

## Senior Level Performance Plan and Appraisal, non-CREA

Employee \_\_\_\_\_ Performance Period \_\_\_\_\_

Title \_\_\_\_\_

Service Unit \_\_\_\_\_ ST or SL

Supervisor/Title \_\_\_\_\_

### Performance Plan Signatures

Performance criteria for the above period have been established in consultation with the employee, who has received a copy.

Employee Signature \_\_\_\_\_ Date \_\_\_\_\_

Supervisor Signature \_\_\_\_\_ Date \_\_\_\_\_

### Progress Review Signatures

A progress review was conducted and included a discussion of:

- the progress being made toward meeting the performance requirements and objectives of the critical elements included in the performance plan;
- the need for changes in the plan based on changes in performance requirements, objectives, or responsibilities; and
- the identification of any performance deficiencies and recommendations on how to improve them by the supervisor.

Employee Signature \_\_\_\_\_ Date \_\_\_\_\_

Supervisor Signature \_\_\_\_\_ Date \_\_\_\_\_

### Performance Appraisal Signatures – Proposed Summary Rating. Rating is not final until reviewed by the Performance Review Board and approved by the Deputy Librarian.

Use the following table to calculate the overall summary rating. First, choose the critical element rating and enter the corresponding points. Then, multiply points by the designated Critical Element weight to get the weighted rating and add the weighted ratings to get the Overall Summary Rating.

**Critical Element Rating Symbol/Points:** (Use assigned whole numbers only) **Outstanding (O) = 5 pts.;** **Commendable (C) = 4 pts.;** **Successful (S) = 3 pts.;** **Minimally Successful (MS) = 2 pts.;** **Unsatisfactory (U) = 0 pts.**

Critical Element	Rating	Points	Weight	Weighted Rating
1. Mission Effectiveness/Special Assignments				
2. Program Management				
3. Leveraging Diversity				
<b>Summary Rating</b>			100%	
<b>Overall Summary Rating</b>				
<input type="checkbox"/> Outstanding (4.70-5.00) <input type="checkbox"/> Commendable (3.70-4.69) <input type="checkbox"/> Successful (2.70-3.69)				
<input type="checkbox"/> Minimally Successful (2.00-2.69) <input type="checkbox"/> Unsatisfactory (less than 2.00)				

Employee Signature \_\_\_\_\_ Date \_\_\_\_\_

Supervisor Signature \_\_\_\_\_ Date \_\_\_\_\_

Employee

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## Instructions and Definitions

**PERFORMANCE PLANNING** - Senior Level Executives will be measured against the following critical elements: Mission Effectiveness/Special Assignments, Program Management, and Leveraging Diversity. The Senior Level Executive and the supervisor will determine, in a consultative manner, applicable critical elements that clearly align to and support organizational goals, as well as appropriate relative weights to be assigned to each element provided that the Mission Effectiveness/Special Assignments critical element must total at least 60% of the overall rating. Relative weights should be determined at the start of the performance cycle although they may be adjusted as necessary during subsequent performance reviews. Each critical element is considered of such importance that unsatisfactory performance on any element would result in unsatisfactory performance in the position. If the employee is a manager or supervisor, the performance plans of his/her subordinates should be linked to the specific Annual Performance Goals (APGs) or current unit priorities identified.

**PROGRESS REVIEW** - The progress review is a means of communicating with the Senior Level Executive about performance compared to the performance plan critical elements. At a minimum, one progress review must be conducted for the period January 1 through June 30, within 30 days after June 30.

**PERFORMANCE APPRAISAL** - At the end of the appraisal period, the immediate supervisor and the employee discuss the actual individual and organizational achievements during the appraisal period. Performance is assessed by the supervisor based on individual and organizational performance taking into account such factors as Annual Performance Goals (APGs) or goals achieved, the effectiveness, productivity, and performance of assigned employees, meeting diversity goals and complying with merit system principles. Customer, employee and other stakeholder perspectives will be considered in this assessment.

### SUMMARY RATING LEVEL DEFINITIONS:

**Outstanding:** A level of exceptional, high-quality performance. The individual has performed so well that Library goals have been achieved that would not have otherwise been accomplished. The individual's mastery of technical skills and thorough understanding of the Library's and service unit's mission and values have been fundamental to the completion of program objectives. The individual has exerted a major positive influence on management practices, operating procedures, and program implementation, which has contributed substantially to the Library's growth and recognition. Preparing for the unexpected, the individual has planned and used alternate ways of reaching goals. Difficult assignments have been handled intelligently and effectively. In writing and speaking, the individual presents complex ideas clearly on a wide range of difficult issues. The individual is a strong leader who works well with others and handles difficult situations effectively. The individual encourages independence and risk-taking among subordinates, yet takes responsibility for their actions. The individual serves as a major positive influence in fulfilling the Library's commitment to inclusiveness, fairness, and diversity. The individual makes unique and noteworthy contributions to the Library's diversity goals.

**Commendable:** A level of high-quality performance. The individual has exceeded expectations in critical areas and shows sustained support of Library goals. The individual's performance and initiative are worthy of special notice. Many job aspects are performed in an outstanding manner. The effective planning of the individual has improved the quality of management practices, operating procedures, or program activities. The individual has developed or implemented workable and cost-effective approaches to meeting Library goals. The individual has demonstrated an ability to get the job done well in more than one way, while handling difficult and unpredicted problems. The individual writes and speaks clearly on difficult subjects to a wide range of audiences. The individual is an effective leader, establishes sound working relationships, and shows good judgment when dealing with peers and subordinates. He/she provides opportunities for staff to have a meaningful role in accomplishing organizational objectives and makes special efforts to improve the performance of peers and subordinates. The individual serves as a major positive influence in fulfilling the Library's commitment to inclusiveness, fairness and diversity. The individual makes significant contributions to the Library's diversity goals.

**Successful:** A level of sound performance. The individual has contributed positively to Library and service unit goals. All critical element activities that could be completed are. The individual effectively applies technical skills and organization knowledge to get the job done. The individual is a capable leader who works successfully with others. The individual rewards good performance and corrects poor performance through sound use of the Library's performance management system. Subordinates are selected and assigned in ways which use their skills effectively. The individual shows a strong commitment to fair treatment, diversity, and inclusiveness goals of the Library. The individual makes contributions to the Library's diversity goals.

**Minimally Successful:** A level of performance that is minimally acceptable but shows significant deficiencies that require correction. The individual's work is marginal in one or more major activities of the critical element, jeopardizing attainment of the element and the Library's mission and goals. Most of the following deficiencies are typically, but not always, characteristic of the individual's work: lack of awareness of Library-wide policy implications of assignments; reluctance to accept responsibility; incomplete performance of one or more important areas of the field of work; and lack of clarity in writing and speaking. With respect to leadership skills, most of the following deficiencies are typically, but not always, characteristic of the individual's work: failure to motivate subordinates; and failure to provide sufficient motivation to realize the Library's needs and his/her subordinates' roles in meeting those needs. The individual is committed to diversity and inclusiveness only to the minimum extent required, as is evidenced through inadequate coordination and monitoring of programs and inadequate or inappropriate use of human and other resources.

**Unsatisfactory:** A level of unacceptable performance. Work products do not meet the minimum requirements of the critical element. Most of the following deficiencies are typically, but not always, characteristic of the individual's work: little or no contribution to Library mission or goals; failure to meet work objectives; failure to work well with peers or subordinates; failure to respond to client needs; and inattention to organizational priorities and administrative requirements. With respect to leadership skills, most of the following deficiencies are typically, but not always, characteristic of the individual's work: inadequate guidance to subordinates; inattention to work progress; and failure to motivate subordinates to meet goals. The individual does not exhibit a commitment to diversity and inclusiveness and makes little or no contribution to improving the employment profile of minorities, women, and persons with disabilities at the Library.

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**Performance Plan**

**Instructions:** Complete the following sections of the Performance Plan: Strategic Plan Goals, Annual Performance Goals, 3-5 Major Responsibilities, and Critical Element1: Mission Effectiveness/Special Assignments Performance Requirements. **Note:** Text is limited to the space provided below.

**Strategic Plan Goals to which this position aligns:**

*(To ensure alignment, check at least one specific Library Strategic Plan goal to which this position most directly aligns.)*

- Provide authoritative research, analysis, and information to the Congress
- Acquire, preserve, and provide access to a universal collection of knowledge and the record of America’s creativity
- Sustain an effective national Copyright system
- Lead and work collaboratively with external communities to advance knowledge and creativity
- Manage proactively for demonstrable results

**Annual Performance Goals (APG) / Current Unit Priorities to which this position aligns:**

*(To ensure alignment, identify at least one specific APG or current unit priority to which this position aligns. This objective should be an APG or current unit priority for which the employee is responsible and/or to which he/she will contribute.)*

**List 3-5 Major Responsibilities for this position:**

<b>Critical Element 1. Mission Effectiveness/Special Assignments</b> <i>(weighted at least 60%)</i>	<b>Weight: %</b>
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Definition: To carry out responsibilities in a manner which results in significant contributions to meeting Library and service unit mission, goals, values and objectives. Accomplishments include, but are not limited to: achievement of desired program results; improvements in service and increased productivity and effectiveness; fostering of organizational responsiveness; resolutions of difficult or long-standing organizational problems; and implementation of innovative approaches to problem-solving. To make significant contributions to special projects and task forces which are separate from regular ongoing functional responsibilities. This includes playing a proactive role in identifying and launching new and innovative ideas; skillful planning and organization of assignments required to accomplish the same; and completion within established time frames, budgetary constraints, and resources or other applicable limitations.

**Performance Requirements for Successful Level of Performance:**

*(Include measureable results-focused standards such as: Quality, Timeliness, Quantity, and Cost Effectiveness.)*

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Critical Element 2. Program Management	Weight: %
<p><b>Definition:</b> To provide leadership in all areas of assigned functional responsibilities, including, but not limited to, the ability: to plan and implement goal-aligned performance management for subordinate staff; to solicit customer and employee feedback, as applicable; to analyze program requirements and resources (human and fiscal); to evaluate accomplishments and adjust program plans as necessary; to manage program workload and to delegate work effectively in order to meet program goals; to establish effective channels of communication between management and staff in ways that facilitate conflict resolution; to play an active role in the areas of staff development, recognition, and evaluation; and to ensure that Library conduct and ethics policies are adhered to and upheld within the service unit.</p>	
<p><b>Performance Requirements for Successful Level of Performance:</b></p> <ul style="list-style-type: none"> <li>• Solicits and considers feedback from peers and other employees, internal and external stakeholders and/or customers</li> <li>• Leverages the capabilities of colleagues to foster innovative thinking and to reconcile conflicting stakeholder interests</li> <li>• Interacts with individuals and organizations to share knowledge, improve practices, and/or solicit the opinion of others</li> <li>• Provides employees opportunities to excel and encourages the expansion of employee knowledge and skills through coaching, mentoring, developmental assignments, and training</li> <li>• Works collaboratively across organizational structures to achieve common goals and build strategic relationships</li> <li>• Acts decisively and exercises good judgment and informed decision making aligned with strategic goals</li> <li>• Encourages and facilitates open, effective, and timely communication with staff, exercises sensitivity and discretion when appropriate, and listens effectively</li> <li>• Completes workforce performance management documents for subordinates by established due dates, according to LC regulations, policies, and directives, if applicable</li> <li>• Ensures performance plans for subordinates are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are appraised against clearly defined and communicated performance requirements, if applicable</li> </ul>	
Critical Element 3. Leveraging Diversity	Weight: %
<p><b>Definition:</b> To emphasize and support activities that ensure that all staff members have an equal opportunity to develop and use the abilities they have; to develop new skills and abilities, and to reach their individual aspirations in the workplace; and to demonstrate a strong commitment to diversity programs and support a balanced and diverse representation of all groups and grade levels, the setting of long- and short-range goals for achieving a diverse workforce through the Library's diversity goals, the application of diversity and inclusiveness principles to employee management, and commitment to implement decisions and to work with the Office of Opportunity, Inclusiveness and Compliance in processing complaints expeditiously.</p>	
<p><b>Performance Requirements for Successful Level of Performance:</b></p> <ul style="list-style-type: none"> <li>• Seeks diversity in special work assignments and initiatives</li> <li>• Reinforces diversity as a priority in strategies or procedures</li> <li>• Effectively manages the complaint resolution process</li> <li>• Includes multiple perspectives throughout the staff in program planning and implementation and the development of service unit vision and goals</li> <li>• Creates and maintains a work environment that is respectful and accepting of all</li> <li>• Ensures that all workplace programs, including developmental and training opportunities, are equitably offered and implemented</li> <li>• Consistently ensures that diversity is appropriately considered where required (e.g., merit selection actions)</li> <li>• Supports targeted recruitment and creation of developmental opportunities for all levels of staff</li> <li>• Seeks diversity in selecting individuals to participate in Library- sponsored programs</li> <li>• Ensures diversity is considered in the selection of participants for internship and fellowship programs</li> </ul>	

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#### Performance Appraisal

**Instructions:** In the space provided, describe specific achievements, results, and behaviors justifying the employee's performance rating based on the performance plan and check the rating for each critical element.

**Critical Element 1. Mission Effectiveness/Special Assignments** *(weighted at least 60%)*

Weight: %

**Narrative:**

#### Mission Effectiveness/Special Assignments Rating

- Unsatisfactory     Minimally Successful     Successful     Commendable     Outstanding

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PERFORMANCE APPRAISAL, cont.:

<b>Critical Element 2. Program Management</b>	Weight: %
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**Narrative:**

**Program Management Rating**

Unsatisfactory  
  Minimally Successful  
  Successful  
  Commendable  
  Outstanding

<b>Critical Element 3. Leveraging Diversity</b>	Weight: %
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**Narrative:**

**Leveraging Diversity Rating**

Unsatisfactory  
  Minimally Successful  
  Successful  
  Commendable  
  Outstanding