

GUAM WATERWORKS AUTHORITY



GUAM WATERWORKS AUTHORITY

WORK PLANNING AND PERFORMANCE EVALUATION FORM

MANAGERS

<b>NAME OF EMPLOYEE</b>	Theresa G. Rojas, Esq.
<b>POSITION TITLE</b>	Staff Attorney
<b>DIVISION</b>	Legal
<b>DEPARTMENT</b>	Guam Waterworks Authority
<b>EVALUATION PERIOD</b>	FY2023

<b>NAME OF DIRECT SUPERVISOR</b>	Consolidated Commission on Utilities
<b>POSITION TITLE</b>	Commissioners
<b>DIVISION</b>	
<b>DEPARTMENT</b>	Guam Waterworks Authority
<b>EVALUATION PERIOD</b>	FY2023

## INTRODUCTION

Whilst this form provides a structured framework for documenting and assessing work performance its success as a management / supervisory tool is to facilitate an open and honest discussion on performance. Whilst ongoing performance feedback, particularly against the key performance indicators (KPI's) outlined in Section A should be occurring on a regular basis (throughout the review period) the benefits of positive and constructive feedback are well documented, and with this in mind, it is important to ensure that the agreed ratings are an accurate reflection of the employees' performance over the review period. Inaccurate assessments are counter-productive (for both the company and the employee) as both the link to training and development and compensation becomes distorted and the implications far reaching, not only internally but externally in terms of the company's ability to consistently meet the expectations of customers.

### Rating Scale

5	<b>Significantly Exceeds Expectations / Outstanding</b>
	Performance significantly exceeds expectations in all essential areas of responsibility. An outstanding result qualified by an exceptional or unique contribution in support of the section, department or division or the successful completion of a major goal or project. This rating is achievable by any employee although given infrequently. Note: a rating of 5 requires qualification.
4	<b>Exceeds Expectations / Above Satisfactory</b>
	Above standard performance with results exceeding expectations in all essential areas of responsibility.
3	<b>Meets Expectations / Satisfactory</b>
	Performance consistently meets expectations in all essential areas of responsibility.
2	<b>Inconsistently Meets Expectations / Marginal</b>
	Performance inconsistently meets expectations in one or more essential areas of responsibility. A less than satisfactory result requiring improvement(s) to come up to standard.
1	<b>Fails To Meet Expectations / Unsatisfactory</b>
	Performance consistently below expectations. Significant improvement is needed in one or more essential areas. Results may also reflect / demonstrate counter-productive behaviors that have negative outcomes or consequences. A plan to correct performance, including timelines, must be developed and monitored to improve and measure progress. Note: a rating of 1 requires qualification.

**Overview**

Research has shown that the functions managers undertake can be grouped into four key generic roles: Managing Operations, Managing Finance, Managing People and Managing Information. Within each role a small number of agreed KPI's should be identified (where possible) as a basis for assessing and improving the performance of managers on an annual basis. Please note that the identification of KPI's may be difficult with some positions resulting in broader job statements or job standards being documented. This however should not detract from the primary goal of quantifying the work required wherever possible. In brief, the KPI's refer to personal targets for managers to focus their performance (i.e. over the review period) in order to fulfill their responsibilities and to maximize their contribution to the organization.

**Performance Allocation**

Performance against the key roles (see below) accounts for 70% of the total performance score:

<b>1.0</b>	<b>Managing Operations</b>	<b>60% of total performance score</b>
<b>2.0</b>	<b>Managing Finance</b>	<b>10% of total performance score</b>

**Rating**

Please use the rating scale provided to rate the employee and mark the rating in the box provided.

**Key Performance Indicators (KPI's)**

<b>1.0</b>	<b>Managing Operations (Legal) – Internal and External</b>	<b>60% of total performance score</b>
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**Annual Rating**

<b>1.1</b>	<b>Managing Operations: Represent/Protect the interest of the CCU/GWA</b>
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<b>1.1.1</b>	Assists the CCU and General Manager in determining the policies, procedures, rules, and regulations of GWA.
<b>1.1.2</b>	Effective counsel provided to the GM and CCU on legal issues, negotiations, claims, disputes, investigations, litigation
<b>1.1.3</b>	Effective coordination and preparation of local and federal filings, pleadings, petitions, and other required legal documents
<b>1.1.4</b>	Effectively coordinates, confers and works with other legal officers, including the Attorney General, Governor’s counsel, in matters relating to the CCU, GWA, and other parties
<b>1.1.5</b>	Represents the CCU/GWA in negotiations, hearings, depositions and other legal proceedings in local and federal courts as required


**Annual Rating**

<b>1.2</b>	<b>Managing Operations: Confers with the CCU and GWA personnel on various administrative legal matters concerning GWA.</b>
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<b>1.2.1</b>	Review for legal soundness and accuracy, program materials originating from different GWA divisions.
<b>1.2.2</b>	Effectively counsels, coordinates and works with GM to represent GWA in personnel disciplinary actions, Civil Service Commission proceedings and other personnel dispute proceedings as required
<b>1.2.3</b>	Effectively counsels, coordinates and works with GM to represent GWA in any personnel-related civil actions, criminal investigations or proceedings
<b>1.2.4</b>	
<b>1.2.5</b>	


**Annual Rating**

<b>1.3</b>	<b>Managing Operations: Representation on Regulatory Matters</b>
1.3.1	Represent GWA in connection with legal matters before the Guam Legislature, boards and other agencies of Guam.
1.3.2	Review, draft, or present testimony to the Legislature concerning the CCU and GWA.
1.3.3	Effectively supports/defends GWA's position with regulatory consultants, administrative law judges (ALJs), enforcement attorneys, in applicable proceedings
1.3.4	Effectively develops and presents cases before deliberative regulatory entities
1.3.5	Efficiently drafts and files motions, pleadings and orders required


**Annual Rating**

<b>1.4</b>	<b>Managing Operations: Management of Procurements and Contractual Matters</b>
1.4.1	Effectively consults, coordinates and works with GM, procurement and end users to execute timely procurements in accordance with GWA needs
1.4.2	Effectively counsel, coordinates and works with the GM to manage and resolve procurement protests and contract disputes
1.4.3	Effectively manages alternative dispute resolution proceedings, such as mediation or arbitration, when required
1.4.4	Effectively consults, coordinates and works with GM in representing GWA in procurement appeals with the Office of Public Accountability
	<b>Average Score</b>
	<b>Weighted Average</b>

<b>4.0</b>
<b>2.4</b>

<b>2.0</b>	<b>Managing Finance</b>	<b>10% of total performance score</b>
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**Annual Rating**

2.1	Plan, develop and establish reasonable budget for legal division administration
2.2	Track actual expenditures and monitor budget to access and guide legal administrative activities
2.3	Properly plan, monitor and control procurements and administrative activities to prevent shortfalls and overages in materials, services and resources needed for legal operations
	<b>Average Score</b>
	<b>Weighted Average</b>

<b>3.5</b>
<b>0.4</b>

### Overview

The personal competencies listed below are those used by effective managers to make decisions and achieve results and can be observed through the key behaviors outlined. The competencies work together to achieve results. One competency may be dominant in a particular situation or event, but it will usually be supported by other competencies. As the event unfolds, another competency will become dominant. Some competencies are about independent action, others are about working closely with colleagues, some call for analytical and logical thinking, whilst others are about creativity.

It is important to remember that the behaviors and competencies outlined are not valuable on their own. They are valuable only insofar as they help managers achieve results. Effective managers use their judgment to apply the right competency at the right time although they tend not to be strong in every competency but display a variety of different profiles with regards strengths, styles and preferences. Across management teams it is valuable to understand the profiles of individual team members and exploit those skills accordingly.

### Performance Allocation

Performance against the key personal competencies (see below) accounts for 30% of the total performance score:

1.0	Strategic Perspective	5% of total performance score
2.0	Building Teams	5% of total performance score
3.0	Communication	5% of total performance score
4.0	Information Search	5% of total performance score
5.0	Achievement Focus	5% of total performance score
6.0	Judgment	5% of total performance score

### Rating

Please use the rating scale provided to rate the employee and mark the rating in the box provided.

<b>1.0</b>	<b>Strategic Perspective</b>	<b>5% of total performance score</b>
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**ANNUAL RATING**

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This competence concerns the manager being able to place immediate goals and activities in a strategic context. This involves seeing how one area of activity is affected by, and affects, other parts of the organization or its environment. The competence involves taking a longer-term perspective, considering what will happen several years hence, and establishing a vision of the future. An important part of the competence lies in managers setting out their vision of the future to others in such a way as to gain acceptance and support.

*Behavior Indicators - An Effective Manager:*

- works towards a vision of the future based on a strategic perspective
- acts with good understanding of how different parts, needs or functions of the organization and its environment fit together
- clearly relates goals and actions to the strategic aims of the business
- takes opportunities when they arise to achieve longer term aims or needs
- demonstrates competence in goal setting, identifying possible courses of action, implementing and monitoring them
- can disseminate strategic goals into KPI's for subordinate staff
- has highly developed skills in analyzing and interpreting data and situations
- is very competent at diagnosing problems and identifying causal factors
- demonstrates foresight (predicting / forecasting)

<b>2.0</b>	<b>Building Teams</b>	<b>5% of total performance score</b>
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**Annual Rating**

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This competence concerns working effectively with others at the same level or more junior level with the organization. The manager may use the key behavior in the context of a loose team or a coalition of peers from other parts of the organization and/or in the context of an immediate group of direct reports. The first two behaviors are about encouraging co-operative working. Depending on the circumstances, this can be achieved either formally or informally and the team may be well defined and established or a loose group of managers who do not necessarily see themselves as a "team". The third behavior is an aspect of empowerment, where the manager involves others in the process of making difficult decisions, and takes time to involve others in order to explore the problem and to contribute solutions. The final behavior is about evaluating the capabilities of the people who report to the manager.

*Behavior Indicators - An Effective Manager:*

- keeps others informed about plans and progress
- builds a desire to work together and builds co-operation within a team
- builds ownership of controversial decisions by involving others in the decision-making process
- evaluates people's capability to do the job and takes action
- is very capable of balancing self and team interests to meet collective goals
- contributes positively by sharing information and listening and accepting others' points of view
- respects the thoughts and opinions of other team members
- positively influences the way the team works together
- facilitates and influences positive outcomes that focus on organizational goals
- recognizes conflicts that arise within the team and acts to bring these out into the open

<b>3.0</b>	<b>Communication</b>	<b>5% of total performance score</b>	<b>Annual Rating</b>
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This competence concerns communicating clearly with others. It may be used in a wide range of circumstances, from formal presentations to day-to-day meetings. A feature of managers with this competence is that they carefully consider what message they wish to communicate and then decide how best to do so. This may involve thorough planning of a presentation, the use of different media to reinforce a message, or even the establishment of systems to ensure good communication within the department or organization. Effective managers use this competence to achieve results. They communicate to inform, instruct, persuade and encourage others to communicate with them. Managers who are particularly competent in this area exhibit conviction and belief in what they have to say, which is closely linked to the self-confidence competency.

*Behavior Indicators - An Effective Manager:*

- conveys difficult ideas and problems in a way that aids understanding
- recognizes and responds to the needs and feelings of others
- demonstrates excellent verbal and written communication skills
- is very confident and competent in describing situations and actions
- effectively conveys and receives ideas, information and directions
- receives, interprets, understands and responds very well to verbal messages and other cues
- is assertive while being open minded and adaptable to difference of opinions
- has the ability to be very concise and clear when communicating
- confronts difficult issues openly

**Annual Rating**

<b>4.0</b>	<b>Information Search</b>	<b>5% of total performance score</b>	<b>Annual Rating</b>
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This competence concerns gathering information to inform decision making. Effective managers seek facts and informed opinion in order to understand new or complex situations. Sometimes the manager will remain open-minded and suspend judgment until all the relevant facts are known. In other cases, the manager reaches a conclusion on the basis of an insight or limited personal knowledge, and then seeks more factual data to confirm or refute this conclusion.

*Behavior Indicators - An Effective Manager:*

- pushes for concrete information in an ambiguous situation
- seeks information from multiple sources to clarify a situation
- checks validity of own thinking with others
- excellent at gathering and assessing information to determine the optimum way to perform
- is very competent with personal planning and organizational skills
- has highly developed skills at analyzing and interpreting data and situations
- is very competent at diagnosing problems and identifying causal factors



			<b>Annual Rating</b>
<b>5.0</b>	<b>Achievement Focus</b>	<b>5% of total performance score</b>	

Managers with this competence are geared towards achieving results and they will set ambitious goals and objectives for themselves and others. They will also deal with problems as they arise, and take advantage of any emerging opportunities. Recognizing and evaluating the risks that may lie ahead, and then taking firm action, is an aspect of this competence.

*Behavior Indicators - An Effective Manager:*

- sets high quality goals that are demanding of self and others
- sets key performance indicators and priorities in uncertain and complex situations
- tackles problems or takes advantage of opportunities as they arise
- calculates risks and takes decisive action
- focuses personal attention on specific details that are critical to the success of a key event
- is an energetic self-starter, highly motivated and results driven
- generates enthusiasm and energy by maintaining a positive attitude
- expresses confidence in the success of plans or initiatives (this includes showing commitment to a course of action)
- takes personal responsibility for making things happen
- is persistent in pursuing goals despite obstacles and setbacks
- is very competent with personal planning and organizational skills
- is very capable at gathering and assessing information to determine the optimum way to perform
- uses time and resources very effectively

**Annual Rating**

<b>6.0</b>	<b>Judgment</b>	<b>5% of total performance score</b>	
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This competence concerns using a range of skills to evaluate situations and people and to develop plans and approaches for actions. Effective managers use analytical and logical approaches to understand people and events and to establish priorities and connections. They also use creative and intuitive approaches to assessing situations and problems and to producing solutions. Effective managers may demonstrate different profiles within this competence, some being more creative and intuitive or they may be strong in all aspects.

*Behavior Indicators - An Effective Manager:*

- identifies the most important issues in a complex situation
- identifies implications, consequences or casual relationships in a situation
- uses a range of ideas to explain the actions, needs and motives of others
- focuses on facts, problems and solutions when handling an emotional situation
- approaches the decision-making process with a positive attitude and views the situation as an opportunity / challenge
- can explain decision(s) to those involved and affected and will follow up to ensure implementation
- uses instinct and intuition to assess situations and people
- identifies new patterns and interprets events in new ways
- has an excellent understanding of processes and quality improvement
- can prioritize problems and deal with them one at a time

	<b>Average Score</b>	<b>2.7</b>
	<b>Weighted Average</b>	<b>1.4</b>

<b>SECTION C</b>	<b>PERFORMANCE COMMENTS</b>
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Note: In Sections A & B all performance ratings of 1 or 5 must be individually substantiated with comments. This section can also be used for general comments concerning the employee's performance.

**Section**

<b>SECTION D</b>	<b>DEVELOPMENTAL RECOMMENDATIONS</b>

Use this section to record training and development goals over the next review period

<b>SECTION E</b>	<b>PERSONAL DEVELOPMENT</b>

<b>SECTION E</b>	<b>PERSONAL DEVELOPMENT</b>
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**Overview**

Personal development focuses on initiatives taken by the employee or with the Authority’s support that demonstrates a positive and proactive approach to personal growth and development. The intent here is to both recognize and reward employees for relevant achievements in excess of the minimum educational requirements of the position e.g. this may be in the form of a higher educational qualification(s), professional qualification(s), certification(s), license(s) etc.

**Performance Allocation**

Having achieved higher educational qualification(s), professional qualification(s), certification(s), license(s) etc. (in excess of the minimum educational requirements of the position) the financial benefits (see table example below) will take the form of additional sub-steps being awarded in excess of those received from this appraisal process.

Please note that where the Authority’s compensation model is being adjusted to a higher market percentile(s) the additional sub-steps awarded in this section will be applied with each adjustment and will continue until such time the Authority has reached its targeted position in the market.

**Number of additional sub-steps awarded      EXAMPLE**

<b>3</b>	<b>The achievement of: Higher Educational Qualifications / Professional Qualification(s) / Certification(s) / License(s) etc. that take in excess of two (2) years to obtain</b>
<b>2</b>	<b>The achievement of: Higher Educational Qualifications / Professional Qualification(s) / Certification(s) / License(s) etc. that take one (1) to two (2) years to obtain</b>
<b>1</b>	<b>The achievement of: Higher Educational Qualifications / Professional Qualification(s) / Certification(s) / License(s) etc. that take two (2) to twelve (12) months to obtain</b>

**Notes:**

The awarding of sub-step(s) following the attainment of multiple achievements or individual achievements taking less than two (2) months to obtain or any decision to include a particular achievement will be at the discretion of the General Manager.

All achievements must be current and valid (where required) for the additional sub-step(s) to be awarded.

Where progression towards a higher qualification sees an employee firstly achieving an interim qualification e.g. Engineer In Training (EIT) and then goes on to pass the Professional Engineer (PE) qualification the employee will be awarded the appropriate sub-steps for achieving the EIT qualification and then the balance of the sub-steps for achieving the PE.

**Rating**

Human Resources will initially assess (and score in the space provided) the proposed number of sub-steps awarded for higher educational qualification(s), professional qualification(s), certification(s), license(s) etc. achieved in excess of the minimum required of the position. Endorsement of this score (or otherwise) will be made by the General Manager (subject to discretionary and budget constraints) in reviewing the results of this form.

**Personal Achievements**

Please indicate below all relevant educational qualification(s), professional qualification(s), certification(s), license(s) etc. achieved in excess of the minimum required of the position. Please note that these will be subject to verification if no record of their achievement is included in the employee’s personal file held with Human Resources.

	<b>Personal Achievements</b>	<b>Authorizing Institution</b>	<b>Pass Grade (where provided)</b>
<b>1.0</b>			
<b>2.0</b>			
<b>3.0</b>			
<b>4.0</b>			
<b>5.0</b>			
<b>6.0</b>			
<b>7.0</b>			
<b>8.0</b>			
<b>9.0</b>			
<b>10.0</b>			

Proposed Increase (number of sub-steps)

SECTION F	CONFIRMATION / SIGNATURES
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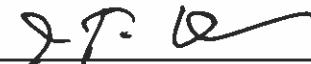
GWA STAFF ATTORNEY Theresa G. Rojas, Esq.	EVALUATION PERIOD: FY2023	RATING: 4.1
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**Conclusion of Evaluation**

Employee Confirmation : I have reviewed this performance evaluation on the date indicated below and have had the opportunity to discuss it with the CCU Commissioners. My signature does not necessarily mean that I agree with the rating.

Employee :Name : Theresa G. Rojas Signature :  Date : 12/6/2023

**CCU Acknowledgement**

CCU:  Date: 12/6/2023  
(authorization) CCU Chairperson

Comments :

**Employee Acknowledgment**

Signature : \_\_\_\_\_ Date : \_\_\_\_\_