DEPARTMENT OF HEALTH AND HUMAN SERVICES

HHS EMPLOYEE PERFORMANCE PLAN

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| --- | --- |
| EMPLOYEE’S NAME *(Last, First, MI)* | APPRAISAL PERIODFrom: To: |
| ORGANIZATION | POSITION TITLE, SERIES, AND GRADE |
| **I. PERFORMANCE PLAN DEVELOPMENT, MONITORING AND APPRAISAL** |

1. **Performance Plan Development -** *Establishes Annual Performance Expectations*

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

|  |  |  |
| --- | --- | --- |
|  | RATING OFFICIAL’S SIGNATURE | DATE *(mm/dd/yyyy)* |
| REVIEWING OFFICIAL’S SIGNATURE *(If required by OPDIV/STAFFDIV Head)* | DATE *(mm/dd/yyyy)* |
| EMPLOYEE’S SIGNATURE | DATE *(mm/dd/yyyy)* |

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

|  |  |  |
| --- | --- | --- |
|  | RATING OFFICIAL’S SIGNATURE | DATE *(mm/dd/yyyy)* |
| EMPLOYEE’S SIGNATURE | DATE *(mm/dd/yyyy)* |

1. **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 *(mm/dd/yyyy)* |
| REVIEWING OFFICIAL’S SIGNATURE *(If required by OPDIV/STAFFDIV Head and required if rating is Achieved Unsatisfactory Results)* | DATE *(mm/dd/yyyy)* |
| EMPLOYEE’S SIGNATURE | DATE *(mm/dd/yyyy)* |

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**II. CRITICAL ELEMENTS**

# The following guidance will be followed in determining an overall summary rating:

A rating will be assigned to each critical element Customer Experience (Part A. of this Section), Leadership (Part B. of this section), if applicable, and the individual critical elements under the Individual Performance Outcomes (Part C. 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.

Non-supervisory employees must have a minimum of two (2), but no more than six (6) critical elements. These must include: Customer Experience Element and at least one (1) Individual Performance Outcomes Element.

Supervisory employees must have a minimum of three (3) but no more than six (6) critical elements. These must include: Leadership Element, Customer Experience Element and at least one (1) Individual Performance Outcomes Element.

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

# 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 |

## A. *CUSTOMER EXPERIENCE - CRITICAL ELEMENT*

**NOTE:** All aspects of this critical element apply to the employee's job duties and responsibilities. This element is assessed based on feedback received from internal and external customers indicating general satisfaction as defined by rating officials. Supervisors may not remove or edit the established standards but may include additional standards in the other aspects area.

# For All Staff

|  |  |
| --- | --- |
|  | * Presents advice and guidance, including providing options, recommendations, and results. Advice and guidance is complete, consistent, and provided by the established deadlines.
* Establishes effective working relationships with 90% of stakeholders both internal and external to HHS as required; cooperates with co-workers and others in meeting commitments and accomplishing assigned work on time.
* Routinely responds to each customer request within 24 hours of initial contact, at a minimum to confirm receipt of the request, while ensuring that the most accurate and complete information is communicated to the customer as it is available.

Other aspects *(describe)*: |
| **ELEMENT** | **RATING** |  |
| Customer Experience | **AO(5)** | **AM(4)** | **AE(3)** | **PA(2)** | **UR(1)** |

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**II. CRITICAL ELEMENTS**

## B. *LEADERSHIP - CRITICAL ELEMENT*

**NOTE:** All aspects of this critical element apply to the employee's job duties and responsibilities. Supervisors may not remove or edit the established standards but may include additional standards in the other aspects area.

Leadership\*\* - By checking the Leadership box, you've indicated the employee is in a Leadership role, this negates Element 5 as it is not applicable.

* Ensures 90% of employee performance plans have at least one element aligned to the organization’s mission and goals and are appraised against clearly-defined and communicated performance standards to allow for a rating once a minimum performance period has been reached within the current performance cycle.
* Ensures timely and regular feedback of employees’ performance on at least three occasions to include constructive suggestions for improvement, ensuring the employee understands expectations.
* Addresses employee performance and conduct issues in a timely and appropriate manner with guidance from Labor and Employee Relations staff and in accordance with HHS and government-wide policies and guidelines.
* Promotes high performance through use of employee development activities, balanced workload, and stretch goals; appropriately rewards high performance in accordance with HHS performance and awards policies.
* Complies with EEO, Reasonable Accommodation, and Anti-Harassment policies/procedures, communicates these policies and processes to employees at least once per year, and completes all required supervisory training within the first year, with refresher training every 3 years.
* Takes substantive measures to create and maintain an inclusive environment, which supports a workplace with a diversity of perspectives.
* Works to remove barriers to successful employee performance, seeking resolution of workplace conflicts, and escalating issues, if appropriate.

Other aspects *(describe)*:

***\*\**** *To be applied only to Team Leaders who have official position descriptions identifying them as team leaders. Non-bargaining unit employee team leads only.*

|  |  |
| --- | --- |
| **ELEMENT** | **RATING** |
| Leadership | **AO(5)** | **AM(4)** | **AE(3)** | **PA(2)** | **UR(1)** |

## C. *INDIVIDUAL PERFORMANCE OUTCOMES - CRITICAL ELEMENT*

|  |  |
| --- | --- |
| **ELEMENT** | **RATING** |
| 1. | **AO(5)** | **AM(4)** | **AE(3)** | **PA(2)** | **UR(1)** |

Description:

|  |  |
| --- | --- |
| **ELEMENT** | **RATING** |
| 2. | **AO(5)** | **AM(4)** | **AE(3)** | **PA(2)** | **UR(1)** |

Description:

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| --- |
| **II. CRITICAL ELEMENTS** |
| **ELEMENT** | **RATING** |
| 3. | **AO(5)** | **AM(4)** | **AE(3)** | **PA(2)** | **UR(1)** |

Description:

|  |  |
| --- | --- |
| **ELEMENT** | **RATING** |
| 4. | **AO(5)** | **AM(4)** | **AE(3)** | **PA(2)** | **UR(1)** |

Description:

|  |  |
| --- | --- |
| **ELEMENT** | **RATING** |
| 5. | **AO(5)** | **AM(4)** | **AE(3)** | **PA(2)** | **UR(1)** |

Description:

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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 of 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) | 3.60 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 |

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.

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**IV. WRITTEN NARRATIVE**

a. For progress review and/or summary rating. Required, for summary ratings of Level 1: Achieved Unsatisfactory Results (UR) or Level 5: Achieved Outstanding Results (AO).

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**V. PERFORMANCE STANDARDS**

# 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;

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* Work assignments occasionally require major revisions or often require minor revisions;
* 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.

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# Performance Plan

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

All employees will be rated on the Customer Experience Element (Part II.A. of the plan) and the Leadership Element (Part II.B of the plan), if applicable, and the Individual Performance Outcomes section (Part II.C. 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.C. 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 (Customer Experience Element, the Leadership Element, if applicable, 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 of 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 |
| 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 |

# 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.