

APPENDIX 5

PMAP Document 5-Tier



DEPARTMENT OF HEALTH AND HUMAN SERVICES
HHS EMPLOYEE PERFORMANCE PLAN

EMPLOYEE'S NAME (Last, First, MI)		APPRAISAL PERIOD From: _____ To: _____
ORGANIZATION	POSITION TITLE, SERIES, AND GRADE	

I. PERFORMANCE PLAN DEVELOPMENT, MONITORING AND APPRAISAL

A. Performance Plan Development - Establishes Annual Performance Expectations

[NOTE: The employee's signature does not necessarily mean agreement; only that the plan has been communicated.]

B. Progress Review - Written narrative required if performance on any element is less than Achieved Expected Results.

RATING OFFICIAL'S SIGNATURE	DATE
EMPLOYEE'S SIGNATURE	DATE

C. Summary Rating - Section II, Critical Elements, must be completed in order to generate this Summary Rating.

[NOTE: The employee's signature does not necessarily indicate agreement; only that the rating has been communicated.]

Critical Element Ratings	Points Assigned	Employee PMAP Score
Level 5: Achieved Outstanding Results (AO)	4.50 to 5.00	
Level 4: Achieved More than Expected Results (AM)	3.60 to 4.49	
Level 3: Achieved Expected Results (AE)	3.00 to 3.59	
Level 2: Partially Achieved Expected Results (PA)	2.00 to 2.99	
Level 1: Achieved Unsatisfactory Results (UR)	1.00 to 1.99	

RATING OFFICIAL'S SIGNATURE	DATE
REVIEWING OFFICIAL'S SIGNATURE (if required by OPCIV/STAFFD/IV Head and required if rating is Achieved Unsatisfactory Results)	DATE
EMPLOYEE'S SIGNATURE	DATE

EMPLOYEE'S NAME (Last, First, MI)	APPRAISAL PERIOD From: _____ To: _____
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The following guidance will be followed in determining an overall summary rating:

A rating will be assigned to each critical element (Administrative Requirements (Part A. of this Section) and the individual critical elements under the Individual Performance Outcomes (Part B. of this Section). This rating will be based upon the extent to which the employee's performance meets one of the "Performance Standards" defined in Section V.

The rating level definitions will be assigned a numerical score as follows:

Critical Element Ratings	Points Assigned
Level 5: Achieved Outstanding Results (AO)	5.00
Level 4: Achieved More than Expected Results (AM)	4.00
Level 3: Achieved Expected Results (AE)	3.00
Level 2: Partially Achieved Expected Results (PA)	2.00
Level 1: Achieved Unsatisfactory Results (UR)	1.00

NOTE: Performance plans must include one or more outcomes that include or track back to the HHS Strategic Plan.

A. ADMINISTRATIVE REQUIREMENTS - CRITICAL ELEMENT

NOTE: The supervisor should determine, by marking the appropriate boxes, which aspects of this critical element apply to the employee's job duties and responsibilities.

For Managers/Supervisors & Team Leaders**

- Actively engages in the hiring process with their assigned human resources specialist(s) from start to finish of on-boarding. This includes ensuring the established hiring process timelines are met.
- Communicates program and management goals to staff; identifies targeted results/outcomes, and timeframes. Allocates and adjusts resources in response to workload and priority changes.
- Plans, organizes, and assigns unit work.
- Establishes employee performance plans, and completes required reviews and final ratings.
- Appropriately recognizes and rewards employee performance.
- Assesses employees' individual developmental needs, and provides developmental opportunities to staff.
- Ensures employee awareness of, and compliance with, requirements relative to ethics, financial disclosure, avoiding conflicts of interest, standards of ethical conduct, political activity, and procurement integrity.
- Demonstrates support for EEO/diversity and employee work life quality, fostering a cooperative work environment where diverse opinions are solicited and respected.
- Seeks resolution of workplace conflicts at earliest stage.
- Where applicable, ensures that HHS, OPDIV/STAFFDIV, and program goals and requirements for correcting grant, procurement, and finance system weaknesses are achieved or exceeded.
- Other aspects (describe): _____

* To be applied only to Team Leaders who have official position descriptions identifying them as team leaders.

(Summary Rating Elements, continued)

EMPLOYEE'S NAME (Last, First, MI)	APPRAISAL PERIOD From: _____ To: _____
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II. CRITICAL ELEMENTS

A. ADMINISTRATIVE REQUIREMENTS - CRITICAL ELEMENT

NOTE: The supervisor should determine, by marking the appropriate boxes, which aspects of this critical element apply to the employee's job duties and responsibilities.

For All Staff

- Provides responsive service to internal/external customers that support customer and program requirements.
- Participates with supervisor to establish individual performance plans, and provides self-assessments if required.
- Identifies and communicates individual developmental needs consistent with the agency mission; assists coworkers by mentoring, advising, or guiding them in understanding work assignments as appropriate.
- Actively identifies, communicates, and implements quality improvements that ensure attainment of workforce goals.
- When applicable, identifies and addresses weaknesses in grant system(s), procurement systems, and finance offices to ensure recovery of improper payments and to reduce the number of improper payments made by the Department.
- Other aspects (describe): _____

ELEMENT	RATING
Administrative Requirements	<input type="checkbox"/> AO(5) <input type="checkbox"/> AM(4) <input type="checkbox"/> AE(3) <input type="checkbox"/> PA(2) <input type="checkbox"/> UR(1)

B. INDIVIDUAL PERFORMANCE OUTCOMES - CRITICAL ELEMENT

ELEMENT	RATING
1. _____	<input type="checkbox"/> AO(5) <input type="checkbox"/> AM(4) <input type="checkbox"/> AE(3) <input type="checkbox"/> PA(2) <input type="checkbox"/> UR(1)

Description:

(Summary Rating Elements, continued)

EMPLOYEE'S NAME (Last, First, MI)	APPRAISAL PERIOD From: _____ To: _____
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II. CRITICAL ELEMENTS	
ELEMENT	RATING
2.	<input type="checkbox"/> AO(5) <input type="checkbox"/> AM(4) <input type="checkbox"/> AE(3) <input type="checkbox"/> PA(2) <input type="checkbox"/> UR(1)

Description:

ELEMENT	RATING
3.	<input type="checkbox"/> AO(5) <input type="checkbox"/> AM(4) <input type="checkbox"/> AE(3) <input type="checkbox"/> PA(2) <input type="checkbox"/> UR(1)

Description:

(Summary Rating Elements, continued)

EMPLOYEE'S NAME <i>(Last, First, MI)</i>	APPRAISAL PERIOD From: _____ To: _____
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II. CRITICAL ELEMENTS

ELEMENT	RATING
4.	<input type="checkbox"/> AO(5) <input type="checkbox"/> AM(4) <input type="checkbox"/> AE(3) <input type="checkbox"/> PA(2) <input type="checkbox"/> UR(1)

Description:

ELEMENT	RATING
5.	<input type="checkbox"/> AO(5) <input type="checkbox"/> AM(4) <input type="checkbox"/> AE(3) <input type="checkbox"/> PA(2) <input type="checkbox"/> UR(1)

Description:

(Summary Rating Elements, continued)

EMPLOYEE'S NAME (Last, First, MI)	APPRAISAL PERIOD From: _____ To: _____
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III. CONVERSION OF ELEMENTS TO SUMMARY RATINGS

After rating and assigning a score to each critical element, the rating official will total the points and divide that by the number critical elements to arrive at an average score (up to two decimal places). This score will be converted to a summary rating based on the following point values:

Total Point Value: _____ Divide by Number of Critical Elements: _____ = Average Score: _____

Average Score will be calculated up to 2 decimal places. This numerical score will then be converted to a Summary Rating as follows:

Critical Element Ratings	Points Assigned
Level 5: Achieved Outstanding Results (AO)	4.50 to 5.00
Level 4: Achieved More than Expected Results (AM)	3.50 to 4.49
Level 3: Achieved Expected Results (AE)	3.00 to 3.59
Level 2: Partially Achieved Expected Results (PA)	2.00 to 2.99
Level 1: Achieved Unsatisfactory Results (UR)	1.00 to 1.99

This Summary Rating will be recorded on **Page 1** of this form.

Exceptions to the mathematical formula:

If an employee receives Partially Achieved Expected Results (PA) on one or more critical elements regardless of the average point score, he/she cannot receive a summary rating higher than Achieved Expected Results (AE). A summary rating of Achieved Unsatisfactory Results (UR) must be assigned to any employee who is rated Achieved Unsatisfactory Results (UR) on any critical element.

If required by the OPDIV/STAFFDIV Head, the supervisor will submit the rating to the reviewing official for concurrence. The supervisor will conduct a performance discussion with the employee. The supervisor and employee should sign and date Part I.C. The employee will be provided with a copy of the complete final rating of record. If the employee refuses to sign, the supervisor should annotate the form, "Employee declined to sign. Rating discussed and copy provided on [date]."

A copy will be provided to the employee and the original forwarded to the designated individual within the OPDIV/STAFFDIV.

(Summary Rating Elements, continued)

EMPLOYEE'S NAME (Last, First, MI)

APPRAISAL PERIOD

From:

To:

IV.

WRITTEN NARRATIVE

For progress review and/or summary rating. Optional, unless performance is below Level 3: Achieved Expected Results (AE)

(Summary Rating Elements, continued)

EMPLOYEE'S NAME (Last, First, MI)

APPRAISAL PERIOD

From:

To:

Level 5: Achieved Outstanding Results (AO)

Consistently superior; significantly exceeds Level 4 (AM) performance requirements. Despite major challenges such as changing priorities, insufficient resources, unanticipated resource shortages, or externally driven parameters, employee leadership is a model of excellence. Contributions impact well beyond the employee's level of responsibility. They demonstrate exceptional initiative in achieving results critical to Agency success and strategic goals. Products and skills create significant changes in their area of responsibility and authority. Indicators of performance at this level include outcomes that consistently exceed the AM level standards for critical elements described in the annual performance plan. 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 HHS, OPDIV/STAFFDIV, or program goals; makes recommendations that clarify and influence improvements in ethics activities.

Level 4: Achieved More than Expected Results (AM)

Consistently exceeds expectations of Level 3 (AE) performance requirements. The employee continually demonstrates successful collaborations within the work environment, overcoming significant organizational challenges such as coordination with external stakeholders or resource shortfalls. Employee works productively and strategically with others in non-routine matters, some of which may be complex and sensitive. The employee consistently demonstrates the highest level of integrity and accountability in achieving HHS program and management goals. Employee contributions have impact beyond their immediate level of responsibility. The employee meets all critical elements, as described in the annual performance plan. 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

Level 3: Achieved Expected Results (AE)

Consistently meets performance requirements. Work is solid and dependable; customers are satisfied with program results. The employee successfully resolves operational challenges without higher-level intervention. The employee consistently demonstrates integrity and accountability in achieving HHS program and management goals. Employee conducts follow-up actions based on performance information available to him/her. Employee seizes opportunities to improve business results and include employee and customer perspectives. Examples include:

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

Level 2: Partially Achieved Expected Results (PA)

Marginally acceptable; needs improvement; inconsistently meets Level 3 (AE) performance requirements. The employee has difficulties in meeting expectations. Actions taken by the employee are sometimes inappropriate or marginally effective. Organizational goals and objectives are met only as a result of close supervision. This is the minimum level of acceptable performance for retention on the job. Improvement is necessary. Examples include:

- Sometimes meets assigned deadlines;
- Work assignments occasionally require major revisions or often require minor revisions;

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- Inconsistently applies technical knowledge to work assignments;
- Employee shows a lack of adherence to required procedures, instructions, and/or formats on work assignments;
- Occasionally employee is reluctant to adapt to changes in priorities, procedures or program direction which may contribute to the negative impact on program performance, productivity, morale, organizational effectiveness and/or customer satisfaction. Needs improvement.

Level 1: Achieved Unsatisfactory Results (UR)

Undeniably unacceptable performance; consistently does not meet Level 3 (AE) performance requirements. Repeat observations of performance indicate negative consequences in key outcomes (e.g., quality, timeliness, results, customer satisfaction, etc.) as described in the annual performance plan. The employee fails to meet expectations. Immediate improvement is essential for job retention. 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.

EMPLOYEE'S NAME (Last, First, MI)	APPRAISAL PERIOD	
	From:	To:

Performance Plan

All elements of the performance plan are critical and must support the HHS Strategic Plan.

All employees will be rated on the Administrative Requirements critical element (Part II.A. of the plan). The supervisor, along with input from the employee will develop and establish specific outcomes to support Agency strategic initiatives. These will be included as critical elements in the Individual Performance Outcomes section (Part II.B. of the plan).

The performance plan should be signed and dated by the supervisor and the employee in Part I.A. prior to implementation.

Progress Review

At approximately midpoint in the appraisal cycle, supervisors will conduct at least one progress review. While only one progress review is required, additional reviews are encouraged to maximize employee feedback. If performance on any element is less than Achieved Expected Results, the supervisor must provide written documentation. The supervisor and the employee should sign and date Part I.B. after a progress review is conducted. If the employee refuses to sign, the supervisor should annotate the form, "Employee declined to sign. Progress review conducted on [date]."

Performance Appraisal

The supervisor will assign a rating to each critical element (Administrative Requirements and the individual critical elements under the Individual Performance Outcomes). The rating level definitions will be assigned a numerical score in the chart below.

After rating and assigning a score to each critical element, the rating official will total the points and divide that by the number critical elements to arrive at an average score (up to two decimal places). This score will be converted to a summary rating based on the following point values:

Critical Element Ratings	Points Assigned
Level 5: Achieved Outstanding Results (AO)	4.50 to 5.00
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Level 3: Achieved Expected Results (AE)	3.00 to 3.59
Level 2: Partially Achieved Expected Results (PA)	2.00 to 2.99
Level 1: Achieved Unsatisfactory Results (UR)	1.00 to 1.99

Exceptions to the mathematical formula:

If an employee receives Partially Achieved Expected Results (PA) on one or more critical elements regardless of the average point score, he/she cannot receive a summary rating higher than Achieved Expected Results (AE). A summary rating of Achieved Unsatisfactory Results (UR) must be assigned to any employee who is rated Achieved Unsatisfactory Results (UR) on any critical element.

If required by the OPDIV/STAFFDIV Head, the supervisor will submit the rating to the reviewing official for concurrence. The supervisor will conduct a performance discussion with the employee. The supervisor and employee should sign and date Part I.C. The employee will be provided with a copy of the complete final rating of record. If the employee refuses to sign, the supervisor should annotate the form, "Employee declined to sign. Rating discussed and copy provided on [date]."

A copy will be provided to the employee and the original forwarded to the designated individual within the OPDIV/STAFFDIV.