



Consolidated Commission On Utilities (CCU)

Standing Rules

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1 Rule I - Governing Procedure

1.1 Convening of Consolidated Commission on Utilities (“CCU”) – Newly Elected Commissioners

CCU shall first convene in Regular Meeting in Fadian, Guam at the hour of 10:00 a.m. on the second Monday in January. In accordance with, and pursuant to, the provisions of 12 GCA Chapter 79 of the Guam Code Annotated and these Standing Rules, the Order of Business of the First Regular Meeting of CCU shall be as follows:

The Temporary Presiding Officer, who shall be the Chief Justice of the Guam Supreme Court, or in such Chief Justice’s absence or inability to act, a designated Associate Justice of the Guam Supreme Court, shall:

- A. First, call the current Commissioners-to order;
- B. Second, call in alphabetical order the roll of the Commissioners-elect who shall present their Certificates of Election and assume their seats as their names are called; and
- C. Third, administer the following Oath-of-Office to the Commissioners-elect:
 - (1) “I SOLEMNLY SWEAR (OR AFFIRM) IN THE PRESENCE OF ALMIGHTY GOD THAT I WILL WELL AND FAITHFULLY SUPPORT THE CONSTITUTION OF THE UNITED STATES, THE LAWS OF THE UNITED STATES APPLICABLE TO GUAM, AND THE LAWS OF GUAM, AND THAT I WILL CONSCIENTIOUSLY AND IMPARTIALLY DISCHARGE MY DUTIES AS A COMMISSIONER OF THE CONSOLIDATED COMMISSION ON UTILITIES.”

1.1.1 Election of Chairperson

After the administration of the oath, the Temporary Presiding Officer shall conduct an election among the Commissioners for the Office of the Chairperson of Consolidated Commission on Utilities, and upon the election of such Chairperson, the Temporary Presiding Officer shall thereupon relinquish the Chair to the Commissioner so elected.

1.1.2 Election of Other Officers and Chairpersons

Consolidated Commission on Utilities shall elect the following Officers from among the Commissioners:

- A. Vice-Chairperson
- B. Secretary

1.1.3 Adoption of Standing Rules

Upon the assumption of the Chairperson by the newly-elected Commissioners, the Chairperson shall forthwith call for the adoption of the proposed changes to the Standing Rules of CCU, which Rules shall require the affirmative vote of three (3) Commissioners present.

1.1.4 Election of Committee Chairpersons; Temporary Chairpersons

After the administration of the oath, the Chairperson shall call for the election of Chairpersons of the Standing Committees of CCU in the order listed below. In the event the Consolidated Commission on

Utilities fails to elect a Chairperson of a Standing Committee, the Chairperson shall appoint a temporary Chairperson until the Consolidated Commission on Utilities fills the position by election.

- A. Rules Committee
- B. Finance and Budget Committee
- C. Audit Committee
- D. Cyber Security Committee
- E. Communications Committee

1.1.5 Removal of Officers

Three (3) votes of the CCU shall be required for the removal of the Chairperson, the Vice-Chairperson, Secretary, or any Standing Committee Chairperson.

1.1.6 Results of Election; Roll Call.

The results of each election of Officers and Committee Chairpersons shall be recorded. Both the election and removal of Officers and Committee Chairpersons shall be by roll call vote if requested by any Commissioner.

1.2 Meetings of Consolidated Commission on Utilities.

1.2.1 Regular Meetings of Consolidated Commission on Utilities.

The CCU shall first convene in Regular Meeting in accordance with Section 2.1 of the CCU Rules. Guam Power Authority (GPA) and Guam Waterworks Authority (GWA) Working Session Meetings may be held on the 3rd Tuesday and Thursday of every month and Regular Meetings may be held on the 4th Tuesday of every month. The Chairperson may change the dates for working sessions and the regular monthly meetings, with verbal or written notice to each Commissioner. Any changes in meeting times or dates shall be provided to the public in compliance with the Open Government Law.

1.2.2 Convening Meeting

Except when Meeting is convened in accordance with Section 2.1 of the CCU Rules, the Consolidated Commission on Utilities shall convene at the times determined by the Chairperson or the Consolidated Commission on Utilities and in compliance with the Open Government Law.

1.2.3 Call by the Chairperson.

1.2.3.1 Regular Meetings.

At any time when Consolidated Commission on Utilities is in recess or has adjourned, the Chairperson, or the Acting Chairperson, may summon the Consolidated Commission on Utilities to convene at a properly called and noticed Meeting. The Chairperson shall give notice in accordance with the Open Government Law.

1.2.3.2 Executive Session

The CCU is not prohibited from holding executive sessions with the Attorney General, Chief of Police or the respective designated representatives of each on a matter which poses a threat to the public health, safety or welfare or from holding executive sessions during a regular or special meeting to consider the

appointment, employment or dismissal of a public officer or employee or to hear complaints or charges brought against such officer or employee by another public officer, person or employee unless such officer or employee requests a public hearing.

Under no circumstances, however, shall the CCU hold an executive or closed meeting to discuss salaries, salary levels or salary adjustments of any employee or officer. All such discussions or decisions must be held in a public meeting and minutes and recordings shall be kept and opened to the public. The CCU may exclude from any public or private meeting, during the examination of a witness, any or all other witnesses in the matter being investigated by the public agency, but may not exclude a party, complainant, or the subject of an adverse action.

- A. Notwithstanding any other provision of law, the CCU may hold executive sessions with its staff to consider matters with the scope of the Public Employee-Management Relations Act.
- B. Under no circumstances shall the CCU hold an executive or closed meeting to discuss legal matters, impending legal matters, or legal strategies with an attorney, except as herein provided below. All such discussions must be held in a public meeting and minutes and recordings shall be kept and opened to the public, except as herein provided:
 1. No such meeting may be closed except on the written recommendation of the attorney, and an affirmative vote of a majority of the members of the Board of the Public Agency to go into executive session.
 2. Only matters directly relating to ongoing litigation or litigation which has been threatened as is reasonably expected may be discussed. Only the attorney(s), court reporter, board members, and the General Manager of the agency may attend such a meeting.
 3. A verbatim transcript by an authorized court reporter must be taken of all meetings which are closed to discuss litigation or possible litigation and such transcript shall promptly be reduced to writing.
 4. Notice of the meeting shall be given as required for any other meeting. The notice shall indicate the place and time of the meeting and shall indicate the general subject matter to be discussed, (if not confidential) as well as the specific exemption permitting an executive or closed meeting.
 5. After such meeting, the attorney or attorneys involved must file an affidavit with the Agency, which shall be a public document, that only matter relating to litigation or pending litigation have been discussed.
 6. There shall be public minutes made of all such executive sessions indicating the existence of the transcript, the subject matter of the meeting (if not confidential), the names of all persons attending the closed meeting, their capacities and the date and times the meeting started and closed.
 7. The transcript of such meeting shall be sealed for a period of six (6) months, and shall thereafter be a public document unless there is a court order, further sealing the transcript. Before issuing such an order, the court must read the transcript in camera and determine that the Agency would be unduly prejudiced by the release of the

transcript, taking into account the public's right to know. In such event, the court may order the transcript released and made public, or may order the transcript sealed for a period not exceeding six (6) months only if there is ongoing litigation over the matters discussed and release would prejudice the Agency, or if the court finds there is a strong likelihood of litigation concerning the subject matters within six (6) months. Unless the court orders otherwise all transcripts concerning litigation or potential litigation shall become public immediately upon the termination of litigation or the threat of litigation. Under no circumstances may a matter concerning litigation be sealed for more than three (3) months after the conclusion of the litigation. In the case of expected litigation, all such transcripts cannot be sealed for more than one (1) year after the closed hearing if no litigation results.

- C. Under no circumstances shall a public agency vote on any matter before it during an executive or closed meeting. All voting must be held in a public meeting and minutes shall be kept and opened to the public.

1.2.3.3 Call to Order by the Chairperson.

The Chairperson shall call the Consolidated Commission on Utilities to order during each properly noticed meeting, in accordance with the open government laws.

1.2.3.4 Quorum.

The Chairperson shall call the Consolidated Commission on Utilities to order at the hour stated and if a quorum of three (3) Commissioners be present, shall proceed with the daily order of business and properly noticed agenda.

1.2.3.5 Daily Order of Business

Unless some other order is adopted by the Committee on Rules or the Body, the Daily Order of Business of Consolidated Commission on Utilities shall be as follows:

- A. Call to Order;
- B. Roll Call;
- C. Properly noticed agenda items;
- D. Adjournment.

1.2.3.6 Hours of Meeting

Convening of Meetings and Continuation of Meeting meetings shall be after 7:00 a.m. each calendar day, and each Meeting shall be recessed or adjourned on each calendar day no later than 11:00 p.m., considering finishing the immediate matter at hand. The hours shall be set by the chairperson.

1.2.3.7 Decorum and Debate

No motion shall be debated until the same be distinctly announced.

1.2.3.8 Addressing Consolidated Commission on Utilities

When a Commissioner desires to address the Consolidated Commission on Utilities, the Commissioner shall raise that Commissioner's hand. When the Chairperson recognizes the Commissioner by calling the

Commissioner by name or by indicating that they are recognized, the Commissioner is entitled to the Floor and may address the Consolidated Commission on Utilities.

1.2.3.9 Amendments

When an amendment is offered, or any other motion is made, the amendment or other motion then becomes the question under consideration. The right to debate, such a question is treated as a new question. A Commissioner who has spoken once on the Main Question may speak again on an amendment.

1.2.3.10 Debate Confined

Debate must be confined to the question before the CCU

1.2.3.11 Calls to Order

A Commissioner who resorts to persistent irrelevance, or to persistent repetition after the attention of Consolidated Commission on Utilities has been called to the matter, may be directed to discontinue that Commissioner's speech by the Chairperson.

1.2.3.12 Amendment to Main Question

When a question is under debate and an amendment is proposed, the amendment then becomes the question under consideration. When an amendment is pending, the debate must be confined to the merits of the amendment, unless it is of such a nature that its decision practically decides the Main Question.

1.2.3.13 Division

When a question has been divided, general discussion continues on the first division, but brief debate should be permitted on the remaining divisions.

1.2.3.14 Votes Required

Any action(s) that can be taken by Consolidated Commission on Utilities requires the affirmative vote of three (3) Commissioners.

1.2.3.15 Interruption Not Permitted

No Commissioner shall be interrupted when speaking.

1.2.3.16 Closing Debate

Even if he or she has spoken previously, the Author of the motion or resolution shall have the privilege of closing the debate.

1.2.4 On Points of Order, Inquiry, and Information

1.2.4.1 Points of Order

It is the right of every Commissioner who notices a breach of order or of a Rule to insist upon its enforcement. This is called "raising a point of order" because the Commissioner puts to the Presiding Officer the question as to whether there has been a breach of order or of the Rules, it being the duty of the Presiding Officer to maintain order and enforce the Rules. A point of order must be raised at the

time the particular question is pending, and specific reference must be made to the particular Rule being violated. A point of order is decided by the Presiding Officer without debate, unless in doubtful cases the question is submitted to the Body for advice or decision. It is not debatable, unless submitted to the Body. A point of order may not be used to debate an issue or to attack any Commissioner of Consolidated Commission on Utilities.

1.2.4.1.1 Decisions on Points of Order

When a Commissioner shall be called to order, he shall not be recognized until the Chairperson shall have determined whether he is in order or not, and every question of order shall be decided by the Chairperson, subject to an appeal by a Commissioner. Any such appeal to overrule the decision of the Chairperson or Presiding Officer shall require three (3) votes to pass.

1.2.4.1.2 Points of Inquiry or Information

A point of inquiry is a request for information from the Presiding Officer with respect to procedure concerning some question before the Body, or which may be immediately brought before the Body. Occasions frequently arise when one (1) Commissioner desires information from another. Such requests are not technically parliamentary inquiries but are generally subject to the same Rules. A Commissioner desiring information concerning a question before the Body may raise their hand, and without waiting to be recognized say:

“I rise to a point of inquiry,” or may say “I rise to a point of information.”

When a point of inquiry relates to a question which requires immediate attention, it may be made while a Commissioner has the Floor and may even interrupt a speech. A point of inquiry is not a motion, but is simply a request for information and is, therefore, not debatable or amendable nor subject to any other motion, nor may it be used to debate an issue or to attack any Commissioner of Consolidated Commission on Utilities.

Whenever a Commissioner rises to a point of information, the Commissioner must confine the Commissioner’s remarks to a request for information necessary to enable the Commissioner to understand the subject or question under debate. A point of inquiry may not be used by the Commissioner raising it to debate the issue but must be a legitimate point of inquiry necessary to clarify an ambiguity of a factual matter which the Commissioner to whom the question is addressed could reasonably be expected to answer.

1.2.4.1.3 Explaining Vote

After the result of a vote has been announced, a Commissioner may be permitted by three (3) votes to explain that Commissioner’s vote on roll call upon any question, and such explanation shall be captured in the meeting minutes.

1.2.4.1.4 Attire

At all Meetings of Consolidated Commission on Utilities, for all those admitted attire shall be appropriate.

1.2.4.1.5 Firearms and Deadly Weapons Prohibited

No firearms or deadly weapons are permitted at CCU meetings.

1.2.4.1.6 Cell Phones and Electronic Devices

Cell phones and other electronic devices used shall not cause any audio disturbance during Meeting. Persons receiving or making calls shall remove themselves from the meeting.

1.2.4.2 Questions

1.2.4.2.1 Division of a Question

If a question in debate contains more than one (1) distinct proposition, any Commissioner may move to have the question divided.

1.2.4.2.2 The Previous Question

The previous question shall be put in the following form:

“On the previous question?”

It shall require a majority vote of the Commissioners present; and its effect shall be to put an end to all debate, except that the Author of the bill or the amendment shall have the right to close, and the question under the discussion shall thereupon be immediately put to a vote.

1.2.4.2.3 Questions of Privilege

Questions of privilege shall be raised at any time. They shall be first, those affecting the rights of Consolidated Commission on Utilities collectively, its safety, dignity, and the integrity of its proceedings; and second, the rights, reputations and conduct of Commissioners in their representative capacities only.

1.2.4.2.4 Motions

When a motion is offered from the Floor, it may be offered verbally. Any commissioner may request that such motion be submitted in writing.

1.2.4.2.5 Motions Received When Questions are Under Debate

When a question is under debate, no motion shall be received, except the following:

- A. to recess (not debatable procedural motion; except as to time to return);
- B. to adjourn (not debatable procedural motion, except as to time);
- C. to divide a question (not debatable procedural motion);
- D. for the previous question (not debatable procedural motion);
- E. to postpone to a time certain (not debatable procedural motion, except as to time);
- F. to commit or to refer (not debatable procedural motion);
- G. to amend (debatable).

Such motions shall have precedence in the order in which they are set out; provided, that any of the other motions listed in this Section may be renewed after sixty (60) minutes if not made for purposes of

delay, as determined by the Chairperson, if earlier renewal of the motion is not otherwise allowed for by the CCU Standing Rules or by Robert’s Rules of Parliamentary Procedure.

1.2.4.2.6 Precedence of Motion to Adjourn and Effect of Adjournment

A “Motion to Adjourn,” or a “Motion to Fix the Day to Which Consolidated Commission on Utilities Shall Adjourn,” shall always be in order, except:

- A. while another Commissioner is speaking;
- B. when a “Motion to Adjourn” has been defeated;
- C. when a “Motion to Fix the Day to Which Consolidated Commission on Utilities Shall Adjourn” has just been defeated; or

Unless otherwise specified, an adjournment while a motion is under consideration shall have the effect of deleting all amendments made to the motion which are under consideration or have been adopted prior to the adoption of the motion as a whole.

1.2.4.2.7 Motion to Adjourn Pending Motion to Suspend Rules

Pending a “Motion to Suspend the Rules,” the Presiding Officer may entertain one (1) “Motion to Adjourn,” but after the result is announced the Presiding Officer shall entertain no other motion until the vote has been taken on suspension.

1.2.4.2.8 Motion for Reconsideration

Any Commissioner may, on the day on which a vote has been taken on any question:

- A. make a “Motion to Reconsider a Vote”; or
- B. make a “Motion to Reconsider a Vote on any day the meeting is recessed to”

Three (3) affirmative votes shall be required to pass either Motion to Reconsider. The reconsideration of the vote must be acted upon by Consolidated Commission on Utilities.

1.2.5 Voting

1.2.5.1 Voting on Roll Call

Every Commissioner within Consolidated Commission on Utilities should without debate answer “aye” or “nay” when the Commissioner’s name is called.

1.2.5.2 No Objections

If the Presiding Officer asks if there are “objections” or “no objections” to a proposed motion or other matters, and any Commissioner objects before the announcement of the vote, or immediately after the vote is announced, then a vote shall be taken of the Commissioners by show of hands or by roll call vote, as appropriate.

1.2.5.3 Declining to Vote

When a Commissioner declines or fails to vote, the Commissioner shall be required, without debate, to assign that Commissioner's reasons therefore; and having assigned them, the Chairperson shall submit the question to Consolidated Commission on Utilities:

- A. "Shall the Commissioner for the reasons assigned by the Commissioner be excused from voting?"

which shall be decided without debate. Unless the Commissioner is excused from voting by three (3) votes of the Commissioners present, he shall be required to vote. Revise language that says any commissioner that declines to vote will be considered a "nay" vote. Combine with Failing to Vote. The only reason you. Link all sections to 1.6

1.2.5.4 Failing to Vote

If any Commissioner fails to vote for a period of over two (2) minutes, or "passes," or refuses to vote, the Commissioner shall be construed as declining to vote, and the Commissioner's vote shall be entered as a "nay" vote by the Secretary of the CCU. If any Commissioner refuses to vote after being ordered to by the Body, that Commissioner's vote shall be entered as a "nay" vote by the Secretary of the CCU.

1.2.5.5 Other Reasons to Excuse from Voting

A Commissioner who has a conflict of interest, is ill, has serious sickness or death in the family, or is on official business abroad may be excused from voting.

1.2.5.6 Compliance with 4 GCA § 15205(h)

A Commissioner who casts a vote with respect to any motion or resolution in which the Commissioner has a financial interest shall make an oral statement that identifies the motion or resolution, the Commissioner's vote, and the nature of the commissioner's financial interest. The oral statement shall be posted on CCU website.

1.2.5.7 Voting by the Presiding Officer

The Presiding Officer shall vote in the same manner as others.

1.2.5.8 Electronic Voting

The Committee on Rules may establish a procedure for the establishment of electronic voting by members of the CCU that are not physically present but able to participate. Ask Legal Counsel.

1.2.5.9 Votes Required for Adjournment

Adjournment subject to the call of the Chairperson, to a time certain shall requires three (3) votes.

1.2.6 Accreditation of the Press

Employees of the press and employees of newspapers and radio and television stations shall be allowed at all Meetings except during Executive Session. Photographers or cameramen may be present during meetings and remain therein, except during Executive Session, as long as they do not interfere with the business of Consolidated Commission on Utilities.

1.2.7 Extension of Remarks

Any Commissioner shall be permitted the privilege of extending the Commissioner's remarks on any subject with proper decorum. Remarks shall be made orally. This privilege shall be used only with proper decorum and shall not be used to breach the order of the meeting, for the use of personal criticisms, or for the extension of personal disputes between or among Commissioners.

2 RULE II - Duties of CCU Commissioner and Officers

2.1 Duties of Commissioners

All Commissioners shall follow all laws of Guam. No commissioner shall unilaterally direct any employee of either utility. The Consolidated Commission on Utilities may only direct those employees under their direct authority of which are listed below:

- A. General Managers
- B. Chief Financial Officer (CFO)
- C. Legal Counsel
- D. CCU Secretary

2.1.1 Exceptions

A Commissioner may request information, analysis, legal opinions from an employee of the utility when performing duties associated with a committee for the sole purpose of accomplishing the duties of that committee.

2.1.2 Performance Evaluations

Any performance evaluation of the General Managers directly hired by the CCU shall be performed in an Open Session of the CCU, transcribed and published, in accordance with 5 GCA 43202. With the written permission of the Chief Financial Officers, Legal Counsel, or other staff or personnel directly hired by the CCU a report of their performance evaluations shall be disclosed in an Open Session of the CCU, transcribed, and published. Pursuant to CCU Rules and Guam Law all evaluations shall be made public and posted on the CCU website.

Performance evaluations shall be conducted annually within 90 days of the end of the Fiscal Year. Evaluations Forms shall be reviewed annually and indicate the performance indicators that each position will be evaluated on. A plan and agree meeting shall be held with each individual to ensure expectations are understood. The Evaluation Forms are provided in Rule XI.

Any pay adjustments shall take effect on January 1st of the proceeding year.

2.2 DUTIES OF CCU OFFICERS

2.2.1 Duties of the Chairperson

The Chairperson is the Presiding Officer of Consolidated Commission on Utilities and shall possess the powers and perform the duties prescribed in this Section. The Chairperson:

- A. shall preside at meetings of Consolidated Commission on Utilities and preserve order and decorum thereat;
- B. shall decide all questions of order, matters relating to temporary expulsion of disorderly Commissioners, subject to appeal to the Presiding Officer by any Commissioner of Consolidated Commission on Utilities; on every appeal, the Presiding Officer shall assign his/her reason for the decision and put the question as:
 - a. "Shall the decision of the Presiding Officer be overruled?"
- C. no roll call vote may be called during a period when a Commissioner is temporarily expelled under this Section for disorderly conduct;
- D. shall chair the meeting each day at the hour duly noticed , and call the Consolidated Commission on Utilities to order, and, a quorum being present, proceed in the manner and order prescribed by the Rules;
- E. shall sign all resolutions passed by Consolidated Commission on Utilities;
- F. may appoint Special Committees to assist the Chairperson in the performance of the Chairperson's official duties;
- G. shall enforce all laws and regulations applicable to the Body;
- H. shall administer the oath provided in Rule , to any Commissioner absent from the first Meeting, or to a Commissioner elected to fill a vacancy;
- I. may remove Commissioners or observers for breaches of decorum;
- J. may at any time order a Call of the Commission at the Presiding Officer's discretion; a Call of the Commission may be made by motion at any time by a Commissioner when Commissioners not off-island are absent; to pass, such motion must receive a majority vote of Commissioners present, even if a quorum is not present; and
- K. may call recess on the Presiding Officer's own initiative, and sua sponte for periods deemed appropriate.
- L. Shall perform ministerial duties as required.

2.2.2 Duties of the Vice-Chairperson

The Vice-Chairperson shall have the powers and duties of the Chairperson during the latter's temporary absence or vacancy.

2.2.3 Duties of the Presiding Officer

If the Presiding Officer is not the Chairperson, that Commissioner shall have full powers of the Presiding Officer and Chairperson prescribed by Section 1.01(b). Any Presiding Officer shall have the power to designate a Commissioner to perform the duties of a Presiding Officer on a temporary basis.

2.2.4 Duties of the Secretary

The Secretary shall:

- A. cause records to be kept of the attendance at the meetings of all Commissioners and cause to be prepared on a quarterly basis a compilation of the attendance of such Commissioners at meetings of Consolidated Commission on Utilities, and a compilation of the voting record of

each Commissioner of Consolidated Commission on Utilities on the passage of motions, resolutions, and other matters, where a roll call was held before Consolidated Commission on Utilities. Such quarterly report shall be made part of the meeting minutes of the day on which it is submitted to Consolidated Commission on Utilities;

- B. attest by signature all resolutions, orders, proceedings, contracts, or documents issued by order of Consolidated Commission on Utilities;

2.3 Vacancies

2.3.1 Permanent Vacancies

In case of a permanent vacancy of an officer, such vacancy shall be filled for the un-expired term of Office from among the other Commissioners of Consolidated Commission on Utilities by election by a majority vote of the Commissioners.

2.3.2 Temporary Absence or Vacancy

For purposes of the CCU Standing Rules, a temporary absence or vacancy occurs when a Commissioner, in his or her capacity as an Officer or Chairperson of a Standing Committee, is unable or unavailable to serve in such capacity for a limited period of time due to illness, off-island travel, or other reasons declared by such Commissioner.

2.3.2.1 Temporary Absence or Vacancy of the Chairperson

If a temporary absence occurs in the office of the Chairperson, then the order of succession of the Officers who shall be eligible to serve as Acting Chairperson shall be the Vice-Chairperson, the Secretary and the Chairperson of the Committee on Rules, except that no person shall serve as both Acting Chairperson and Secretary or Acting Secretary at the same time.

2.3.2.2 Temporary Absence or Vacancy of the Secretary

If a temporary absence or vacancy occurs in the office of the Secretary, then the Chairperson of the Committee on Rules shall serve as Acting Secretary. If the Chairperson of the Committee on Rules is unable to serve as Acting Secretary, then the Acting Chairperson shall serve as the Acting Secretary.

2.3.2.3 Temporary Absence or Vacancy of a Committee Chairperson

If a temporary absence or vacancy occurs in the office of a Chairperson, the Vice-Chairperson of the Committee involved shall serve as the Acting Chairperson. If the Vice-Chairperson is unable or unavailable to serve as Acting Chairperson, then the Chairperson or Acting Chairperson shall designate some other Commissioner of the Committee to serve as Acting Chairperson. Failing this, the Chairperson of Consolidated Commission on Utilities shall act as Acting Chairperson of the Committee in question until the Vice-Chairperson or Chairperson returns and assumes their duties.

3 RULE III - COMMUNICATIONS

3.1 Delivery of Communications.

All communications, petitions and messages addressed to Consolidated Commission on Utilities shall be delivered to the Chairperson, who shall promptly transmit them to all Commissioners. The Chairperson

may respond to any communication in which a topic was discussed and voted on that clearly demonstrates the position of the Consolidate Commission on Utilities.

A Commissioner may respond to all communications, petitions, and messages from the general public in which a topic was discussed and voted on that clearly demonstrates the position of the Consolidate Commission on Utilities.

Under no circumstance shall a Commissioner unilaterally respond to any communications if the positions of Consolidated Commission on Utilities are unclear or contrary to a previous decision. However, Commissioners are free to express their opinions on any matter provided they clearly indicate it is their opinion on not that of the CCU.

3.2 Compliance with 5 GCA § 10103 (d)

The Chairperson shall promptly notify all Commissioners of FOIA requests directed to the CCU and shall direct the General Manager, Attorney or Administrative Secretary of the CCU to comply with such request. The following procedure shall be followed in response to FOIA request.

3.3 FOIA Standard Operating Procedure

3.3.1 Policy

FOIA provides every person the right to inspect and take a copy of any public document on Guam, except as otherwise expressly prohibited in law, and except as provided in 5 GCA § 10108. The CCU FOIA Coordinator shall prepare a response to all requests and determine any fee charged for responding to a request. All CCU/GPA/GWA employees shall cooperate with the FOIA Coordinator by providing electronic or hard copies of existing public records requested by any person.

3.3.2 Definitions

- 3.3.2.1 *Freedom of Information Act (FOIA) - Guam law that gives the public right to inspect and take a copy of any public records on Guam with the exception of those expressly provided under the same law*
- 3.3.2.2 *Person- any natural person, corporation, partnership, limited liability company, firm, or association*
- 3.3.2.3 *Public Records – any writing containing information relating to the conduct of the public’s business prepared, owned, used, or retained by any state or local agency in any format, including an electronic format*
- 3.3.2.4 *Magnetic Media - CD ROM, DVD-ROM discs*
- 3.3.2.5 *FOIA Coordinator – The Board Secretary shall be responsible for preparing all CCU FOIA requests and the Legal Counsels for GPA or GWA will be responsible for ensuring compliance with time standards, where applicable. This will provide organizational clarity about the employee responsible for all duties related to responding to FOIA requests.*
- 3.3.2.6 *FOIA Officer – The Legal Counsel of GPA and GWA, respectively, are the FOIA Officers for the CCU relative to each respective agency.*

3.3.3 Procedure Description

- 3.3.3.1 *Filing of FOIA Request - all FOIA request for CCU’s records shall be processed during regular hours of operation which is Monday to Friday from 8:00 a.m. to 5:00 p.m. Any oral or written FOIA request for information, including by mail, fax, email, or other electronic means, received by CCU / GPA / GWA staff for public information is treated as a FOIA request and responded to consistent with this policy. A copy of this policy must be posted on the CCU website. The request may be received by filling out the CCU FOIA Request Form available at the CCU office or CCU’s website.*
- 3.3.3.2 *The request must be labeled as “Sunshine Reform Act / Freedom of Information Act Request,” address to the CCU Chairman and sent to:*

CCU STANDING RULES

Mail

CCU FOIA Coordinator

3rd Floor, Gloria B. Nelson Public Service Building

688 Route 15 Fadian, Mangilao, Guam

Fax

(671) 648-3290

Email

llgilman@gpagwa.com

- 3.3.3.3 *Receipt of FOIA Request - Any FOIA request for information received by CCU / GPA / GWA employees must be delivered to the FOIA Coordinator within one business day. The FOIA Officer shall be consulted if there is any doubt whether to process a request as a FOIA request*
- 3.3.3.4 *Processing FOIA Request – the FOIA Coordinator shall receive FOIA request or CCU FOIA Request Form (FRF), stamp it “RECEIVED” and indicate date and time of receipt.*
- 3.3.3.5 *If the FOIA request is not received on FRF, the FOIA Coordinator shall complete an FRF with information received. If necessary, the FOIA Coordinator shall contact the Person making the FOIA request to obtain or clarify FRF required information.*
- 3.3.3.6 *Thereafter, the FOIA Coordinator shall assign a FOIA request work order number and create an electronic filing folder in the CCU electronic document management filing system using that number.*
- 3.3.3.7 *The FOIA Coordinator shall collate FRF and any supporting documents and file in FOIA folder (red folder marked “urgent”) and immediately bring it to the attention of the Chairman and FOIA Officer.*
- 3.3.3.8 *For FOIA requests sent to the CCU during non-working hours (5:00 p.m. to 8:00 a.m., Saturday, Sunday, or Government of Guam holidays), the date to be indicated as its date of receipt shall be the date of the next working day.*
- 3.3.3.9 *The FOIA Coordinator shall ensure that the labor cost required for CCU / GPA /GWA employees to respond to the request is properly recorded in said employees time records using the FOIA request work order number.*
- 3.3.3.10 *Review of FOIA Request – The FOIA Officer shall review the FOIA request and take note of the date of its receipt and the date it falls due. He/she shall monitor observance of the deadline to respond provided by the law and shown under 3.3.9 of this SOP.*
- 3.3.3.11 *After noting the date of receipt and its due date, the FOIA Officer shall forward the request to the FOIA Coordinator who shall arrange obtaining the requested records/documents. The FOIA Officer shall prepare the response.*
- 3.3.3.12 *Preparation of Requested Records – FOIA Coordinator shall gather the records subject of FOIA request within three (3) working days, from the date stamped on the request as date of receipt or the date appearing on the FRF.*
- 3.3.3.13 *In case the request does not clearly identify the records, the FOIA Coordinator shall immediately contact the Person making FOIA request and ask for specification or details of the records sought.*
- 3.3.3.14 *In this case, the running of the period provided under 3.3.9 and its subparagraphs shall be stopped and shall commence the run again only once the requested records have been clearly identified. In this regard, the FOIA Coordinator shall note on the received copy of the FRF the date and time of communication and its brief description.*
- 3.3.3.15 *In the event the documents requested requires extra-ordinary effort to gather or assemble, the FOIA Coordinator shall notify the FOIA Officer who shall prepare a notice from the CCU Chairman to the Person requesting the FOIA in accordance with 3.3.9.2.1 of this SOP*

- 3.3.3.16 *Preparing the FOIA Information – The FOIA Coordinator shall review the gathered records, coordinate, and confirm with FOIA Officer on the documents to be released and redact the following exempt records*
- 3.3.3.17 *Exempted records from FOIA - the following records shall be exempted from the coverage of FOIA. “If the records being requested partially contain information exempted from disclosure by this Chapter or by another law, the agency shall redact the exempt information only and release the non-exempt information in the records, citing the exemption in law that requires the information to be redacted*
- 3.3.3.17.1 Records pertaining to pending litigation to which the authority is a party, until the pending litigation has been finally adjudicated or otherwise settled
- 3.3.3.17.2 Records of complaints to, or investigations conducted by, or records of intelligence information, or security procedures or information, of an agency or its personnel
- 3.3.3.17.3 Personnel, medical, or similar files, the disclosure of which would constitute an unwarranted invasion of personal privacy. All information regarding salary, and the name, age, and mailing address of each employee and public official shall be public record.
- 3.3.3.17.4 The home address and telephone number of any person whose occupation is subject to regulation or licensure by the government of Guam, or of any public official or government employee, or of any member of a government board, commission, or council, unless such person gives express permission to disclose such information
- 3.3.3.17.5 All existing privileges or confidential records or other information expressly protected under the law
- 3.3.3.17.6 Records specifically pertaining to security procedures, passwords, combinations, access codes, electronic or computer user I.D.s, policies, or procedures on security
- 3.3.4 Draft documents.
- 3.3.4.1 *Billing – the FOIA Coordinator shall count the number of pages covered by the FOIA request and may bill its cost for ten cents (10¢) for the first page and two cents (2¢) for the succeeding pages. For magnetic media, fifteen dollars (\$15.00) per CD or DVD-ROM disc may be charged. Any branch, department, or agency of the government of Guam shall not be charged for any FOIA requests.*
- 3.3.4.2 *Review of Records for Release - before the requested records are released and within the 3-day period to prepare it, the FOIA Coordinator shall forward the gathered records to the FOIA Officer. The FOIA Officer shall:*
- 3.3.4.3 *Review its contents and make sure that all exempt documents have been removed and all exempted information have been redacted, as specified in section 3336.1 from the records to be released to the requestor.*
- 3.3.4.4 *Identify legal citations to exemptions to FOIA law that require redaction or prohibit disclosure of records and provide to FOIA Coordinator.*
- 3.3.4.5 *Draft a transmittal letter to the Person making the FOIA request upon completion of his review.*

- 3.3.4.6 *Release of Requested Records - the FOIA Coordinator shall release to the requestor the records, observing the time prescribed by the law within which to release it, to wit:*
- 3.3.4.7 *Four (4) working days, from receipt of the request, if what is requested is information in writing*
- 3.3.4.8 *Five (5) working days, from receipt of the request, if the information requested is stored on or to be stored on magnetic media*
- 3.3.4.9 *Exception - the time limit prescribed by the law may be extended up to ten (10) consecutive days, including Saturdays, Sundays and legal holidays; provided, the extension is due to unusual circumstances; and provided further, a written notice by the GM was sent to the requestor stating the reason for the extension and a date on which the records will be expected to be released.*
- 3.3.4.9.1 For this purpose, unusual circumstances mean:
- 3.3.4.9.1.1 *the need to search for and collect the requested records from field facilities or other establishments that are separate from the office processing the request; or*
- 3.3.4.9.1.2 *the need to search for, collect and appropriately examine more than ten (10) separate and distinct records which are demanded in a single request, or records that in total, are contained in five hundred (500) or more pages, or contain about two hundred fifty thousand (250,000) words, whichever is more.*
- 3.3.4.9.1.3 *Keeping of FOIA Request - FOIA Coordinator shall keep all records of FOIA request in an envelope labeled "FOIA REQUEST FY- YEAR.", and in the CCU Chairman's electronic document management filing system. Records of FOIA request shall include:*
- 3.3.4.9.1.4 *written request filed by the requestor or FRF*
- 3.3.4.9.1.5 *proof of receipt of requested records by the requestor; and*
- 3.3.4.9.1.6 *proof of payment of the cost. After filing the Annual Report to the Attorney General of Guam, the FOIA Coordinator shall place it in the FOIA Request envelope and in the CCU Chairman's electronic document management filing system*
- 3.3.4.9.2 *Annual Report - FOIA Coordinator shall prepare annual report, which report shall be reviewed by the FOIA Officer and CCU Chairman and submitted to the Attorney General of Guam on or before February 1 every year. After submission of the report, the FOIA Coordinator shall post its stamped "Received" electronic copy on the CCU website. The report must cover the preceding year and contain the following information*
- 3.3.4.9.2.1 *the number of determinations made by the agency not to comply with requests for records made to such agency under §10108 of this Chapter and the reasons for each such determination*
- 3.3.4.9.2.2 *the number of requests for records pending before the agency as of September 30 of the preceding year, and the median number of days that such requests had been pending before the agency as of that date;*
- 3.3.4.9.2.3 *the number of requests for records received by the agency and the number of requests which the agency processed;*

3.3.4.9.2.4 the median number of days taken by the agency to process different types of requests; and the number of full-time staff of the agency devoted to processing requests for records under this Section, and the total amount expended by the agency for processing such requests

4 RULE IV - AMENDMENT, SUSPENSION, OR REPEAL OF RULES

4.1 Amending, Suspending, or Repealing the Standing Rules.

4.1.1 Any Standing Rule may be amended or repealed by a vote of at least three (3) of the Commissioners of Consolidated Commission on Utilities. Under no circumstances shall a temporary suspension of the rules be allowed.

5 RULE V - PARLIAMENTARY LAW GOVERNING PROCEDURES

The rules and procedures contained in the 11th edition of Roberts Rules of Order shall govern Consolidated Commission on Utilities in all areas to which they are applicable, and which are not inconsistent with the CCU Standing Rules.

6 RULE VI - PROCESSING OF RESOLUTIONS

6.1 General Rules.

All resolutions are to be proposed or processed (including, but not limited to, preparation, introduction, adoption, printing, presentation) by the CCU or each utility for presentation, discussion, and action during regularly scheduled and properly notice meetings.

6.1.1 Technical Amendments and Corrections Authorized

Legal counsel for the respective utility shall be authorized to make technical corrections, which shall include, but not be limited to, the following: incorporating amendments passed by the CCU, correcting spelling, correcting grammar, changing the citation, changing the title, correcting formatting, correcting punctuation, renumbering sections, and correcting section sequence. Technical amendments or corrections may be done before and after adoption by the CCU.

7 RULE VII – Committees

7.1 Composition of Committees

No committee shall be comprised of more than two Commissioners.

7.2 CHAIRPERSONS AND JURISDICTION

Chairpersons. Any Commissioner may be a Chairperson of more than one (1) Standing Committee. A Chairperson of a Standing Committee shall be solely responsible for calling all meetings of the Standing Committee and establishing agendas for such meetings, as well as producing Committee Reports and resolutions, and may act in place of the Committee in all matters.

7.2.1 Committees and Jurisdiction

7.2.1.1 Committee on Rules

7.2.1.1.1 Jurisdiction

The Committee shall have general oversight over all matters pertaining to:

- A. proposed amendments to the Standing Rules;
- B. resolutions relating to the standing rules, and budget of Consolidated Commission on Utilities;

7.2.1.2 *Committee on Audits. general oversight jurisdiction*

The Committee shall have general oversight over all matters pertaining to audits of both utilities;

7.2.1.3 Committee on Budget.

7.2.1.3.1 Jurisdiction

The Committee shall have general oversight over all matters pertaining to Budgets of both utilities;

7.2.1.4 Committee on Physical and Cybersecurity

7.2.1.4.1 Jurisdiction

The Committee shall have general oversight over all matters pertaining to Physical and cyber security of both utilities;

7.2.1.5 Committee on Communications

7.2.1.5.1 Jurisdiction

The Committee shall have general oversight over all matters pertaining to Public communications and outreach of both utilities;

8 RULE VIII - POWERS, AUTHORITY, AND COMPOSITION OF STANDING COMMITTEES

8.1 General Authority

Each Standing Committee is authorized to study and analyze information relating to the subjects that fall within its jurisdiction, including, but not limited to, a need for revision of the process relating to that subject.

8.2 Powers

Each Standing Committee may meet and do any and all things necessary and convenient to enable it to exercise the powers and perform the duties granted to it, and may authorize the utility to expend such money our resources as may be made available for such purpose.

8.3 Committee Meetings

In order for any recommendation of any Standing Committee of Consolidated Commission on Utilities to be valid, such recommendations must be taken at a regularly scheduled and properly noticed CCU

meeting. For the purposes of this Section, a Committee meeting is a meeting that is called by the Chairperson of the Standing Committee in accordance with the Standing Rules.

8.4 Rules of Standing Committees

Each Standing Committee may organize rules and regulations for the conduct of its business, adopting such supplementary rules and regulations, not inconsistent with the CCU Standing Rules, as may from time to time be required in connection therewith.

8.5 Commissioners of Standing Committees

Except as otherwise provided in the CCU Standing Rules, Commissioners of a Standing Committee or Subcommittee shall be appointed by the CCU Chairperson. Except as otherwise provided in the CCU Standing Rules, the Chairperson shall determine the number of Commissioners of the Standing Committee, which may not be greater than two (2) Commissioners, including the Chairperson.

9 RULE IV

9.1 CODE OF ETHICS AND STANDARDS

9.1.1 AUTHORITY

In accordance with 12 GCA §79101, the Consolidated Commission on Utilities (CCU) hereby adopts, as a policy, the following Code of Ethics to assist it in the conduct of its affairs.

9.1.2 PREAMBLE

The CCU commits itself and its actions to ethical, business like, and lawful conduct including the proper use of authority and appropriate decorum when acting as Commissioners. Commissioners must avoid actual impropriety or the appearance of impropriety to ensure and maintain public confidence in the CCU and the agencies it governs, the Guam Power Authority (GPA) and the Guam Waterworks Authority (GWA).

9.1.3 GENERAL PRINCIPALS

- A. The effective administration of the laws applicable to the CCU depends to a great extent on the public confidence in those individuals who administer and execute the laws. The reputation of the CCU can best be maintained when those individuals obey not only the literal requirements of the laws of Guam governing their conduct, but when their conduct supports the moral and ethical principles behind those laws.
- B. Commissioners shall conduct themselves with civility and respect at all times with one another, with the staff, management, and personnel of GPA and GWA, and with Guam's ratepayers and the public.
- C. Guam's Ethics in Public Contracting Statutes and their implementing regulations, as respectively codified in 5 GCA §5601 et. seq., and 2 GAR, Div. 4, Chap. 11, §11101 et. seq., establishes specific standards of conduct for Commissioners. This Code of Ethics is made in conjunction with those statutes and regulations and is intended to establish general standards of conduct necessary for the proper and efficient operation of the CCU.

- D. Commissioners hold positions that involve a degree of trust and responsibility. To ensure the effective regulation of the public utility laws and to maintain public confidence in the CCU, it is imperative that Commissioners avoid conduct which is in violation of their public trust or which creates a justifiable impression among the public that such trust is being violated. It is recognized that there might be questions of interpretation and judgement which enter into the application of this Code of Ethics, and that some Commissioners may have questions from time to time which they may like to discuss regarding the situation. Any Commissioner who has a question about his or her situation should discuss it with the CCU or its designee. Commissioners may also request an opinion from the Commission's attorney.
- E. Commissioners may not attempt to exercise individual authority over the CCU, or GPA, or GWA, except as permitted by Guam Law and Commission policies and resolutions.
- a. Commission members must recognize the lack of authority vested in them as individuals in their interactions with Commission employees and the staff, management, and personnel of GPA and GWA, except where authorized by the CCU.
 - b. In their interactions with the public, the press, or other entities, Commissioners must recognize the same limitation as set forth in Section 3(e)(l) above, and Commissioners must not speak for the CCU unless authorized by the CCU or when describing an existing CCU decision, action, or plan.
 - c. Commissioners shall express their individual opinions in a responsible manner without causing harm to the CCU, GPA, or GWA, or to their relationships with other Commissioners, and the staff, management, and personnel of GPA and GWA.
 - d. Commissioners must comply with Guam's Open Government Law and shall not meet outside of publicly noticed meetings to make decisions concerning the CCU, GPA, or GWA. However, Commissioners may meet individually or in small groups (less than the number required for a quorum of the CCU) with the staff, management, and personnel of GPA and GWA, for the purposes of gathering information or for any other purpose authorized by law. Commissioners may also attend public hearings legally called by the Guam Legislature or the oversight Committee for GPA and/or GWA duly called by the Legislature in its compliance with the Open Government Law. Commissioners may also attend ceremonial events such as groundbreakings and employee recognition events, but any no time shall Commissioners discuss nor decide upon any matter of business normally brought before the CCU that requires a majority decision as to its disposal.
 - e. As required by Guam Law, Commissioners shall respect the confidentiality appropriate to issues regarding attorney-client privileged communications.
 - f. Commissioners shall be prepared for CCU meetings, activities, and deliberations in order to exercise good business judgement in the business and affairs of GPA and GWA.
 - g. Commissioners shall not willfully and intentionally make statements solely for the purpose of demeaning, humiliating, or otherwise publicly embarrassing or insulting other Commissioners during CCU meetings or events, GPA or GWA activities, or at other public forums, meetings, or events, or via the media.

- h. Commissioners are vested with the duty to manage the business and affairs of GPA and GWA to the best of their ability and Commissioners shall have the duty to use good business judgement. The Commissioners shall have the fiduciary duties of due care, and the duty of loyalty, which shall be owed to GPA and GWA, and the duty to protect the interests of the ratepayers concerning the efficient management and use of the assets of GPA and GWA
 - i. Commissioners shall disclose any conflicts of interest they may have in managing the business and affairs of GPA and GWA. Conflicts of interest may include but are not limited to instances where a Commissioner will personally profit from a transaction, or when a close family member of the Commissioner will profit from the transaction, or when the Commissioner serves on the board of a corporation that is transacting business with the CCU, GPA, or GWA. Commissioners shall disclose any conflicts of interests or potential conflicts of interest, to include all material facts concerning the Commissioner's relationship or interest in the transaction involved, to the CCU in the official deliberations of such transactions.

9.1.4 APPLICABILITY

This Code is applicable to the Commissioners. If any section, subsection, paragraph, sentence or other part of this Code is adjudged unconstitutional or invalid, such judgement shall not affect, impair, or invalidate the remainder of this Code, but shall be confined in its effect to that part of the Code ruled unconstitutional or invalid.

9.1.5 USE OF OFFICIAL POSITION OR INFORMATION

No Commissioner shall use or attempt to use his or her official position to secure unwarranted privileges or advantages for himself or herself or others. This provision shall include, but not be limited to, a prohibition on the use for private purposes of Board Personnel, including secretarial services, during working hours. No employee shall be coerced into performing any services for private purposes even outside of normal working hours.

No Commissioner shall willfully disclose to any person, whether or not for pecuniary gain, any information not generally available to a member of the public which he or she acquires in the course of and by reason of his official duties. No Commissioner shall use for the purpose of pecuniary gain, whether directly or indirectly, any information not generally available to members of the public which he receives or acquires in the course of and by reason of his official duties.

No Commissioner shall use his or her official position or authority to influence or control, in any manner whatsoever, either directly or indirectly, any information not generally available to members of the public which he receives or acquires in the course of and by reason of his official duties.

9.1.6 DISSEMINATION

A copy of this Code shall be delivered to every member of the CCU no later than two weeks after such new member takes office.

10 RULE X

10.1 TRAVEL AND TRANSPORTATION

10.1.1 General Rule

Shall exercise the same care in incurring expenses that a prudent person would if traveling on personal business.

10.1.2 Purpose and Scope

The purpose and scope of this Rule is to provide standard travel policies and written procedures and controls governing off-island travel of Commissioners. Prior to travel Commissioners shall provide an explanation of the reason for travel and upon return shall post a travel report on the CCU website within 30 days of the date of return.

10.1.3 General Policy

The policy of Consolidated Commission on Utilities is that all off-island travel must be performed for the direct benefit of GPA and GWA. It is the policy of Consolidated Commission on Utilities to permit travel off-island of Commissioners to keep abreast of new and recent developments in utility related proceedings, techniques, administration and procedures in the various state, national and international bodies. The CCU shall follow the travel policies of each utility.

11 Rule XI

11.1 Performance Evaluation Forms

11.1.1 GPA Performance Evaluation Forms

11.1.1.1 *General Manager*

GUAM POWER AUTHORITY



WORK PLANNING AND PERFORMANCE EVALUATION FORM

MANAGERS

NAME OF EMPLOYEE	
POSITION TITLE	General Manager
DIVISION	General Manger
DEPARTMENT	Executive
EVALUATION PERIOD	

NAME OF DIRECT SUPERVISOR	CCU
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CCU STANDING RULES

POSITION TITLE	CCU
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
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CCU STANDING RULES

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	Enforce all rules and regulations of the Guam Power Authority
1.1.1	Administer the daily business affairs to ensure electricity customers are receiving the highest level of service.
1.1.2	Set annual short-term goals and objectives in order to constantly improve the efficiency, reliability, and customer satisfaction of all services.
1.1.3	Define GPA's visionary position by assisting in all planning functions or developing and pursuing new business strategies and defining key strategic initiatives for long term growth, financial security, safety, efficiency and reliability of all GPA operations.
1.1.4	
1.1.5	

Annual Rating

1.2	Attend all CCU meetings
1.2.1	Prepare and present general and/or specialized reports of the affairs of the Guam Power Authority
1.2.2	
1.2.3	

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1.2.4	
1.2.5	

Annual Rating

1.3	Plan and develop the structure of the Authority’s organization and provide for its staffing by qualified individuals.
-----	---

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 the Authority’s personnel.
1.3.3	
1.3.4	
1.3.5	

Annual Rating

1.4	Provide for the determination of the Authority’s costs of electric services.
-----	--

1.4.1	Recommends compensatory and competitive rates and service regulations to the Board.
1.4.2	
1.4.3	
1.4.4	
1.4.5	

Annual Rating

1.5	Devote entire time to the business of the Authority.
-----	--

1.5.1	Plan, organize, coordinate and control the services of such employees in the exercise of the powers of the Authority under the general direction of the Board.
1.5.2	
1.5.3	
1.5.4	
1.5.5	

CCU STANDING RULES

2.0	Managing Finance	15% of total performance score
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Annual Rating

2.1	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.	
2.2	Makes oral and written reports periodically to the Board concerning the operating and financial results of the Authority.	
2.3	Published a financial report within 120 days from the end of the fiscal year the financial status of the Authority.	
2.4	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.	
2.5		

3.0	Managing People	15% of total performance score
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Annual Rating

3.1	Define performance targets and conduct performance monitoring against performance targets or standards regularly.	
3.2	Conducts supervisory reviews and performance evaluations for Executive staff.	
3.3		
3.4		
3.5		

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.	
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CCU STANDING RULES

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	Perform other and additional duties as required by the Board.
4.4	
4.5	

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	
------------	---------------------------	--------------------------------------	--

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	
-----	--------------------------	--------------------------------------	--

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	
-----	-----------------	--------------------------------------	--

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.

CCU STANDING RULES

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 STANDING RULES

(CCU to Complete)

SECTION F	CONFIRMATION / SIGNATURES
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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

CCU: _____ Date: _____
(authorization) CCU Chairperson

Comments :

Employee : (amendments sighted)Signature : _____ Date : _____

11.1.1.2 CFO

GUAM POWER AUTHORITY



WORK PLANNING AND PERFORMANCE EVALUATION FORM

MANAGERS

NAME OF EMPLOYEE	
POSITION TITLE	Chief Financial Officer
DIVISION	CFO
DEPARTMENT	Finance
EVALUATION PERIOD	

NAME OF DIRECT SUPERVISOR	CCU
POSITION TITLE	CCU

CCU STANDING RULES

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.
	Meets Expectations / Satisfactory

3	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.
1.1.2	Conducts an internal audit of the Authority's accounting and fiscal activities to ensure compliance with established policies and procedures and regulatory guidelines.
1.1.3	Provides for the proper billing of rate payers for electrical services, the proper maintenance of accounts receivable and the collection of all revenue due in protection of the Authority's credit standing and other interests.
1.1.4	Provide an audit of 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.
1.1.5	

Annual Rating

1.2	Establish and apply proper and timely accounting procedures for services and supplies used by the Authority in the provision of electrical services.
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1.2.1	Ensures accounting of charges and credits to proper object codes in accordance with established Federal Energy Regulatory Commission (FERC) Uniform Chart of Accounts.
1.2.2	
1.2.3	

CCU STANDING RULES

1.2.4	
1.2.5	

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	Purpose rule changes required as necessary for the implementation of policy for financial operations.
1.3.3	Provides reports on financial operations as required by the CCU.
1.3.4	Execute effective planning, asset management and monitor the overall financial health of the Authority.
1.3.5	

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.
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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.
1.4.3	
1.4.4	
1.4.5	

Annual Rating

1.5	Serves as financial advisor to the General Manager and the CCU.
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1.5.1	Participates in decision-making and strategic planning sessions with other GPA management officials.
1.5.2	Makes suggestions and recommendations that effectively contribute to decision and/or policy making process.
1.5.3	Provide reports on financial operations as required by the CCU.
1.5.4	
1.5.5	

CCU STANDING RULES

2.0	Managing Finance	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	Maintains the Authority’s general ledger and subsidiary ledgers.	
2.3	Prepares monthly and annual financial statements and reports and interprets the results for guidance for the General Manager and Board.	
2.4	Implement budgeted CIP projects.	
2.5		

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.	
3.2		
3.3		
3.4		
3.5		

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.	
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.	

CCU STANDING RULES

4.3	Performs other duties as required.	
4.4		
4.5		

SECTION B	PERSONAL COMPETENCIES
------------------	------------------------------

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	
------------	------------------------------	--------------------------------------	--

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	
------------	-----------------------	--------------------------------------	--

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	
------------	----------------------	--------------------------------------	--

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 factors

Annual Rating

5.0	Achievement Focus	5% of total performance score	
------------	--------------------------	--------------------------------------	--

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	
------------	-----------------	--------------------------------------	--

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
------------------	-----------------------------

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.

CCU STANDING RULES

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)

CCU STANDING RULES

SECTION F	CONFIRMATION / SIGNATURES
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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

CCU: _____ Date: _____

(authorization) CCU Chairperson

Comments :

Employee : (amendments sighted)Signature : _____ Date : _____

11.1.1.3 *Legal Counsel*

GUAM POWER AUTHORITY



WORK PLANNING AND PERFORMANCE EVALUATION FORM

MANAGERS

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

NAME OF DIRECT SUPERVISOR	CCU
POSITION TITLE	CCU

CCU STANDING RULES

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.
	Meets Expectations / Satisfactory

3	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	Serve as legal advisor to the CCU, when acting as the governing board for GPA, the GPA General Manager or designee.
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1.1.1	Assists the CCU and General Manager in determining the policies, procedures, rules, and regulations of GPA.
1.1.2	Prepare and track documents for filing for the CCU, when acting as the governing board for GPA.
1.1.3	
1.1.4	
1.1.5	

Annual Rating

1.2	Confers with the CCU and GPA personnel on varies administrative legal matters concerning GPA.
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1.2.1	Review for legal soundness and accuracy, program materials originating from different GPA divisions.
1.2.2	Review for legal soundness, procurement procedures, contracts, and land condemnation processes and procedures for GPA.
1.2.3	
1.2.4	
1.2.5	

CCU STANDING RULES

Annual Rating

1.3	Represent GPA in administrative hearings.
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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 GPA.
1.3.3	
1.3.4	
1.3.5	

Annual Rating

1.4	
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1.4.1	
1.4.2	
1.4.3	
1.4.4	
1.4.5	

Annual Rating

1.5	
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1.5.1	
1.5.2	
1.5.3	
1.5.4	
1.5.5	

2.0	Managing Finance	15% of total performance score
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Annual Rating

2.1	Collect past due amounts owed to GPA.
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CCU STANDING RULES

2.2		
2.3		
2.4		
2.5		

3.0	Managing People	15% of total performance score
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Annual Rating

3.1	Review, draft and participate in the disposition of adverse action cases and other personnel matters for GPA.	
3.2	Conduct research and provide legal advice on personnel-related matters for GPA.	
3.3		
3.4		
3.5		

4.0	Managing Information	10% of total performance score
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Annual Rating

4.1	Assists GPA in all environmental matters concerning the interpretation and implementation of environmental regulations affecting GPA.	
4.2		
4.3		
4.4		
4.5		

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
- 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.

CCU STANDING RULES

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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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

CCU: _____ Date: _____
(authorization) CCU Chairperson

Comments :

Employee : (amendments sighted)Signature : _____ Date : _____

11.1.2 GWA Performance Evaluation Forms

11.1.2.1 General Manager

GUAM WATERWORKS AUTHORITY



WORK PLANNING AND PERFORMANCE EVALUATION FORM

EXECUTIVE MANAGEMENT

NAME OF EMPLOYEE	
POSITION TITLE	General Manager
DIVISION	GM's Office
DEPARTMENT	
EVALUATION PERIOD	

NAME OF DIRECT SUPERVISOR	Joseph T. Duenas
POSITION TITLE	Chairman
DIVISION	Consolidated Commission on Utilities
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.

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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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CCU STANDING RULES

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
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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

CCU STANDING RULES

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	
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	
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	

CCU STANDING RULES

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

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

SECTION B

PERSONAL COMPETENCIES

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	
------------	-----------------------	--------------------------------------	--

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	
------------	----------------------	--------------------------------------	--

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 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 :

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**

CCU STANDING RULES

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.

Pass Grade

CCU STANDING RULES

Personal Achievements

Authorizing Institution

(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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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 :* _____

Immediate Sup : *Name :* _____ *Signature :* _____ *Date :* _____

Division Head : *Name :* _____ *Signature :* _____ *Date :* _____
(where applicable)

Administration (Human Resources / GM's Office)

HR Comp & Benefits : Name : _____ Signature : _____ Date : _____
(increment & achievements calculated - sheet attached)

HR Administrator : Name : _____ Signature : _____ Date : _____

General Manager : Name : _____ Signature : _____ Date : _____
(authorization)

General Manager's Comments :

Employee : (amendments sighted) Signature : _____ Date : _____

HR Comp & Benefits : Name : _____ Signature : _____ Date : _____
(payroll amended)

11.1.2.2 CFO

GUAM WATERWORKS AUTHORITY



WORK PLANNING AND PERFORMANCE EVALUATION FORM

MANAGERS

NAME OF EMPLOYEE	
POSITION TITLE	Chief Fiscal Officer
DIVISION	Finance
DEPARTMENT	Guam Waterworks Authority
EVALUATION PERIOD	

NAME OF DIRECT SUPERVISOR	CCU
POSITION TITLE	CCU
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.

CCU STANDING RULES

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 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	

CCU STANDING RULES

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
-----	--

1.2.1	Oversee and direct the development and preparation of annual budgets
1.2.2	Prepare Five-year budgets 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 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 IF CIP, 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

CCU STANDING RULES

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

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
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
1.5.4	
1.5.5	

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

CCU STANDING RULES

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	
2.4	Assess and manage labor resources to minimize overtime and adjust staffing for appropriate levels for Finance/Accounting Division administration requirements	
2.5		

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	
3.5	Motivate, lead and encourage assigned staff toward excellence	

4.0	Managing Information	10% of total performance score
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Annual Rating

4.1	Gather, analyze and report division performance data regularly 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	

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	
------------	------------------------------	--------------------------------------	--

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	
------------	-----------------	--------------------------------------	--

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 :

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

SECTION E	PERSONAL DEVELOPMENT
------------------	-----------------------------

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**

CCU STANDING RULES

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.

Pass Grade

CCU STANDING RULES

Personal Achievements

Authorizing Institution

(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)

(CCU to Complete)

SECTION F	CONFIRMATION / SIGNATURES
------------------	----------------------------------

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

CCU: _____ Date: _____
(authorization) CCU Chairperson

Comments :

Employee : (amendments sighted)Signature : _____ Date : _____

11.1.2.4 *Legal Counsel*

GUAM WATERWORKS AUTHORITY



WORK PLANNING AND PERFORMANCE EVALUATION FORM

MANAGERS

NAME OF EMPLOYEE	
POSITION TITLE	General Counsel
DIVISION	Legal
DEPARTMENT	Guam Waterworks Authority
EVALUATION PERIOD	

NAME OF DIRECT SUPERVISOR	CCU
POSITION TITLE	CCU
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

CCU STANDING RULES

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 (Legal)	30% of total performance score
Annual Rating		
1.1	Represent/Protect the Interest of the CCU / GWA	
1.1.1	Efficient Intake and management of legal correspondence/inquiries addressed to the Commission or the General Manager (GM)	

CCU STANDING RULES

1.1.2	Concise and accurate updates / effective counsel provided to the Commission and/or GM on legal issues, negotiations, claims, disputes, investigations, litigation (pending and in-progress)
1.1.3	Efficient coordination and preparation of federal and local 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 and conflict counsel, in matters relating to the Commission, GWA and the Government of Guam
1.1.5	Represents the Commission/GWA in negotiations, hearings, depositions and other legal proceedings in local and/or federal Courts as required

Annual Rating

1.2	Representation on Regulatory Matters
-----	--------------------------------------

1.2.1	Efficiently prepare, develop and file petitions as required with the Public Utilities Commission as required under law and administrative rules/regs
1.2.2	Effectively consult, counsel and coordinate with GM on regulatory filings, notices, responses or answers as required under federal and local permits (e.g., NPDES), regulations and laws (e.g., SDWA, CWA, Guam WRD Regs and Primary DW Regs)
1.2.3	Effectively supports / defends GWA’s position with regulatory consultants, administrative law judges (ALJs), enforcement attorneys, in applicable proceedings
1.2.4	Effectively develops and presents cases before deliberative regulatory entities
1.2.5	Efficiently drafts and files motions, pleadings and orders required

Annual Rating

1.3	Management of Commission Procedural / Administrative Matters
-----	--

1.3.1	Provides comprehensive legal opinions as requested by the Commission
1.3.2	Effectively counsels Commission on administrative and parliamentary procedures and requirements of law
1.3.3	Effectively identifies and manages conflicts of interest to protect the integrity of Authority and protect the public interest
1.3.4	Effectively manages the documentation, notice, and other requirements for Commission business and governance to comply with relevant open government and other laws

CCU STANDING RULES

1.3.5	Effectively maintains the privilege and confidentiality of Commission business and deliberations with respect to litigation, personnel and similar matters
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Annual Rating

1.4	Management of Procurements and Contractual Matters
-----	--

1.4.1	Effectively develops procurement and contract documents to manage risk and liability, and promote efficiency of the procurement process
1.4.2	Effectively consults, coordinates and works with GM and CFO to execute timely procurements in accordance with CCU policy and GWA operational and CIP needs
1.4.3	Effectively counsels, coordinates and works with the GM to manage, document and resolve procurement protests and contract disputes
1.4.4	Effectively manages alternative dispute resolution proceedings, such as mediation or arbitration, when required
1.4.5	Effectively consults, coordinates and works with GM in representing GWA in Procurement Appeals proceedings with the Office of Public Accountability

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Annual Rating

1.5	Management of Personnel Administrative Matters
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1.5.1	Effectively counsels, coordinates and works with GM and the Commission to negotiate, document and execute collective bargaining agreements as required
1.5.2	Effectively counsels, coordinates and works with GM to develop, update and implement personnel rules and procedures, employment policies for adopted by the Commission
1.5.3	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
1.5.4	Effectively counsels, coordinates and works with GM to represent GWA in any personnel-related civil actions, criminal investigations or proceedings
1.5.5	

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2.0	Managing Finance	15% of total performance score

CCU STANDING RULES

Annual Rating

2.1	Plan, develop and establish reasonable budget for Legal Division administration	
2.2	Track actual expenditures and monitor actual vs budget to assess 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	
2.4	Assess and manage labor resources to minimize overtime and adjust staffing for appropriate levels for Legal Division administration requirements	
2.5		

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	
3.5	Motivate, lead and encourage assigned staff toward excellence	

4.0	Managing Information	10% of total performance score
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Annual Rating

4.1	Gather, analyze and report division performance data regularly to Mgmt.	
4.2	Analyze legal, procurement, regulatory and other issues as assigned and develop recommendations with supporting data justification	

CCU STANDING RULES

4.3	Ensure all regulatory (PUC, enforcement, etc.) reports, petitions, filings, and other legal documents are posted and/or submitted timely, and maintained for proper compliance recordkeeping	
4.4	Provide relevant legal 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	

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

CCU STANDING RULES

- 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

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SECTION D	DEVELOPMENTAL RECOMMENDATIONS
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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

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

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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)

(CCU to Complete)

SECTION F	CONFIRMATION / SIGNATURES
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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

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CCU: _____ Date: _____
(authorization) CCU Chairperson

Comments :

Employee : (amendments sighted) Signature : _____ Date : _____

11.1.3 CCU Secretary Evaluation Form

GUAM POWER AUTHORITY



GUAM WATERWORKS AUTHORITY



WORK PLANNING AND PERFORMANCE EVALUATION FORM

BOARD SECRETARY

NAME OF EMPLOYEE	
POSITION TITLE	Board Secretary
DIVISION	CCU / Board
DEPARTMENT	Executive
EVALUATION PERIOD	

	CCU
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CCU STANDING RULES

NAME OF DIRECT SUPERVISOR	
POSITION TITLE	CCU
DIVISION	CCU / Board
DEPARTMENT	Executive
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	<p>Significantly Exceeds Expectations / Outstanding</p> <p>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.</p>
	<p>Exceeds Expectations / Above Satisfactory</p>

4	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’s Legal Office duties, Managing Communication & Information and Managing Regulatory Filing. 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 the board secretary on an annual basis. Please note that the identification of KPI's may be difficult 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 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 his / her contribution to the organization.

Performance Allocation

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

CCU STANDING RULES

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 is 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]
1.1.4	
1.1.5	

Annual Rating

1.2	Preparation of work sessions 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

CCU STANDING RULES

1.2.3	
1.2.4	
1.2.5	

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
1.3.3	
1.3.4	
1.3.5	

Annual Rating

1.4	Special Projects / Events
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1.4.1	Facilitate / coordinate event to include program, invitations, logistics & refreshments i.e. Oath of Office, key contract signings
1.4.3	Perform other and additional duties as required by the Board.
1.4.4	
1.4.5	

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 apprised and prepared
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CCU STANDING RULES

2.2	Assist with / perform Civil Service Commission filings and scheduling to ensure ALL parties are apprised and prepared	
2.3		
2.4		
2.5		

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. 31-233]	
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 meeting schedules, materials, minutes and resolutions	
3.4		
3.5		

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 / listing	
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	
4.3		
4.4		
4.5		

SECTION B	PERSONAL COMPETENCIES
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Overview

The personal competencies listed below are those used by employees to aid work performance 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 clear communication or personal planning, whilst others are about problem solving and decision making.

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 employees achieve results. Effective employees 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.

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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CCU STANDING RULES

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

CCU STANDING RULES

- 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
- 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

CCU STANDING RULES

- 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

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- 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 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

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.

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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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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 :* _____

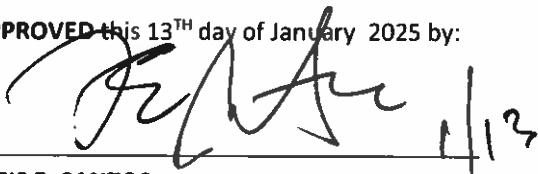
CCU

CCU: _____ *Date:* _____
(authorization) CCU Chairperson

EFFECTIVE DATE

This CCU RULES shall take effect upon approval by an affirmative vote of the majority of the Commissioners of the CCU.

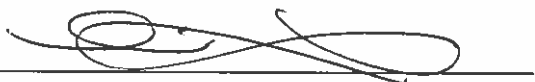
SO APPROVED this 13TH day of January 2025 by:



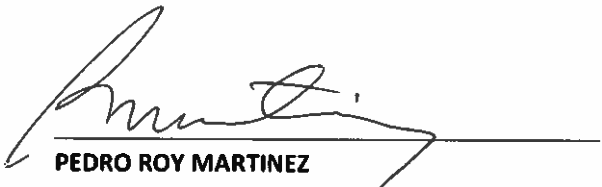
FRANCIS E. SANTOS
Commissioner



SIMON A. SANCHEZ
Commissioner



MICHAEL T. LIMTIACO
Commissioner



PEDRO ROY MARTINEZ
Commissioner



MELVIN F. DUENAS
Commissioner