 1<sup>st</sup>, an interim summary rating is not required. The rating year shall be extended by 90 days from the date of the move to allow for sufficient time for the new supervisor to assess performance. The new supervisor shall incorporate the existing appraisal information into the rating of record at the end of the appraisal year. Organizations must ensure that these employees receive equitable consideration for awards.</p>
<p>The employee's immediate supervisor departs from his/her position with fewer than 90 days remaining in the appraisal period.</p>	<p>The new supervisor or second-level supervisor provides the rating of record. Management can choose to extend the rating period, if necessary.</p>	<p>When a first-level supervisor departs from his/her position with fewer than 90 days remaining in the appraisal period, he or she shall transfer all appraisal information to the second-level supervisor. When possible, it is also encouraged that departing supervisors prepare interim summary ratings for their employees. The new supervisor shall meet with the second-level supervisor to incorporate existing appraisal information into the employee's rating of record. As an alternative, or when a new first-level supervisor has not been assigned, the second-level supervisor may choose to provide the rating of record. However, if management does not believe that there is sufficient information to provide a rating of record, the rating year may be extended by 90 days from the date following the departure of the first-level supervisor or the date of the entrance of a new supervisor.</p>
<p>Employee is detailed or temporarily assigned to another position in CSOSA (with</p>	<p>Employee and supervisor-of-record must receive</p>	<p>At the end of a detail or temporary assignment with duration of 90 calendar days or more, the detail supervisor shall, at a minimum, provide the employee</p>

<p>significant differences in the duties and responsibilities), and the time in that position is expected to be at least 90 days by the end of the appraisal period.</p>	<p>narrative performance information at end of detail.</p>	<p>and supervisor-of-record with narrative performance information. If possible, the detail supervisor may also prepare a summary interim rating. The supervisor-of-record shall consider all performance information received during the appraisal period in preparing the employee's rating of record.</p>
<p>Employee is detailed or assigned outside CSOSA and the time in the outside organization or agency is expected to be at least 90 days. Employee is in a covered position within CSOSA on June 30<sup>th</sup>.</p>	<p>Make a reasonable effort to receive performance feedback from the outside entity.</p>	<p>If an employee is on a detail or assignment outside of CSOSA for 90 calendar days or more, the rating official will make a reasonable effort to obtain performance information from that outside assignment, especially if the employee was not on a CSOSA performance plan for at least 90 days during the appraisal period. At a minimum, the rating official will request a memorandum describing the assignments performed by the employee and an assessment of how well the employee performed the assignments. The CSOSA rating official will consider all performance information received during the appraisal period in preparing the rating of record. If an employee is on a detail outside of CSOSA on June 30<sup>th</sup>, contact the Employee Performance Manager to determine the appropriate method for assigning a rating of record.</p>
<p>An employee is promoted between April 2<sup>nd</sup> and June 30th.</p>	<p>If the promotion is a career-ladder promotion, the employee shall be rated at the end of the appraisal year. If the promotion involves significantly different duties, the rating year may be extended.</p>	<p>1) If the promotion is a career-ladder promotion, the employee shall be rated at the end of the rating cycle and the supervisor will consider performance at both grades.                   2) If the promotion is competitive and the new position involves significant differences in duties/responsibilities, management has the discretion to issue a summary rating at the end of the rating period in consideration of the full year of performance, or to extend the rating period by 90 days from the date of the new performance plan's issuance.</p>
<p>A non-standard situation, which is not described above.</p>		<p>Contact the Employee Performance Manager, OHR.</p>

## **APPENDIX E**

### **DESCRIPTION OF SUMMARY LEVELS**

#### **LEVEL 5**

This is a level of rare, high-quality performance. The quality and quantity of the employee's work substantially exceed Level 3 standards and rarely leave room for improvement. The impact of the employee's work is of such significance that organizational objectives were accomplished that otherwise would not have been. The accuracy and thoroughness of the employee's work on this element are exceptionally reliable. Application of technical knowledge and skills goes beyond expectations. The employee significantly improves the work processes and products for which he or she is responsible. This person plans so that work follows the most logical and practical sequence. He or she develops contingency plans to handle potential problems *and* adapts quickly to new priorities and changes in procedures and programs without losing sight of the longer-term purposes of the work. These strengths in planning and adaptability result in early or timely completion of work under all but the most extraordinary circumstances. Exceptions occur only when delays could not have been anticipated. The employee's planning skills result in cost-savings to the government. In meeting element objectives, the employee handles interpersonal relationships with exceptional skill, anticipating and avoiding potential causes of conflict and actively promoting cooperation with clients, co-workers, and his or her supervisor.

The employee seeks additional work or special assignments related to this element at increasing levels of difficulty. The quality of such work is at the highest level and is done on time without disrupting regular work. Appropriate problems are brought to the supervisor's attention; most problems are dealt with routinely and with exceptional skill. The employee's oral and written communication is exceptionally clear and effective. Complicated or controversial subjects are presented or explained effectively to a variety of audiences so that desired outcomes are achieved.

Examples include:

- Innovations, improvements, and contributions to management, administrative, technical, or other functional areas that have influence outside the work unit;
- Increases office and/or individual productivity;
- Improves customer, stakeholder, and/or employee satisfaction, resulting in positive evaluations, accolades, and recognition; methodology is modeled outside the organization;
- Easily adapts when responding to changing priorities, unanticipated resource shortages, or other obstacles;

- Initiates significant collaborations, alliances, and coalitions;
- Leads workgroups or teams, such as those that design or influence improvements in program policies, processes, or other key activities;
- Anticipates the need for, and identifies professional developmental activities that prepare staff and/or oneself to meet future workforce challenges; and/or
- Consistently demonstrates the highest level of ethics, integrity and accountability in achieving specific CSOSA goals; makes recommendations that clarify and influence improvements in activities.

SUPERVISORY (above standards also apply):

The employee is a strong leader who works well with others and handles difficult situations with dignity and effectiveness. The employee encourages independence and risk-taking among subordinates, yet takes responsibility for their actions. Considers the views and perspectives of others, the employee promotes cooperation among peers and subordinates, while guiding, motivating, and stimulating positive responses. The employee's work performance demonstrates a strong commitment to fair treatment, equal opportunity, and the affirmative action objectives of the organization. Performs a variety of coordinating, coaching, facilitating, and planning functions for the team in a way that not only facilitates the accomplishment of organizational goals, but also results in substantial innovation in work processes that result in improvements in the overall quality, quantity, and timeliness of products, services, and/or work products assigned to the team. Accomplishes work priorities by utilizing an expert knowledge of the work as well as superior leadership skills.

**LEVEL 4**

This is a level of unusually good performance. The quantity and quality of work under this element are consistently above average. Work products rarely require even minor revision. Thoroughness and accuracy of work are reliable. The knowledge and skill the employee applies to this element are clearly above average, demonstrating problem-solving skill and insight into work methods and techniques. The employee follows required procedures and supervisory guidance so as to take full advantage of existing systems for accomplishing the organization's objectives. The employee plans the work under this element so as to proceed in an efficient, orderly sequence that rarely requires backtracking and consistently leads to completion of the work by established deadlines. He or she uses contingency planning to anticipate and prevent problems and delays. Exceptions occur when delays have causes outside the employee's control. Cost savings are considered in the employee's work planning. The employee works effectively on this element with co-workers, clients, as appropriate, and his or her supervisor, creating a highly successful, cooperative effort. He or she seeks out additional work or special assignments

that enhance accomplishment of this element and pursues them to successful conclusion without disrupting regular work. Problems which surface are dealt with and supervisory intervention to correct problems occurs rarely.

The oral and written expression applied to this element are noteworthy for their clarity and effectiveness, leading to improved understanding of the work by other employees and clients of the organization. Work products are given positive feedback because they are well-presented.

Examples include:

- Effectively plans, is well-organized, and completes work assignments that reflect requirements;
- Decisions and actions demonstrate organizational awareness. This includes knowledge of mission, function, policies, technological systems, and culture;
- Independently follows-up on actions and improvements that impact the immediate work unit; establishes and maintains strong relationships with employees and/or clients; understands their priorities; balances their interests with organizational demands and requirements; effectively communicates necessary actions to them and employee/customer satisfaction is conveyed; and/or
- When serving on teams and workgroups, contributes substantively and completely according to standards identified in the plan.

SUPERVISORY (above standards also apply):

The employee is a good leader, establishes sound working relationships and shows good judgment in dealing with subordinates by considering their views and perspectives. He or she provides opportunities for staff to have a meaningful role in accomplishing organizational objectives and makes special efforts to improve each subordinate's performance. The employee effectively distributes work and monitors team members' work performance to ensure completion of work in accordance with the supervisor's work plans. The team leader coordinates, coaches, and facilitates work of the team in a way that enables the team to consistently deliver services and/or work products that exceed established standards of performance of quality and timeliness, and contribute significantly to the accomplishment of organizational goals and objectives.

**LEVEL 3**

This is the level of good, sound performance. The quality and quantity of the employee's work under this element are those of a fully competent employee. The performance represents a level of accomplishment expected of the great majority of employees. The employee's work products fully meet the requirements of the element. Major revisions are rarely necessary; most work

requires only minor revision. Tasks are completed accurately, thoroughly, and in a timely way. The employee's technical skills and knowledge are applied effectively to specific job tasks. In completing work assignments, he or she adheres to procedures and format requirements and follows necessary instructions from supervisors. The employee's work planning is realistic and results in completion of work by established deadlines. Priorities are duly considered in planning and performing assigned responsibilities. Work reflects a consideration of costs to the government when possible.

In accomplishing element objectives, the employee's interpersonal behavior toward supervisors, co-workers, and customers promotes attainment of work objectives and poses no significant problems. The employee completes special assignments so their form and content are acceptable and regular duties are not disrupted. The employee performs additional work as his or her workload permits. Routine problems associated with completing assignments are resolved with a minimum of supervision. The employee speaks and writes clearly and effectively.

Examples include:

- Acquires new skills and knowledge to meet assignment requirements;
- Demonstrates ethics, integrity and accountability to achieve CSOSA goals; and
- Resolves operational challenges and problems without assistance from higher-level staff.

SUPERVISORY (above standards also apply):

The employee is a capable leader who works successfully with others and listens to suggestions. The employee rewards good performance and corrects poor performance through sound use of performance appraisal systems, performance-based incentives and, when needed, adverse actions: and selects and assigns employees in ways that use their skills effectively.

The employee's work performance shows a commitment to fair treatment, equal opportunity, and the affirmative action objectives of the organization. The employee successfully leads subordinate team members in the accomplishment of assigned projects and workload. The employee ensures adequate understanding of the work requirements and coordinates, coaches, and facilitates accomplishment of the team's work. The employee ensures that the unit provides timely and quality services and/or work products that contribute to the accomplishment of the organization's goals and objectives.

**LEVEL 2**

This level of performance, while demonstrating some positive contributions to the organization, shows notable deficiencies. It is below the level expected for the position, and requires corrective action. The quality, quantity or timeliness of the employee's work is less than Level 3, jeopardizing attainment of the element's objectives. There is much in the employee's performance that is useful. However, problems with quality, quantity or timeliness are too frequent or too serious to ignore. Performance is inconsistent and problems caused by deficiencies counterbalance acceptable work. These deficiencies cannot be overlooked since they create adverse consequences for the organization or create burdens for other personnel. When needed as input into another work process, the work may not be finished with such quality, quantity and timeliness that other work can proceed as planned. Although the work products are generally of usable quality, too often they require additional work by other personnel. The work products do not consistently and/or fully meet the organization's needs. Although mistakes may be without immediate serious consequences, over time they are detrimental to the organization. A fair amount of work is accomplished, but the quantity does not represent what is expected of Level 3 employees. Output is not sustained consistently and/or higher levels of output usually result in a decrease in quality. The work generally is finished within expected timeframes but significant deadlines too often are not met. The employee's written communication usually considers the nature and complexity of the subject and the intended audience. It conveys the central points of information important to accomplishing the work. However, too often the communication is not focused, contains too much or too little information, *and/or* is conveyed in a tone that hinders achievement of the purpose. In communication to coworkers, the listener must question the employee at times to secure complete information or avoid misunderstandings.

Examples include:

- Occasionally fails to meet assigned deadlines;
- Work assignments occasionally require major revisions or often require minor revisions;
- Does not consistently apply technical knowledge to work assignments;
- Occasionally fails to adhere to required procedures, instructions, and/or formats on work assignments;
- Occasionally fails to adapt to changes in priorities, procedures or program direction; and/or
- Impact on program performance, productivity, morale, organizational effectiveness and/or customer satisfaction needs improvement.

SUPERVISORY (above standards also apply):

Inadequacies surface in performing supervisory duties. Deficiencies in areas of supervision over an extended period of time adversely affect employee productivity or morale, or organizational effectiveness. The Level 2 employee does not provide strong leadership or take the appropriate

initiative to improve organizational effectiveness. For example, he or she too often fails to make decisions or fulfill supervisory responsibilities in a timely manner, to provide sufficient direction to subordinates on how to carry out programs, to give clear assignments and/or performance requirements, and/or to show an understanding of the goals of the organization or subordinates' roles in meeting those goals. The employee does not always motivate the team and promote a team spirit. Performance at this level indicates that improvement or additional development is needed for the employee to operate at an acceptable level.

### **LEVEL 1**

The quantity and quality of the employee's work under this element are inadequate for the position. The employee's work products fall short of requirements of the element. The employee's work products arrive late or often require major revisions because the work products are incomplete or inaccurate in content. The employee fails to apply adequate technical knowledge to complete the work of this element. Either the knowledge applied cannot produce the needed products, or it produces technically inadequate products or results. Lack of adherence to required procedures, instructions, and formats contributes to inadequate work products. Because the employee's work planning lacks acceptable logic or realism, critical work remains incomplete or is unacceptably late. Lack of attention to priorities causes delays or inadequacies in essential work: the employee has concentrated on incidental matters.

The employee's behavior obstructs the successful completion of the work by lack of cooperation with clients, supervisor, and/or co-workers, or by loss of credibility due to irresponsible speech or work activity. In dealing with special projects, the employee either sacrifices essential regular work or fails to complete the projects. The employee fails to adapt to changes in priorities, procedures, or program direction and, therefore, cannot operate adequately in relation to changing requirements. The oral and written expression the employee uses in accomplishing the work of this element lacks the necessary clarity for successful completion of required tasks. Communication failures interfere with completion of work.

Examples include:

- Consistently fails to meet assigned deadlines;
- Work assignments often require major revisions;
- Fails to apply adequate technical knowledge to completion of work assignments;
- Frequently fails to adhere to required procedures, instructions and/or formats in completing work assignments; and/or
- Frequently fails to adapt to changes in priorities, procedures or program direction.

SUPERVISORY (above standards also apply):

Most of the following deficiencies are typically, but not always, common. Below are some of the characteristics of the employee's work:

- Inadequate guidance to subordinates;
- Inattention to work progress;
- Failure to motivate subordinates to meet organizational goals; and
- Failure to properly distribute, monitor, and ensure completion of the team's workload.

Due to the employee's deficiencies, the team is unsuccessful in delivering work products that meet standards for quality, timeliness, accuracy, and/or cost-effectiveness.