



CONSOLIDATED COMMISSION ON UTILITIES
Guam Power Authority | Guam Waterworks Authority
P.O. Box 2977 Hagatna, Guam 96932 | (671)649-3002 | guamccu.org

Special Board Meeting
CCU Conference Room, Gloria B. Nelson Public Service Building
8:30 a.m., Wednesday, November 1, 2023

AGENDA

1. CALL TO ORDER
2. NEW BUSINESS
 - 2.1. Executive Session: Employee Evaluations
 - 2.1.1. [Utility Board Secretary](#)
 - 2.1.2. [GPA Legal Counsel](#)
 - 2.1.3. [GWA Chief Financial Officer](#)
 - 2.1.4. [GPA Chief Financial Officer](#)
 - 2.1.5. [GWA Legal Counsel](#)
 - 2.1.6. Open Session: Potential Pay Adjustments
 - 2.2. Open Session: Employee Evaluations
 - 2.2.1. [GWA General Manager](#)
 - 2.2.2. [GPA General Manager](#)
 - 2.2.3. Potential Pay Adjustment
3. ANNOUNCEMENT
 - 3.1. Next CCU Meetings:
 - Tuesday, November 21, 2023 at 8:30 a.m. – GWA Work Session
 - Wednesday, November 22, 2023 at 8:30 a.m. – GPA Work Session
 - Tuesday, November 28, 2023 at 5:30 p.m. – CCU Regular Board Meeting
4. ADJOURNMENT

GUAM POWER AUTHORITY



GUAM WATERWORKS AUTHORITY



WORK PLANNING AND PERFORMANCE EVALUATION FORM

Complete Results

BOARD SECRETARY

NAME OF EMPLOYEE	
POSITION TITLE	Utility Board Secretary
DIVISION	Board
DEPARTMENT	Executive
EVALUATION PERIOD	FY 2023

NAME OF DIRECT SUPERVISOR	CCU
POSITION TITLE	Utility Board Secretary
	Board

DIVISION	
DEPARTMENT	
EVALUATION PERIOD	FY 2023

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	Significantly Exceeds Expectations / Outstanding
	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	Exceeds Expectations / Above Satisfactory
	Above standard performance with results exceeding expectations in all essential areas of responsibility.
3	Meets Expectations / Satisfactory
	Performance consistently meets expectations in all essential areas of responsibility.

2	Inconsistently Meets Expectations / Marginal
	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	Fails To Meet Expectations / Unsatisfactory
	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.
SECTION A	KEY PERFORMANCE INDICATORS (KPI's)

Overview

Current board secretary functions can be grouped into four generic roles: Managing Board duties, Managing GPA' Legal Office duties, Managing Communications & Information and Managing Regulator Filings. Within each role a small number of agreed KPI's should be identified (where possible) as a basis for assisting and improving the performance of the board secretary on an annual basis. Please note that the identification of KPI's may be difficult resulting in boarder job statements of job standards being documented. This however should not detract from the primary goal of quantifying the work required where possible. Please note that the review period may eventually be reduced to six-monthly or even quarterly. In brief, the KPI's refer to personal targets for the board secretary to focus his or her performance (I.e. over the review period) in order to fulfill his/her responsibilities and to maximize her/her contribution to the organization.

Performance Allocation

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

1.0	Managing Board	30% of total performance score
2.0	Managing GPA's Legal Office	15% of total performance score
3.0	Managing Communication & Information	15% of total performance score
4.0	Managing Regulatory Filings	10% of total performance score

Rating

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

Key Performance Indicators (KPI's)

1.0	Managing Board	30% of total performance score
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Annual Rating

1.1	Enforce all rules and regulations of the Govt. of Guam, CCU, GPA & GWA
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1.1.1	Administer the daily business affairs to ensure that the Commission in on schedule with creation of annual CCU meeting calendar
1.1.2	Administer the daily business affairs to ensure that the Commission is receiving information on a timely and efficient manner
1.1.3	Administer the business of work sessions and meetings ensuring proper & timely media notification [Open Govt. Law]

Annual Rating

1.2	Preparation of work session and meetings
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1.2.1	Administer the business of work sessions and meetings by coordinating with GM's & Chairman to ensure proper and timely distribution of agenda to media
1.2.2	Coordinate with GM's and Chairman ensuring timely upload and distribution of Board Books to Commission, managers and CCU/GPA/GWA stakeholders

Annual Rating

1.3	Distribution of Minutes & Resolutions
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1.3.1	Ensure proper and timely distribution of Minutes to managers and employees
1.3.2	Maintain resolution log and ensure proper and timely distribution of resolutions to managers and end users

		Annual Rating
1.4	Special Projects and events	
1.4.1	Facilitate/ Coordinate event to include program, invitations, logistics & refreshments i.e. Oath of Office, key contract signings	
1.4.2	Perform other and additional duties required as required by the Board.	
	Average Score	
	Weighted Average	

2.0	Managing GPA's Legal Office	15% of total performance score
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		Annual Rating
2.1	Assist with / perform OPA filings and scheduling to ensure ALL parties are appraised and prepared	
2.2	Assist with / perform Civil Service Commission filings and scheduling to ensure ALL parties are appraised and prepared	
2.3		
	Average Score	
	Weighted Average	

3.0	Managing Communication & Information	15% of total performance score
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		Annual Rating
3.1	Ensure timely submittal in compliance with Reporting of Boards & Commissions [P.L. 13-233]	
3.2	Ensure timely response to all Freedom of Information Act [FOIA] Requests	
3.3	Coordinate with webmaster and facilitate timely and current postings of all CCU related meetings schedules, materials, minutes and resolutions	
	Average Score	
	Weighted Average	

4.0	Managing Regulatory Filings	10% of total performance score
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		Annual Rating
4.1	Coordinate with PUC to maintain correct and proper docket number / listings	
4.2	Assist with / coordinate scheduling of regulatory FILINGS and ORDERS to include annual, quarterly and monthly regulatory filings; follow up to	

	ensure timely submittal and adherence to deadlines; maintain proper record for easy reference and retrieval	
	Average Score Weighted Average	

SECTION B	PERSONAL COMPETENCIES
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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	Personal Planning	5% of total performance score
2.0	Initiative / Motivation	5% of total performance score
3.0	Communication (oral and Written)	5% of total performance score
4.0	Problem Solving / Decision Making	5% of total performance score
5.0	Teamwork / Cooperation	5% of total performance score
6.0	Interpersonal Skills	5% of total performance score

Rating

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

Annual Rating

1.0	Personal Planning	5% of total performance score	
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Listens, follows directions and acts on instructions to complete job tasks / duties / assignments. This may result in additional planning and organizing being required including the prioritizing of job tasks / duties for self and/or team based on the goals/ objectives of the section, department or division.

Performance Indicators {Significantly Exceeds Expectations | Outstanding}: Rating 5

- extremely confident in following directions and instructions to complete job tasks/ duties/ assignments
- very competent with personal planning and organizational skills
- excellent at goal setting and identifying possible courses of action, implementing and monitoring them
- highly developed skills at analyzing and interpreting data and situations
- excellent at diagnosing problems and identifying causal factors
- demonstrates foresight (predicting/ forecasting)
- excellent at gathering and assessing information to determine the optimum way to perform
- clearly takes responsibility for a decision and its outcomes
- uses time and resources very effectively

Performance Indicators (Meets Expectations | Satisfactory): Rating 3

- confident in following directions and instructions to complete job tasks/ duties/ assignments
- competent with personal planning and organizational skills
- prioritizes duties in a manner consistent with the goals/ objectives of section, department or division
- confident with goals setting, identifying possible courses of action, implementing and monitoring them
- uses time and resources effectively
- competent at analyzing and interpreting data and situations
- confident at diagnosing problems and identifying causal factors
- gathers and assesses information to determine the optimum way to perform

Performance Indicators {Fails to Meet Expectations | Below Satisfactory}: Rating 1

- poor personal planning and organizational skills
- has difficulty following directions and instructions to complete job tasks/ duties/ assignments
- not confident in analyzing and interpreting data and situations
- close supervision is required at all times
- not confident at diagnosing problems and identifying causal factors
- inefficient use of time and resources

Annual Rating

2.0	Initiative / Motivation	5% of total performance score	
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Demonstrates personal responsibility, initiative, motivation and commitment when performing duties. This dimension also concentrates on behavior shown by an employee when initiating actions and taking responsibility for an outcome. This may on occasion includes taking control of situations and events rather than passively accepting them, demonstrating confidence and commitment and creating opportunities for new initiatives when/ where required.

Performance Indicators (Significantly Exceeds Expectations | Outstanding): Rating 5

- energetic self-starter
- highly motivated and results driven
- demonstrates foresight
- very dependable and takes responsibility for actions
- demonstrates very good understanding and insight
- ability to originate or develop constructive ideas
- takes the necessary steps to get things done/ focuses on finding solutions
- demonstrates clarity and surety of purpose
- 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
- frequently asks for additional work assignments to improve self or organization
- inspires and motivates others
- is persistent in pursuing goals despite obstacles and setbacks
- excellent attendance record, always regular and prompt

Performance Indicators (Meets Expectations | Satisfactory): Rating 3

- dependable and generally takes responsibility for actions
- achieves expected results
- demonstrates good understanding and insight
- dependable and takes responsibility for actions
- maintains commitment and effort in spite of set-backs or problems
- performs with minimal supervision
- acceptable attendance/ punctuality record

Performance Indicators (Fails to Meet Expectations | Below Satisfactory): Rating 1

- lacks motivation and commitment towards getting work done
- poor attendance record / often absent/ late starter early quitter
- no interest or initiative
- often waits unnecessarily for instructions/ directions
- close supervision/ guidance is required at all times

Annual Rating

3.0	Communication	5% of total performance score	
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Effectively conveys information and ideas both orally and in writing. Listens carefully and seeks clarification to ensure understanding.

Performance Indicators (Significantly Exceeds Expectations | Outstanding): Rating 5

- demonstrates excellent verbal and written communication skills
- very confident and competent in describing situations and actions
- has ability to be very concise and clear when communicating
- quickly understands and responds to written and oral instructions/ information
- effectively conveys and receives ideas, information and directions

11/10/21; Adopted 3/23/21

- can clearly express thoughts and feelings
- confronts difficult issues openly
- receives, interprets, understands and responds very well to verbal messages and other cues
- listens effectively
- always seeks to clarify and confirm (where required) the accuracy of their understanding of unfamiliar or vague terms and instructions
- conveys thoughts in a focused and concrete manner
- is assertive while being open minded and adaptable to difference of opinions
- picks out important information in verbal messages

Performance Indicators (Meets Expectations | Satisfactory): Rating 3

- demonstrates adequate verbal and written communication skills
- generally, seeks to clarify and confirm (where required) the accuracy of their understanding of unfamiliar or vague terms and instructions
- is competent in receiving, interpreting, understanding and responding to verbal messages and other cues
- quietly confident in describing situations and actions
- generally, understands and responds well to written and oral instructions/ information
- is generally concise and clear when communicating

Performance Indicators (Fails to Meet Expectations | Below Satisfactory): Rating 1

- demonstrates poor verbal and written communication skills
- does not exchange ideas (whether prompted / unprompted)
- very slow in understanding and responding to written and oral instructions/ information
- does not always seeks to clarify or confirm (where required) the accuracy of their understanding of unfamiliar or vague terms and instructions
- has difficulty in receiving, interpreting, understanding and responding to verbal messages and other cues
- poor listening skills

Annual Rating

4.0	Prob. Solving / Dec. Making	5% of total performance score	
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Can identify and analyze problems and is proactive towards finding a solution. Wherever possible will formulate alternative solutions or take or recommend appropriate actions. Follows up (where required) to ensure problems are resolved. Makes sound judgments on everyday issues.

Performance Indicators (Significantly Exceeds Expectations | Outstanding): Rating 5

- judgments on everyday issues are excellent
- can identify and analyze problems and is proactive towards finding a solution
- has an excellent understanding of processes and quality improvement
- approaches problems with a high level of confidence and with a willingness to devote time and effort to finding an appropriate solution
- thinks quickly and logically
- decisions are based on a thorough analysis
- very competent at considering and comparing the pros and cons of alternative options
- approaches the decision-making process with a positive attitude and views the situation as an opportunity or challenge

- a very strong problem solver with excellent analytical skills
- thinks about or brainstorms possible options and solutions
- can explain decision(s) to those involved and affected, and (where required) will follow up to ensure proper and effective implementation
- can prioritize problems and deal with them one at a time
- gathers all the facts and understand their causes before making a decision
- uses existing rules and regulations as a guideline for making decisions

Performance Indicators (Meets Expectations | Satisfactory): Rating 3

- judgments/ decisions on everyday issues are appropriate
- can generally recognize a problem exists and is helpful towards finding a solution
- has a good understanding of processes and quality improvement
- wherever possible will formulate alternative solutions to problems or take or recommend appropriate actions
- approaches problems with confidence and with a willingness to devote some time and effort to finding an appropriate solution

Performance Indicators (Fails to Meet Expectations | Below Satisfactory): Rating 1

- makes poor judgments/ decisions on everyday issues
- has difficulty in identifying and analyzing problems
- decisions made are often inappropriate
- is not proactive in helping to resolve problems
- has a poor understanding of processes and quality improvement

Annual Rating

5.0	Teamwork & Cooperation	5% of total performance score	
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Works cooperatively and productively with others to achieve results. Adapts to changing priorities and demands. Shares information and resources with others to promote positive and collaborative working relationships. Focuses on behavior which demonstrates that the employee is building rapport and positive relationships with others by offering and encouraging open and honest communication.

Performance Indicators (Significantly Exceeds Expectations | Outstanding): Rating 5

- a strong positive team player
- very capable of balancing self and team interests to meet collective goals
- goes out of way to help others/ a team builder
- a strong positive force in contributing to employee/ team morale
- inspires cooperation and progress
- a very successful contributor to team projects
- proactively and openly exchanges ideas and opinions
- 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
- contributes positively by sharing information and listening and accepting others' points of view
- is flexible, open-minded and promotes mutual respect
- takes a collaborative approach to learning
- is able to give and receive constructive criticism

- develops positive working relationships wherever possible
- respects the thoughts and opinions of other team members
- positively influences the way the team works together
- very good at accepting or offering team direction

Performance Indicators (Meets Expectations | Satisfactory): Rating 3

- contributes to team projects
- accepts and offers team direction to achieve desired results
- understands and meets team goals/ objectives
- generally, takes responsibility for developing and achieving group/ team goals
- solicits ideas and opinions to help form specific decisions or plans
- is helpful in preventing and resolving conflicts
- maintains a positive outlook and generally shows flexibility to new approaches and ideas

Performance Indicators (Fails to Meet Expectations | Below Satisfactory): Rating 1

- a poor team player
- creates conflict in working with others
- has difficulty balancing self and team interests to meet collective goals
- may be unwilling to work with others
- does not take direction well

Annual Rating

6.0	Interpersonal Skills	5% of total performance score	
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Having positive interpersonal skills increases productivity in an organization as the number of conflicts are reduced. In informal situations, it allows communication to be easy and comfortable. People with good interpersonal skills can generally control the feelings that emerge in difficult situations and can respond appropriately, instead of being overwhelmed by emotion.

Performance Indicators (Significantly Exceeds Expectations | Outstanding): Rating 5

- demonstrates a high level of respect in dealing positively and effectively with co-workers
- pays attention to the needs, feelings and values of others, and encourages them to discuss those issues openly
- treats people fairly and conveys respect for different perspectives
- is open to expanding own awareness on issues
- encourages, incorporates and provides other points of view, values differences and diversity
- is skilled at building trust with staff and coworkers across organizational and functional boundaries
- works very well with both men and women regardless of ethnic, social, or educational backgrounds
- demonstrates competence in helping others apply technical or knowledge requirements
- respects other people and speaks about them in positive terms, and openly acknowledges their contributions
- communicates thoughts, feelings, and ideas to justify a position
- encourages, persuades, convinces or otherwise motivates an individual or groups
- works towards an agreement that may involve exchanging specific resources or resolving divergent interests
- works very well with co-workers and understands/ appreciates individual differences
- can adapt behavior to accommodate others
- does not blame others when things go wrong/ works with integrity
- successfully appreciates and leverages the capabilities, insights and ideas of individuals
- displays empathy in working harmoniously with others

- displays an ability to work well in teams and actively cooperates with others
- encourages others to come up with solutions, listens carefully to their ideas and offers constructive feedback

Performance Indicators (Meets Expectations | Satisfactory): Rating 3

- shows a level of respect in dealing positively and effectively with co-workers
- works 'cooperatively with others and contributes to group with ideas, suggestions, and effort
- works with both men and women regardless of ethnic, social, or educational backgrounds
- displays an acceptable level of empathy in working with others
- generally, understands/ appreciates individual differences

Performance Indicators (Fails to Meet Expectations | Below Satisfactory): Rating 1

- shows little respect in dealing positively and effectively with co-workers
- displays personal bias or may engage in harassment
- interferes with order and discipline by disregarding the rights of others
- pays little attention to the needs, feelings and values of others
- is confrontational in communicating thoughts, feelings, and ideas in order to justify a position
- is quick to blame others when things go wrong

SECTION B	Personal Competencies Summary
Summary Rating	
Weighted Score	

Final Summary Rating	Weighted Score
Summary Rating	
Weighted Score	
Total Evaluation Score	

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 : _____ Signature : _____ Date : _____

CCU Acknowledgement

CCU: JOSEPH T. DUENAS Date: _____
 (authorization) CCU Chairperson

<i>Comments :</i>

Employee Acknowledgment

Signature : _____ *Date :* _____

GUAM POWER AUTHORITY



WORK PLANNING AND PERFORMANCE EVALUATION FORM

MANAGERS

NAME OF EMPLOYEE	
POSITION TITLE	Staff Attorney
DIVISION	Board
DEPARTMENT	Executive
EVALUATION PERIOD	FY 2023

NAME OF DIRECT SUPERVISOR	CCU
POSITION TITLE	Staff Attorney
DIVISION	Legal

DEPARTMENT	
EVALUATION PERIOD	FY 2023

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	Significantly Exceeds Expectations / Outstanding
	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	Exceeds Expectations / Above Satisfactory
	Above standard performance with results exceeding expectations in all essential areas of responsibility.
3	Meets Expectations / Satisfactory
	Performance consistently meets expectations in all essential areas of responsibility.

2	Inconsistently Meets Expectations / Marginal
	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	Fails To Meet Expectations / Unsatisfactory
	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.
SECTION A	KEY PERFORMANCE INDICATORS (KPI's)

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:

1.0	Managing Operations	60% of total performance score
2.0	Managing Finance	10% of total performance score

Rating

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

Key Performance Indicators (KPI's)

1.0	Managing Operations (Legal) – Internal and External	60% of total performance score
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Annual Rating

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

Annual Rating

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

Annual Rating

1.3	Managing Operations: Representation on Regulatory Matters
1.3.1	Represent GPA 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 GPA.
1.3.3	Effectively supports/defends GPA'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

1.4	Managing Operations: Management of Procurements and Contractual Matters
1.4.1	Effectively consults, coordinates and works with GM, procurement and end users to execute timely procurements in accordance with GPA 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 GPA in procurement appeals with the Office of Public Accountability
	Average Score Weighted Average

2.0	Managing Finance	10% of total performance score
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Annual Rating

2.1	Plan, develop and establish reasonable budget for legal division administration
2.2	Tract 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	
	Average Score Weighted Average	

SECTION B	PERSONAL COMPETENCIES
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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.

Annual Rating

1.0	Strategic Perspective	5% of total performance score	
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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)

Annual Rating

2.0	Building Teams	5% of total performance score	
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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

Annual Rating

3.0	Communication	5% of total performance score	
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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

4.0	Information Search	5% of total performance score	
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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

Annual Rating

5.0	Achievement Focus	5% of total performance score	
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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

6.0	Judgment	5% of total performance score	
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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

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

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

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.

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

Proposed Increase (number of sub-steps)

SECTION F	CONFIRMATION / SIGNATURES
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GPA GENERAL COUNSEL	EVALUATION PERIOD:	RATING:
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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 : _____ Signature : _____ Date : _____

CCU Acknowledgement

CCU: JOSEPH T. DUENAS Date: _____
 (authorization) CCU Chairperson

<i>Comments :</i>

Employee Acknowledgment

Signature : _____ *Date :* _____



WORK PLANNING AND PERFORMANCE EVALUATION FORM

Executive Management

NAME OF EMPLOYEE	Taling M. Taitano, CPA, CGFM, CGMA
POSITION TITLE	Chief Financial Officer
DIVISION	Finance
DEPARTMENT	Guam Waterworks Authority
EVALUATION PERIOD	FY2023

NAME OF DIRECT SUPERVISOR	Consolidated Commission on Utilities
POSITION TITLE	Commissioners
DIVISION	
DEPARTMENT	Guam Waterworks Authority
EVALUATION PERIOD	FY 2023

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	Significantly Exceeds Expectations / Outstanding
	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	Exceeds Expectations / Above Satisfactory
	Above standard performance with results exceeding expectations in all essential areas of responsibility.
3	Meets Expectations / Satisfactory
	Performance consistently meets expectations in all essential areas of responsibility.
2	Inconsistently Meets Expectations / Marginal
	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	Fails To Meet Expectations / Unsatisfactory
	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.

Updated 11/12/20; Adopted 3/23/21

SECTION A	KEY PERFORMANCE INDICATORS (KPI's)
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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 :

1.0	Managing Operations	30% of total performance score
2.0	Managing Finance	15% of total performance score
3.0	Managing People	15% of total performance score
4.0	Managing Information	10% of total performance score

Rating

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

Key Performance Indicators (KPI's)

1.0	Managing Operations (Finance)	30% of total performance score
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Annual Rating

1.1	Plan, organize, staff, direct and coordinate all accounting activities	
1.1.1	Effectively develops, updates and implements accounting procedures and practices in accordance with generally accepted accounting principles (GAAP), water utility accounting standards, and CCU policies	
1.1.2	Develop metrics associated with low risk auditee and implement effective internal controls to ensure compliance with GAAP; work with IA to document controls and SOPs	
1.1.3	Effectively manage cash flow, prompt payment of obligations, prompt collection of revenue	
1.1.4	Maintain required reserves and debt service coverage requirements using bond indenture metrics of 1.2 – 1.5	

Updated 11/12/20; Adopted 3/23/21

1.1.5	Prepare, present regular financial reports to the GM and the CCU at regular monthly meetings and as requested/required
1.1.6	Prepare special financial analyses as required to support GM and management team in addressing any operational, maintenance or capital improvement issues

Annual Rating

1.2	Organize, staff, coordinate and direct financial planning activities for GWA budget
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1.2.1	Oversee and direct the development and preparation of annual budgets
1.2.2	Prepare Five-year projections for audit ratings and financial plan to support regular O&M and GWA's Capital Improvement Program
1.2.3	Work with GM and management team to develop 20-year master plan, and oversee/direct the development of the financial model needed to support to Capital Improvement Program
1.2.4	Oversee/direct the development, preparation and publication of Rate case filings; work with GM, Counsel and management team in the approval and defense of the rate case before the CCU and the PUC
1.2.5	Coordinate and work with the GM and management team in the implementation of GWA's Asset Management System; develop and implement financial procedures to support the asset management program

Annual Rating

1.3	Organize, staff, coordinate and direct CIP, bond and grant financing for GWA
-----	--

1.3.1	Work with GM and management team to develop, secure approval and implement plan of finance to support CIP, to include IFIP, grants and bonds
1.3.2	Prepare supporting financial information for financing approval by CCU, PUC and the Legislature
1.3.3	Work with GM and Counsel to develop required documentation for grant applications, credit ratings, indenture, investment statements, marketing and sales efforts
1.3.4	Oversee and direct the preparation and reporting required tax, arbitrage and financial performance filings and disclosures, etc.
1.3.5	Work with GM and management team to periodically review financial plan to reduce the cost of borrowing, maximize Grant funding

Annual Rating

1.4	Financial Management
1.4.1	Implement, maintain and effectively utilize enterprise financial management system
1.4.2	Promptly close the Fiscal Year's books and coordinate the timely performance of GWA's annual audit with favorable findings
1.4.3	Effectively identify, assess, and manage GWA's financial risk and oversee, in coordination with the management team, the procurement of required insurances to address identified risks
1.4.4	Effectively coordinate with GM and management team to assure the proper financial resources are in place to implement and maintain GWA's Asset Management program
1.4.5	Work with GM and management team to improve efficiency and economy of all procurements. Metrics to be provided by CFO

Annual Rating

1.5	Management of Personnel / Administrative Matters
1.5.1	Effectively coordinates and works with GM and management team to process recruitments, promotions and other personnel actions to ensure staffing levels are maintained. Personnel action forms processed with specific turnaround time.
1.5.2	Effectively coordinates and works with GM and management team to prioritize and process procurements to ensure critical inventory levels are maintained
1.5.3	Regularly reviews and evaluates business processes with GM and management team to identify and recommend improvements
	Average Score Weighted Average

2.0	Managing Finance	15% of total performance score
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Annual Rating

2.1	Plan, develop and establish reasonable budget for Finance Division administration
2.2	Track actual expenditures and monitor actual vs budget to assess and guide Finance/accounting 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 Finance/accounting operations

Updated 11/12/20; Adopted 3/23/21

2.4	Assess and manage labor resources to minimize overtime and adjust staffing for appropriate levels for Finance/Accounting Division administration requirements	
	Average Score Weighted Average	

3.0	Managing People	15% of total performance score
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Annual Rating

3.1	Apply personnel rules, regulations, policies, procedures and mandates fairly amongst assigned employees	
3.2	Develop, track and report on annual operational and professional goals and objectives with assigned staff	
3.3	Demonstrate as role model, and foster the qualities, skills and values expected of GWA employees; promote and demonstrate ethical behavior, fairness and honesty	
3.4	Provide training and mentorship throughout the organizational unit and the number of employees that received training on FMS	
3.5	Motivate, lead and encourage assigned staff toward excellence	
	Average Score Weighted Average	

4.0	Managing Information	10% of total performance score
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Annual Rating

4.1	Gather, analyze and division performance data with regular monthly reports to CCU and GM.	
4.2	Analyze financing, procurement, regulatory and other issues as assigned and develop recommendations with supporting data justification	
4.3	Ensure all governance (CCU) and regulatory (PUC, Bond, Investor etc.) reports, resolutions, petitions, filings, and other documents are posted and/or submitted timely, and maintained for proper compliance recordkeeping	
4.4	Provide relevant financial and accounting data and supporting information to other divisions in timely manner	
4.5	Manage and disseminate feedback on activities and management directives both up and down the chain of command	
4.6	Stretch good of internal department financial reporting	
	Average Score Weighted Average	

Updated 11/12/20; Adopted 3/23/21

SECTION B	PERSONAL COMPETENCIES
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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.

1.0	Strategic Perspective	5% of total performance score	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)

2.0	Building Teams	5% of total performance score	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

Updated 11/12/20; Adopted 3/23/21

- 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

			Annual Rating
3.0	Communication	5% of total performance score	

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
4.0	Information Search	5% of total performance score	

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 factor

Updated 11/12/20; Adopted 3/23/21

5.0	Achievement Focus	5% of total performance score	Annual Rating
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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

6.0	Judgment	5% of total performance score	Annual Rating
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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

Updated 11/12/20; Adopted 3/23/21

SECTION E	PERSONAL DEVELOPMENT
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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

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

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.

Updated 11/12/20; Adopted 3/23/21

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.

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

Proposed Increase (number of sub-steps)

(CCU to Complete)

SECTION F	CONFIRMATION / SIGNATURES
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GWA CHIEF FINANCIAL OFFICER Taling M. Taitano, CPA, CGFM, CGMA	EVALUATION PERIOD: FY 2023	RATING:
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Conclusion of Evaluation

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

Employee :Name : _____ Signature : _____ Date : _____

CCU Acknowledgement

CCU: _____ Date: _____
CCU Chairperson

Comments :

Employee Acknowledgment

Signature: _____ Date: _____

GUAM POWER AUTHORITY



WORK PLANNING AND PERFORMANCE EVALUATION FORM

MANAGERS

NAME OF EMPLOYEE	John J. Kim
POSITION TITLE	Chief Financial Officer
DIVISION	Finance
DEPARTMENT	Finance
EVALUATION PERIOD	FY 2023

NAME OF DIRECT SUPERVISOR	CCU
POSITION TITLE	
DIVISION	
DEPARTMENT	

EVALUATION PERIOD	
--------------------------	--

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	Significantly Exceeds Expectations / Outstanding
	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	Exceeds Expectations / Above Satisfactory
	Above standard performance with results exceeding expectations in all essential areas of responsibility.
3	Meets Expectations / Satisfactory
	Performance consistently meets expectations in all essential areas of responsibility.
2	Inconsistently Meets Expectations / Marginal

	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	Fails To Meet Expectations / Unsatisfactory
	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.

SECTION A	KEY PERFORMANCE INDICATORS (KPI's)
------------------	---

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 :

1.0	Managing Operations	30% of total performance score
2.0	Managing Finance	15% of total performance score
3.0	Managing People	15% of total performance score
4.0	Managing Information	10% of total performance score

Rating

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

Key Performance Indicators (KPI's)

1.0	Managing Operations	30% of total performance score
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Annual Rating

1.1	Plan, organize, staff, direct and coordinate all accounting activities of the Authority.	
1.1.1	Establishes and maintains accounting policies and practices and conduct of work consistent with Board and the Authority. (i.e. FERC, GASB, audit)	
1.1.2	Manage the Authority's accounting and fiscal activities to ensure compliance with established policies and procedures and regulatory guidelines. (i.e. internal audit)	
1.1.3	Manage the billing of rate payers for electrical services, the maintenance of accounts receivable and the collection of all revenue due in protection of the Authority's credit standing and other interests. (i.e. bad debt ratio)	
1.1.4	Manage the payment of vendors and contractor's invoices for services and supplies rendered in a manner designed to protect the Authority's credit standings and ensure the steady flow of necessary supplies and materials. (i.e. Debt service coverage, Days Payable Outstanding, Days of cash)	

Annual Rating

1.2	Financial Planning	
1.2.1	Prepare annual budget	
1.2.2	Maintain 5 yr projections, 10-year road map	
1.2.3	File rate cases as necessary	

Annual Rating

1.3	Monitor the financial interests of the Authority.	
1.3.1	Provides recommendations to the General Manager for the investment of funds and the sale of bonds.	
1.3.2	Update Policies and SOP as necessary	
1.3.3	Provides reports on financial operations as required by the CCU.	

Updated 11/12/20; Adopted 3/23/21

1.3.4	Execute effective planning, asset management and monitor the overall financial health of the Authority.	
1.3.5	Participate in decision-making and strategic planning session with other GPA management.	
1.3.6	Make suggestions and recommendations that effectively contribute to decision and/or policy making process.	

Annual Rating

1.4	Coordinates the assembly and presentation of the Authority's annual budget for the review by the General Manager and the CCU.	
1.4.1	Review budget performance on a monthly basis to determine shortfall or surpluses	
1.4.2	Review budget performance with division managers to ensure fiscal accountability and responsibility.	
	Average Score Weighted Average	

2.0	Managing Finance & Accounting	15% of total performance score
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Annual Rating

2.1	Develops, reports, and analyzes the Authority's cash flow trends, cash forecasts, revenue projections, expenditure patterns and estimates, and other similar accounting data.	
2.2	Prepares monthly and annual financial statements and reports and interprets the results for guidance for the General Manager and Board.	
2.3	Timely payroll and filing	
	Average Score Weighted Average	

3.0	Managing People	15% of total performance score
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Annual Rating

3.1	Conducts supervisory reviews and performance evaluations for CFO staff.	
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3.2	Develop staff and training	
	Average Score Weighted Average	

4.0	Managing Information	10% of total performance score
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Annual Rating

4.1	Maintain and update the Authority’s rate setting model to ensure proper allocation of costs and the appropriate setting of rates to ensure cost recovery. (i.e. LEAC)	
4.2	Provide written annual reports of the affairs of GPA no later than four (4) months after the financial audit is complete for the fiscal year. (i.e. Citizen Centric Report)	
4.3	Performs other duties as required.	
4.4		
	Average Score Weighted Average	

SECTION B	PERSONAL COMPETENCIES
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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

Updated 11/12/20; Adopted 3/23/21

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.

Annual Rating

1.0	Strategic Perspective	5% of total performance score	
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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)

Annual Rating

2.0	Building Teams	5% of total performance score	
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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

Annual Rating

3.0	Communication	5% of total performance score	
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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

4.0	Information Search	5% of total performance score	
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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

Annual Rating

5.0	Achievement Focus	5% of total performance score	
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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

6.0	Judgment	5% of total performance score	
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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

	Average Score	
	Weighted Average	
	Total Evaluated Score	

SECTION C	PERFORMANCE COMMENTS
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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

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

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

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.

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

Proposed Increase (number of sub-steps)

SECTION F	CONFIRMATION / SIGNATURES
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GPA CHIEF FINANCIAL OFFICER	EVALUATION PERIOD: FY 2022	RATING:
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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 : John J. Kim Signature : _____ Date : _____

CCU Acknowledgement

CCU: Joseph T. Duenas Date : _____
 (authorization) CCU Chairperson

Comments :

Employee Acknowledgment

Signature : _____ Date : _____

GUAM WATERWORKS AUTHORITY



WORK PLANNING AND PERFORMANCE EVALUATION FORM

MANAGERS

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

NAME OF DIRECT SUPERVISOR	Consolidated Commission on Utilities
POSITION TITLE	Commissioners
DIVISION	
DEPARTMENT	Guam Waterworks Authority
EVALUATION PERIOD	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	Significantly Exceeds Expectations / Outstanding
	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	Exceeds Expectations / Above Satisfactory
	Above standard performance with results exceeding expectations in all essential areas of responsibility.
3	Meets Expectations / Satisfactory
	Performance consistently meets expectations in all essential areas of responsibility.
2	Inconsistently Meets Expectations / Marginal

	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	Fails To Meet Expectations / Unsatisfactory
	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.
SECTION A	KEY PERFORMANCE INDICATORS (KPI's)

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:

1.0	Managing Operations	60% of total performance score
2.0	Managing Finance	10% of total performance score

Rating

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

Key Performance Indicators (KPI's)

Updated 11/10/20; Adopted 3/23/21

1.0	Managing Operations (Legal) – Internal and External	60% of total performance score
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Annual Rating

1.1	Managing Operations: Represent/Protect the interest of the CCU/GWA	
1.1.1	Assists the CCU and General Manager in determining the policies, procedures, rules, and regulations of GWA.	
1.1.2	Effective counsel provided to the GM and CCU on legal issues, negotiations, claims, disputes, investigations, litigation	
1.1.3	Effective coordination and preparation of local and federal filings, pleadings, petitions, and other required legal documents	
1.1.4	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	
1.1.5	Represents the CCU/GWA in negotiations, hearings, depositions and other legal proceedings in local and federal courts as required	

Annual Rating

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

Annual Rating

1.3	Managing Operations: Representation on Regulatory Matters
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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

1.4	Managing Operations: Management of Procurements and Contractual Matters
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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	

2.0	Managing Finance	10% of total performance score
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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	

SECTION B	PERSONAL COMPETENCIES
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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.

Annual Rating

1.0	Strategic Perspective	5% of total performance score	
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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:

Updated 11/10/20; Adopted 3/23/21

- 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)

Annual Rating

2.0	Building Teams	5% of total performance score	
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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

Annual Rating

3.0	Communication	5% of total performance score	
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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

4.0	Information Search	5% of total performance score	
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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

Annual Rating

5.0	Achievement Focus	5% of total performance score	
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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

6.0	Judgment	5% of total performance score	
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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

SECTION C	PERFORMANCE COMMENTS
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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

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

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.

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

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:
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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 : _____ Signature : _____ Date : _____

CCU Acknowledgement

CCU: _____ Date: _____
(authorization) CCU Chairperson

Comments :

Employee Acknowledgment

Signature : _____ Date : _____

GUAM WATERWORKS AUTHORITY



WORK PLANNING AND PERFORMANCE EVALUATION FORM

EXECUTIVE MANAGEMENT

NAME OF EMPLOYEE	Miguel C. Bordallo, P.E.
POSITION TITLE	General Manager
DIVISION	Executive
DEPARTMENT	Guam Waterworks Authority
EVALUATION PERIOD	FY2023

NAME OF DIRECT SUPERVISOR	Consolidated Commission on Utilities
POSITION TITLE	Commissioners
DIVISION	
DEPARTMENT	Guam Waterworks Authority
EVALUATION PERIOD	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

Updated Nov2020; Adopted 3/23/21

(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	Significantly Exceeds Expectations / Outstanding
	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	Exceeds Expectations / Above Satisfactory
	Above standard performance with results exceeding expectations in all essential areas of responsibility.
3	Meets Expectations / Satisfactory
	Performance consistently meets expectations in all essential areas of responsibility.
2	Inconsistently Meets Expectations / Marginal
	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	Fails To Meet Expectations / Unsatisfactory
	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.

SECTION A	KEY PERFORMANCE INDICATORS (KPI's)
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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. Please note that the review period may eventually be reduced to six-monthly or even quarterly. 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 :

1.0	Managing Operations	30% of total performance score
2.0	Managing Finance	15% of total performance score
3.0	Managing People	15% of total performance score
4.0	Managing Information	10% of total performance score

Rating

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

Key Performance Indicators (KPI's)

1.0	Managing Operations	30% of total performance score
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Annual Rating

1.1	Reliability of Water and Wastewater Systems
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1.1.1	Reduction in frequency and duration of water service outages
1.1.2	Improvement in water pump station reliability
1.1.3	Reduction in frequency and duration of SSOs
1.1.4	Improvement in wastewater pump station reliability
1.1.5	Improve/maintain WTP/Wells reliability
1.1.6	Improve/maintain WWTP reliability
1.1.7	Maintain minimum/maximum service pressure levels (water)

Annual Rating

1.2	Compliance of Water and Wastewater Systems
------------	--

1.2.1	Maintain compliance with drinking water quality standards
1.2.2	Maintain compliance with wastewater effluent permit requirements
1.2.3	Maintain internal QA/QC process
1.2.4	Improve customer compliance programs (cross-connection, source control)
1.2.5	Meet Court Order and Consent Decree requirements

Annual Rating

1.3	Systems Safety, Security, and Resiliency
-----	--

1.3.1	Improve systems physical security
1.3.2	Improve systems cybersecurity
1.3.3	Ensure safe work environment
1.3.4	Maintain Emergency Response Plan and readiness
1.3.5	Maintain Continuity of Operations Plan and readiness
1.3.6	Improve water resources/aquifer protection

Annual Rating

1.4	Capital Improvement Program (CIP) / System Renewals
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1.4.1	Update/maintain Water Resources Master Plan and 5-Year CIP
1.4.2	Achieve target CIP spending plan / annual renewals
1.4.3	Achieve water system expansion goals
1.4.4	Achieve wastewater system expansion goals
1.4.5	Achieve NRW / water loss reduction goals

Annual Rating

1.5	Long Term Strategic Objectives
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1.5.1	Advance GWA/DoD System Integration
1.5.2	Improve/maintain investment-grade credit ratings
1.5.3	Balance long-term debt financing and revenue financing
1.5.4	Improve/maintain affordability of service
1.5.5	Improve/maintain liquidity and reserves
1.5.6	Achieve personnel compensation migration (percentile) objectives

2.0	Managing Finance	15% of total performance score
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Annual Rating

2.1	Maintain financial capacity to meet operational needs
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2.2	Manage operational expenses to meet budgeted levels	
2.3	Meet/exceed minimum debt service coverage ratio requirements/targets	
2.4	Maintain all cash reserve fund requirements/targets	
2.5	Identify cost efficiencies / eliminate waste	

3.0	Managing People	15% of total performance score
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Quarterly Rating

3.1	Improve recruitment and retention of qualified staff	
3.2	Improve/maintain succession planning for management/supervisory personnel	
3.3	Improve employee satisfaction and pride	
3.4	Enhance employee training and development programs	
3.5		

4.0	Managing Information	10% of total performance score
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Annual Rating

4.1	Meet publication deadlines for all required public report filings (Annual Report, EPA Annual WQR, Citizen Centric Report, etc.)	
4.2	Improve accuracy of public / media communications	
4.3	Broaden public outreach for GWA CIP and System Improvements	
4.4	Maintain/enhance management reporting to CCU	
4.5	Meet all compliance reporting requirements (Court Order, Consent Decree)	

SECTION B	PERSONAL COMPETENCIES
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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.

Annual Quarterly

Rating

1.0	Strategic Perspective	5% of total performance score	
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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)

Annual Rating

2.0	Building Teams	5% of total performance score	
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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

Annual Rating

3.0	Communication	5% of total performance score	
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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

4.0	Information Search	5% of total performance score	
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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

Annual Rating

5.0	Achievement Focus	5% of total performance score	
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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

6.0	Judgment	5% of total performance score	
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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

SECTION E	PERSONAL DEVELOPMENT
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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

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

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.

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

Proposed Increase (number of sub-steps)

(HR to Complete)

SECTION F	CONFIRMATION / SIGNATURES
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GWA GENERAL MANAGER Miguel C. Bordallo, P.E.	EVALUATION PERIOD: FY2023	RATING:
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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 : _____ Signature : _____ Date : _____

CCU Acknowledgement

CCU: _____ Date: _____
(authorization) CCU Chairperson

<i>Comments :</i>

Employee Acknowledgment

Signature : _____ Date : _____

GUAM POWER AUTHORITY



WORK PLANNING AND PERFORMANCE EVALUATION FORM

MANAGERS

NAME OF EMPLOYEE	John Benavente
POSITION TITLE	General Manager
DIVISION	General Manager
DEPARTMENT	Executive
EVALUATION PERIOD	FY 2023

NAME OF DIRECT SUPERVISOR	CCU
POSITION TITLE	General Manager
DIVISION	General Manager
DEPARTMENT	Executive
EVALUATION PERIOD	FY 2023

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	Significantly Exceeds Expectations / Outstanding
	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	Exceeds Expectations / Above Satisfactory
	Above standard performance with results exceeding expectations in all essential areas of responsibility.
3	Meets Expectations / Satisfactory
	Performance consistently meets expectations in all essential areas of responsibility.
2	Inconsistently Meets Expectations / Marginal
	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	Fails To Meet Expectations / Unsatisfactory	
	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.	
SECTION A	KEY PERFORMANCE INDICATORS (KPI's)	

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 :

1.0	Managing Operations	30% of total performance score
2.0	Managing Finance	15% of total performance score
3.0	Managing People	15% of total performance score
4.0	Managing Information	10% of total performance score

Rating

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

Key Performance Indicators (KPI's)

1.0	Managing Operations	30% of total performance score
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Annual Rating Score

1.1	Maintain reliability of the Island Wide Power System (IWPS)
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1.1.1	Administer the daily business affairs to ensure electricity customers are receiving the highest level of service at an affordable cost.
1.1.2	Lower fuel and Energy costs; Identify improvements to eliminate waste and inefficiencies
1.1.3	Set annual short-term goals and objectives in order to constantly improve the efficiency, reliability, and customer satisfaction of all services.
1.1.4	Define GPA's visionary position by managing all planning functions and/or developing and pursuing new business strategies and defining key strategic initiatives for long term growth, financial security, technology optimization, safety, efficiency and reliability of all GPA operations.
1.1.5	Comply with all federal and local laws and rules and regulations relating to Guam Power Authority

Annual Rating

1.2	Attend all CCU and PUC meetings
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1.2.1	Prepare and present general and/or specialized reports of the affairs of the Guam Power Authority
1.2.2	

Annual Rating

1.3	Plan and develop the structure of the Authority's organization and provide for its staffing by qualified individuals.
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1.3.1	Administer and approve all employee recruitment, reclassifications, terminations and promotions.
1.3.2	Establish and preserve working conditions which are conducive to the health, safety and productive motivation of all Authority's personnel.
1.3.3	

Annual Rating

1.4	Provide for the determination of the Authority's costs of electric services.
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1.4.1	Recommends compensatory and competitive rates and service regulations to the Board.	
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Annual Rating

1.5	Devote entire time to the business of the Authority.	
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1.5	Devote entire time to the business of the Authority.	
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	Summary Rating	
	Weighted Average	

2.0	Managing Finance	15% of total performance score
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Annual Rating

2.1	Maintain financial solvency to meet operational capacity	
2.2.	Manage operational expenses to meet budgeted targets/levels	
2.3	Provide for the development of the Authority’s financing program and present to the Board recommendations for the sale of bonds, the use of bonds proceeds and the investments of surplus funds.	
2.4	Makes oral and written reports periodically to the Board concerning the operating and financial results of the Authority.	
2.5	Publish a financial report within 120 days from the end of the fiscal year on the financial status of the Authority.	
2.6	Review the financial and system operational reports to ensure the integrity of GPA assets, their protection and ensure the IWPS is functioning safely and to the highest efficiency and effectiveness possible.	

	Summary Rating	
	Weighted Average	

3.0	Managing People	15% of total performance score
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Annual Rating

3.1	Develop Sustainable workforce and leadership	
3.1.1	Implement succession planning program	
3.1.2	Implement a structured leadership and workforce training	
3.1.3	Achieve Safety Awareness & Enhanced Safety Practices	
3.1.4	Enhance Employee Satisfaction	
3.2	Define performance targets and conduct performance monitoring against performance targets or standards regularly.	
3.3	Conducts supervisory reviews and performance evaluations for Executive staff.	

	Summary Rating	
	Weighted Average	

4.0	Managing Information	10% of total performance score
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Annual Rating

4.1	Attends all meetings of the Board and submit a general report of the affairs of the Authority. Maintain/improve management reporting to the CCU.	
4.2	Advises the Board as to the needs of the Authority and approve demands for the payment of obligations of the Authority within the purposes and amounts authorized by the Board.	
4.3	Provide for transparency on all GPA operations and improve accuracy of public/media communications	
4.4	Meet all required deadlines for filings, compliance reporting and public reporting (PUC filing, Consent decree, Annual report, Citizen Centric report, etc.)	
4.5		

	Summary Rating	
	Weighted Average	

SECTION A	Summary Rating
Summary Rating	
Weighted Score	

SECTION B	PERSONAL COMPETENCIES
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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.

1.0	Strategic Perspective	5% of total performance score	
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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)

Annual Rating

2.0	Building Teams	5% of total performance score	
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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

Annual Rating

3.0	Communication	5% of total performance score	
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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

4.0	Information Search	5% of total performance score	
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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

Annual Rating

5.0	Achievement Focus	5% of total performance score	
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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

6.0	Judgment	5% of total performance score	
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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

SECTION B	Summary Rating
Summary Rating	
Weighted Score	

SECTION C	PERFORMANCE COMMENTS
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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

SECTION D	DEVELOPMENTAL RECOMMENDATIONS

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

SECTION E	PERSONAL DEVELOPMENT
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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

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

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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.

	Personal Achievements	Authorizing Institution	Pass Grade (where provided)
1.0			
2.0			
3.0			
4.0			
5.0			
6.0			
7.0			
8.0			

9.0			
10.0			

Proposed Increase (number of sub-steps)

SECTION F	CONFIRMATION / SIGNATURES
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Final Summary Rating	Weighted Score
Section A	
Section B	
Total Evaluation Score	

GPA GENERAL MANAGER	EVALUATION PERIOD:	RATING:
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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 : John M. Benavente, P.E. Signature : _____ Date : _____

CCU Acknowledgement

CCU: Joseph T. Duenas Date: _____
 (authorization) CCU Chairperson

Comments :

Employee Acknowledgment

Signature : _____ Date : _____