

U.S. COAST GUARD PERFORMANCE PLAN AND EVALUATION

PURPOSE: To document job expectations and assess performance. Ratings may impact a variety of personnel actions concerning promotions, rewards, pay and retention.			
Part I. IDENTIFYING INFORMATION			
Employee Name	Social Security Number	Appraisal Period	
		From	To
Title, Series, and Grade	Organization Unit and Location		
Part II. PERFORMANCE PLAN			
<p>Instructions to Supervisor (Rating Official): Develop and discuss performance plan with employee. Identify a minimum of 4 applicable Core Competencies by checking the boxes provided in Part IIa. Forward the completed Performance Plan to the second level supervisor (approving official) for approval and provide employee with a copy of the Plan. Maintain original to document progress reviews and final ratings. A Work Plan, Part IIb, is optional, but may be included to clarify performance standards and/or identify tasks and projects to be completed during the rating cycle.</p>			
Rating Official Signature		Date	
Approving Official Signature		Date	
Employee Signature (Certifies that Performance Plan has been discussed)		Date of Discussion	
Part III. PROGRESS REVIEWS			
<p>Instructions to Supervisor (Rating Official): A minimum of two progress reviews are required during the full-year rating cycle; one review is required if the appraisal period is 91-180 days. The purpose of these reviews is to provide two-way communication with employee concerning his/her performance measured against the standards provided in selected Core Competencies, and to review the performance plan and indicate changes if required.</p>			
Part IV. EMPLOYEE INPUT FOR PERFORMANCE RATING (OPTIONAL)			
Employees may use the space provided to list their accomplishments during the rating cycle as input to their final rating.			
<p>Part V. RATING (CHECK TYPE OF RATING) <input type="checkbox"/> Annual Rating <input type="checkbox"/> Interim Rating</p>			
Narrative in Part V.			
<input type="checkbox"/>	Exceeds	Not more than one core competency rated Meets and none rated Fails to Meet.	
<input type="checkbox"/>	Meets	Two or more core competencies rated Meets and none rated Fails to Meet.	
<input type="checkbox"/>	Fails to Meet	One core competency rated as Fails to Meet results in a final rating of Fails to Meet.	
Rating Official Signature		Date	
Approving Official Signature		Date	
Employee Signature (I have reviewed the completed document and it has been discussed with me. This does not necessarily mean that I agree with the information in it or that I forfeit any rights of review.)		Date of Discussion	

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Part IIa. CORE COMPETENCIES	
CORE COMPETENCIES	PERFORMANCE STANDARDS
<ol style="list-style-type: none"> 1. Check applicable core competencies. 2. Minimum of four core competencies is required. 3. At end of rating cycle, check applicable rating as measured against the performance standard. 	<p>Performance Standards are defined at the "Meets" level.</p>
<p>Mandatory – All Employees/Supervisors</p> <p><input type="checkbox"/> Applied Job Knowledge and Skills</p> <p>Rating</p> <p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Fails to Meet</p>	<ul style="list-style-type: none"> ▪ Maintains knowledge in current procedures, policies, and/or practices. ▪ Demonstrates quality, thoroughness and accountability in work activities. ▪ Uses sound judgment and rationale in making decisions or problem solving. ▪ Communicates effectively to accomplish work assignments.
<p>Mandatory – All GS and WG Supervisors</p> <p><input type="checkbox"/> Supervisory Leadership</p> <p>Rating</p> <p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Fails to Meet</p>	<ul style="list-style-type: none"> ▪ Creates a positive work environment by encouraging mutual respect, communication, innovation, learning and supporting EEO and diversity. Manages conflict constructively. ▪ Supports organizational goals by effectively planning, evaluating, and continuously improving services and products. ▪ Effectively administers performance management responsibilities including timely completion of performance plans and ratings, provision of meaningful feedback and coaching, and taking appropriate steps to deal with performance and conduct issues. ▪ Effectively uses a variety of rewards and recognition (monetary, honorary, and creative recognition) throughout the year. ▪ Supports employee development by providing appropriate guidance, coaching and feedback. Assigns work and/or optimize employees' skills and abilities, and promotes opportunities for career growth. ▪ Maintains appropriate balance between concerns for people and concerns for mission.
<p>Optional – Employees/Supervisors</p> <p><input type="checkbox"/> Teamwork</p> <p>Rating</p> <p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Fails to Meet</p>	<p>A. Team Leader (Includes GS and WG Team Leaders)</p> <ul style="list-style-type: none"> ▪ Skillfully organizes and facilitates teams to accomplish mutual goals. ▪ Creates an environment of open communication, mutual respect, innovation and shared vision. ▪ Effectively coordinates work and/or projects, keeping team members informed and focused on organization goals. ▪ Actively involves team members in decisions and problem solving. ▪ Effectively communicates information on performance, work status, changes, issues and results. <p>B. Team Player</p> <ul style="list-style-type: none"> ▪ Uses effective interpersonal skills in working with others. ▪ Interacts with others to collectively resolve problems, accomplish mutual goals, and fosters an atmosphere of trust. ▪ Shares information and ideas to improve quality of services and products.

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Part IIa. CORE COMPETENCIES (CONTINUED)	
CORE COMPETENCIES	PERFORMANCE STANDARDS
<p>Optional – Employees/Supervisors</p> <p><input type="checkbox"/> Customer Service</p> <p>Rating</p> <p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Fails to Meet</p>	<ul style="list-style-type: none"> ▪ Asks questions to clarify customer requirements. ▪ Takes a variety of actions to meet customers' needs as required until needs are met. ▪ Responds to customers with an appropriate level of urgency. ▪ Builds confidence in customers that their needs are given the highest priority. ▪ Uses feedback to assess customer satisfaction and improve products and services.
<p>Optional – Employees/Supervisors</p> <p><input type="checkbox"/> Communication</p> <p>Rating</p> <p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Fails to Meet</p>	<ul style="list-style-type: none"> ▪ Communicates constructively and effectively with others. ▪ Keeps supervisor (and others, if relevant) informed of work status and related issues. ▪ Provides information and suggestions in a timely and effective manner.
<p>Optional – Employees/Supervisors</p> <p><input type="checkbox"/> Quality of Work</p> <p>Rating</p> <p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Fails to Meet</p>	<ul style="list-style-type: none"> ▪ Delivers quality products and services. ▪ Work is accurate, thorough, and complete. ▪ Continuously improves products and services.
<p>Optional – Employees/Supervisors</p> <p><input type="checkbox"/> Timeliness and Quantity of Work</p> <p>Rating</p> <p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Fails to Meet</p>	<ul style="list-style-type: none"> ▪ Plans and organizes work to ensure timeliness and productivity goals are met. ▪ Successfully adapts to changing priorities or customer requirements.
<p>Optional – Employees/Supervisors</p> <p><input type="checkbox"/> Safety</p> <p>Rating</p> <p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Fails to Meet</p>	<ul style="list-style-type: none"> ▪ Understands, supports and adheres to applicable work place safety requirements. ▪ Reports safety violations promptly and appropriately.
<p>Optional – Employees/Supervisors</p> <p><input type="checkbox"/> Funds Management</p> <p>Rating</p> <p><input type="checkbox"/> Exceeds</p> <p><input type="checkbox"/> Meets</p> <p><input type="checkbox"/> Fails to Meet</p>	<ul style="list-style-type: none"> ▪ Manages financial resources effectively to support program or policy implementation. ▪ Assures organizational long and short term resource planning reflects changing needs and priorities.

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Part IIb. WORKPLAN (Optional)

Rating official – Optional Form which can be used to clarify performance standards and/or identify tasks or projects to be completed during the rating cycle.

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Part III. PROGRESS REVIEWS

Two progress reviews and discussions are required during the full-year rating cycle; one review is required if the appraisal period is 91-180 days. The purpose of these reviews is to foster 2-way communication between supervisors and employees in discussing performance expectations and results.

First Discussion		
Rating Official Signature	Employee Signature	Date of Discussion
Rating Official, key points made, if desired.		
Employee comments, if desired.		

PART III. PROGRESS REVIEWS (Continued)

Second Discussion
Rating Official Signature

Employee Signature

Date of Discussion

Rating Official, key points made, if desired.

Employee comments, if desired.

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Part IV. EMPLOYEE INPUT FOR FINAL RATING (Optional)

Accomplishments: Comments are optional, should be completed before final rating, and limited to this space.

Part V. FINAL RATING

Rating Official – Comments are required regardless of Rating and limited to this space. The comments need not discuss all applicable core competencies, but should highlight actual outcomes and results achieved.