



United States Department of the Interior

OFFICE OF THE SECRETARY
Washington, DC 20240

OCT 19 2016

PERSONNEL BULLETIN NO: 16-09

SUBJECT: Change to Departmental Policy on Performance Appraisal Plans for Supervisory Employees

1. Purpose: This Personnel Bulletin modifies the Department's policy on the Mandatory Supervisory/Managerial Critical Element and Benchmark Standards for supervisory employees and issued a revised form DI-3100S.

2. Authorities:

- A. Chapter 43 of Title 5 United States Code
- B. Title 5 Code of Federal Regulations Part 430
- C. 370 DM 430

3. Mandatory Supervisory/Managerial Critical Element. The mandatory critical performance element that must be included in the performance appraisal plans of all supervisory and managerial employees has been expanded and clarified as follows:

Performance of supervisory/managerial duties will be carried out in accordance with statutory/regulatory requirements and Bureau/Office policies governing the following areas:

- *Merit System Principles*
- *Anti-harassment, anti-discrimination & EEO obligations*
- *Strengthening diversity & inclusion*
- *Effective management of ethics, conduct & discipline issues*
- *Strategic planning of workforce requirements and effective use of recruitment, retention and hiring tools*
- *Reasonable accommodation obligations*
- *Safety and occupational health obligations*
- *Strengthening employee engagement and customer service*
- *Effective performance management*
- *IT security, data protection and records management obligations*
- *Internal management policies and controls*

4. Changes in Benchmark Standards.

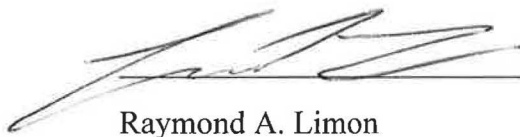
A. Revisions to Align with Mandatory Critical Element Changes. The benchmark supervisory employee performance standards at the Exceptional, Superior, Fully Successful and Unsatisfactory levels have been modified to align with the above changes to the mandatory supervisory/managerial critical element.

B. Change to Minimally Successful Standard. The Minimally Successful benchmark standard has been replaced by the requirement that managers develop a Minimally Successful standard individually, specific to the supervisory employee's job, either when plans are established for the year and/or if it is determined that an employee has not achieved Fully Successful performance. The revised Minimally Successful benchmark supervisory employee standard reads:

The Department of the Interior has not developed a benchmark standard for Minimally Successful standard for this performance cycle; however, managers and supervisors must develop a Minimally Successful standard when plans are established for the year and/or if it is determined that an employee has not achieved Fully Successful performance. This may include a specific standard in the EPAP itself or a narrative Letter of Expectations attached and made part of the performance standard which must indicate the following information: 1) the employee is on notice that his/her performance is less than Fully Successful; 2) that the employee's performance is Minimally Successful and what constitutes the Minimally Successful performance (written in a forward, not backward manner), such as "your performance is Minimally Successful which means that you have completed certain work products 50% of the time;" 3) that the employee must continue at this level in order to avoid falling to the Unsatisfactory level; and 4) that the expectation is that the employee will get back to the Fully Successful level of performance. Please contact your servicing Human Resource Office for assistance.

The revised DI-3100S form is attached to this Personnel Bulletin.

5. Inquiries. The Department of the Interior point of contact for this policy is Agnes Wanderer, Office of Human Resources, at 202-208-6107 or by email at agnes_wanderer@ios.doi.gov.

A handwritten signature in black ink, appearing to read 'Raymond A. Limon', with a horizontal line drawn underneath the signature.

Raymond A. Limon
Director, Office of Human Resources
Deputy Chief Human Capital Officer

**U.S. DEPARTMENT OF THE INTERIOR
Supervisory Performance Appraisal Plan**

Employee Name:		Title/Series/Grade:	
Duty Station:	Appraisal Period:	From:	To:

Part A-1: Notification of Standards: *Signatures certify that Critical Elements/standards were discussed. (Part E)*

Employee:	Rating Official:	Reviewing Official (if applicable*):
Date:	Date:	Date:

Part A-2: Employee Input into Development of Standards: *Signatures certify employee involvement was solicited by supervisor.*

Employee:	Date:	Rating Official:	Date:
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Part A-3: Employee Training: *Signatures certify employee was provided training in Performance Management System.*

Employee:	Date:	Rating Official:	Date:
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Part A-4: Individual Development Plan: *Signatures certify that supervisor's Individual Development Plan was created (required)*

Employee:	Date:	Rating Official:	Date:
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Part B: Progress Review: *Signatures certify that performance was discussed.*

Employee:	Date:	Rating Official:	Date:
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Part C: Summary Rating Determination: Assign the numerical rating level that accurately reflects the employee's performance for each of the Critical Elements (Use only whole numbers: **Exceptional = 5 points; Superior = 4 points, Fully Successful = 3 points, Minimally Successful = 2 points, and Unsatisfactory = 0 points.**) See reverse for complete instructions.

Element Number	Numerical Rating
1	
2	
3	
4	
5	
Total:	

Total Numerical Rating _____ ÷ Number of Elements _____ = Numeric Summary Rating _____

Part D: Summary Rating: Use conversion chart to determine rating. Check appropriate box:

Exceptional	4.6 – 5.00 AND No Critical Element rated lower than "Superior".
Superior	3.6 – 4.59 AND No Critical Element rated lower than "Fully Successful".
Fully Successful	3.0 – 3.59 AND No Critical Element rated lower than "Fully Successful".
Minimally Successful	2.0 – 2.99 AND No Critical Element rated lower than "Minimally Successful".
Unsatisfactory	One or more Critical Elements rated "Unsatisfactory".

Employee:	Rating Official:	Reviewing Official: (if applicable):
Date:	Date:	Date:

Check here if Interim Rating: _____

Performance Award: QSI _____ Cash: \$ _____ or _____ % of pay Time Off _____

Instructions for Completing the Supervisory Employee Performance Appraisal Plan

Establishing Critical Elements and Performance Standards: Critical Elements (at least one, but not more than five) must be established for each employee at the start of each performance year. Through these elements, employees are held accountable for work assignments and responsibilities of their position. A Critical Element is an assignment or responsibility of such importance that Unsatisfactory performance in that element alone would result in a determination that the employee's overall performance is Unsatisfactory. Please see the Performance Appraisal Handbook for more detailed information.

Performance standards are expressions of the performance threshold(s), requirement(s), or expectation(s) that must be met for each element at a particular level of performance. They must be focused on results and include credible measures. You may use the attached Benchmark Performance Standards to describe general parameters of the standards, but must augment those benchmarks with specific, measurable criteria such as quality, quantity, timeliness and/or cost effectiveness, for the "Fully Successful" level for each element. Rating officials are strongly encouraged to develop specific performance standards at additional levels to ensure that the employee has a clear understanding of the levels of performance expected. *At least one, and preferably all, Critical Elements must show how the element is linked to strategic goals, such as Government Performance Results Act (GPRA) or mission-related goals of the organization. If possible, these goals should be aligned throughout the organization (i.e., show how the strategic goal cascades from the SES down to the lowest non-supervisory levels.) The employee should be able to clearly understand how the results they are held responsible for are linked to the strategic and/or mission goals of the organization.*

Employee Involvement: Employees must be involved in the development of their performance plans. Part A-2 of this form requires employee and supervisor signatures certifying that employee input into the development of the plan was solicited.

Individual Development Plan: The IDP provides the connection between the employee's career interests and needs and the organizational mission and priorities. **All supervisors are required to have an IDP that is updated annually.** Required training as well as individual training needs and development activities will be identified in the IDP PB 06-04, (dated 11-09-2005).

Progress Reviews: A progress review is required approximately mid-way through the rating period. Part B should be completed after the progress review. Any written feedback or recommended training can be noted on a separate sheet and attached to the employee performance appraisal plan.

Assigning the Summary Rating: A specific rating is required for each Critical Element to reflect the level of performance demonstrated by the employee throughout the rating period. Only one numerical rating level is assigned for each Critical Element. Before the rating official assigns a summary rating, he/she should consider all interim summary ratings received for the employee during the annual appraisal period. The summary rating is assigned as follows:

- A. Assess how the employee performed relative to the described performance standards.
- B. Document the employee's performance with a narrative that describes the achievements for the Critical Elements as compared to the performance standards. A narrative must be written for each Critical Element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory, to provide examples of the employee's performance that substantiate and explain how the performance falls within the level assigned. There is a block provided for the narrative for each Critical Element.
- C. In Part C of this form, assign one of the numerical rating levels that accurately reflects the employee's performance for each of the Critical Elements (use only whole numbers: Exceptional = 5 points, Superior = 4 points, Fully Successful = 3 points, Minimally Successful = 2 points, and Unsatisfactory = 0 points).
- D. Add up the numerical rating levels to get a total, and then divide the total by the number of Critical Elements to get an average. Elements that are "not rated" because an employee has not had a chance to perform them during the rating year are not assigned any points and should not be used to determine the average rating.
- E. Assign a summary rating based on the table in Part D of this form. Employee and supervisor sign the form certifying that the rating was discussed. Reviewing Official's signature is required for Exceptional, Minimally Successful and Unsatisfactory ratings.

Note: Whenever an employee is rated "Unsatisfactory" on one or more critical elements, the overall rating **must** be "Unsatisfactory" (regardless of total points). The rating official should immediately contact the servicing Human Resources Office. Whenever an employee is rated "Minimally Successful" on one or more Critical Elements, the overall rating may not be higher than "Minimally Successful" (regardless of total points).

Part E: Critical Elements and Performance Standards: List each of the Supervisory employee's Critical Elements (at least one, but not more than five) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form. Identify the GPRA/strategic/mission goal that the Critical Element supports. **At a minimum, measurable criteria must be identified at the Fully Successful level.**

Critical Element 1 Mandatory Supervisory/Managerial Element	GPRA/Strategic Goal: Performance Measure: Supervisory/Managerial duties are effectively carried out in order to support the Department's capacity to manage its programs in a results-oriented, customer-focused, and efficient manner. <i>Performance of supervisory/managerial duties will be carried out in accordance with statutory/regulatory requirements and Bureau/Office policies governing the following areas:</i> <ul style="list-style-type: none"> ▪ Merit System Principles ▪ Anti-harassment, anti-discrimination & EEO obligations ▪ Strengthening diversity & inclusion ▪ Effective management of ethics, conduct & discipline issues ▪ Strategic planning of workforce requirements and effective use of recruitment, retention and hiring tools ▪ Reasonable accommodation obligations ▪ Safety and occupational health obligations ▪ Strengthening employee engagement and customer service ▪ Effective performance management ▪ IT security, data protection and records management obligations ▪ Internal management policies and controls
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Performance Standards	
Exceptional	See attached Benchmark Standards.
Superior	See attached Benchmark Standards.
Fully Successful	See attached Benchmark Standards.
Minimally Successful	See attached Benchmark Standards.
Unsatisfactory	See attached Benchmark Standards.

Narrative Summary

Describe the employee's performance for each Critical Element. A narrative summary must be written for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

Rating for Critical Element 1:

☐ Exceptional-5 ☐ Superior-4 ☐ Fully Successful-3 ☐ Minimally Successful-2 ☐ Unsatisfactory-0

Part E: Critical Elements and Performance Standards: *List each of the Supervisory employee's Critical Elements (at least one, but not more than five) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form. Identify the GPRA/strategic/mission goal that the Critical Element supports. **At a minimum, measurable criteria must be identified at the Fully Successful level.***

Critical Element 2:	GPRA/Strategic Goal: Performance Measure:
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Performance Standards	
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Exceptional	See attached Benchmark Standards.
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Superior	See attached Benchmark Standards.
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Fully Successful	In addition to attached Benchmark Standards, the following measurable criteria apply:
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Minimally Successful	See attached Benchmark Standards.
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Unsatisfactory	See attached Benchmark Standards.
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Narrative Summary

Describe the employee's performance for each Critical Element. A narrative summary must be written for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

Rating for Critical Element 2:

☐ Exceptional-5 ☐ Superior-4 ☐ Fully Successful-3 ☐ Minimally Successful-2 ☐ Unsatisfactory-0

Part E: Critical Elements and Performance Standards: *List each of the Supervisory employee's Critical Elements (at least one, but not more than five) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form. Identify the GPRA/strategic/mission goal that the Critical Element supports. At a minimum, measurable criteria must be identified at the Fully Successful level.*

Critical Element 3:	GPRA/Strategic Goal: Performance Measure:
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Performance Standards	
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Exceptional	See attached Benchmark Standards.
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Superior	See attached Benchmark Standards.
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Fully Successful	In addition to attached Benchmark Standards, the following measurable criteria apply:
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Minimally Successful	See attached Benchmark Standards.
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Unsatisfactory	See attached Benchmark Standards.
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Narrative Summary

Describe the employee's performance for each Critical Element. A narrative summary must be written for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

Rating for Critical Element 3:

<input type="checkbox"/> Exceptional-5 <input type="checkbox"/> Superior-4 <input type="checkbox"/> Fully Successful-3 <input type="checkbox"/> Minimally Successful-2 <input type="checkbox"/> Unsatisfactory-0
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Part E: Critical Elements and Performance Standards: List each of the Supervisory employee's Critical Elements (at least one, but not more than five) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form. Identify the GPRA/strategic/mission goal that the Critical Element supports. **At a minimum, measurable criteria must be identified at the Fully Successful level.**

Critical Element 4:	GPRA/Strategic Goal: Performance Measure:
Performance Standards	
Exceptional	See attached Benchmark Standards.
Superior	See attached Benchmark Standards.
Fully Successful	In addition to attached Benchmark Standards, the following measurable criteria apply:
Minimally Successful	See attached Benchmark Standards.
Unsatisfactory	See attached Benchmark Standards.

Narrative Summary

Describe the employee's performance for each Critical Element. A narrative summary must be written for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

Rating for Critical Element 4:

☐ Exceptional-5 ☐ Superior-4 ☐ Fully Successful-3 ☐ Minimally Successful-2 ☐ Unsatisfactory-0

Part E: Critical Elements and Performance Standards: List each of the Supervisory employee's Critical Elements (at least one, but not more than five) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form. Identify the GPRA/strategic/mission goal that the Critical Element supports. **At a minimum, measurable criteria must be identified at the Fully Successful level.**

Critical Element 5:	GPRA/Strategic Goal: Performance Measure:
Performance Standards	
Exceptional	See attached Benchmark Standards.
Superior	See attached Benchmark Standards.
Fully Successful	In addition to attached Benchmark Standards, the following measurable criteria apply:
Minimally Successful	See attached Benchmark Standards.
Unsatisfactory	See attached Benchmark Standards.

Narrative Summary

Describe the employee's performance for each Critical Element. A narrative summary must be written for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

Rating for Critical Element 5:

☐ Exceptional-5 ☐ Superior-4 ☐ Fully Successful-3 ☐ Minimally Successful-2 ☐ Unsatisfactory-0

Privacy Act Notice: Chapter 43 of Title 5, U.S.C., authorizes collection of this information. The primary use of this information is by management and your servicing human resources office to issue and record your performance rating. Additional disclosures of this information may be: To MSPB, Office of Special Counsel, EEOC, the FLRA, or an arbitrator in connection with administrative proceedings; to the Department of Justice or other Federal agency, courts, or party to litigation when the Government is a party to or has an interest in the judicial or administrative proceeding; to a congressional office in response to an inquiry made on behalf of an individual; to the appropriate Federal, State, or local government agency investigating potential violations of civil or criminal law or regulation; and to Federal State, local and professional licensing boards in determining qualifications of individuals seeking to be licensed.

If your agency used the information furnished on this form for purposes other than those indicated above, it may provide you with an additional statement reflecting those purposes.

Refusal to sign: In cases where the employee refuses to sign the EPAP, the supervisor has the authority to implement the performance standards and rating without employee agreement. Supervisor's should identify in the employee's signature block that the "Employee Refused to Sign."

Benchmark Supervisory Employee Performance Standards

Exceptional:

Supervisory: The employee demonstrates excellent leadership skills and with only rare exceptions develops effective working relationships with others; immediately handles difficult situations with subordinates with professionalism and effectiveness, and demonstrates foresight in correcting situations that may cause future problems before they arise; encourages independence and risk-taking among subordinates, yet takes responsibility for their actions; is open to and solicits the views of others, and promotes cooperation among peers and subordinates, while guiding, motivating and stimulating positive responses.

The employee demonstrates a strong commitment to fair treatment, equal opportunity and the affirmative action objectives of the organization, and has a significant positive impact on achievement of goals in this area. In addition, the employee demonstrates innovation and specific positive achievements in meeting other management obligations such as the Merit System Principles, anti-harassment, anti-discrimination and EEO obligations, strengthening diversity and inclusion, effective management of ethics, conduct and discipline issues, strategic planning of workforce requirements and effective use of recruitment, retention and hiring tools, reasonable accommodation obligations, safety and occupational health obligations, strengthening employee engagement and customer service, effective performance management, IT security, data protection and records management obligations, and internal management policies and controls. The employee systematically monitors quality, delivery, and customer satisfaction levels and makes adjustments accordingly; and works with staff to proactively implement solutions to prevent problems and avoid gaps in customer expectations.

Effective Performance Management: The employee uses staff preferences and performance information to identify both immediate and long-term developmental needs, helps staff to identify their own developmental needs and provides challenging assignments to address those needs; promotes cooperation among peers and subordinates, while guiding, motivating and stimulating positive responses to accomplishments; and provides continuing constructive performance feedback, working with employees to identify ways to improve their strengths.

Superior:

Supervisory: The employee demonstrates good leadership skills and establishes sound working relationships; almost always handles difficult situations with subordinates with professionalism and effectiveness; shows good judgment in dealing with others and considering their views; has a strong sense of mission and seeks out responsibility; demonstrates a commitment to fair treatment, equal opportunity and the affirmative action objectives of the organization, and has a positive impact on achievement of goals in this area. In addition, the employee promotes a safe working environment and solutions to problems encountered in meeting other management obligations such as the Merit System Principles, anti-harassment, anti-discrimination and EEO obligations, strengthening diversity and inclusion, effective management of ethics, conduct and discipline issues, strategic planning of workforce requirements and effective use of recruitment, retention and hiring tools, reasonable accommodation obligations, safety and occupational health obligations, strengthening employee engagement and customer service, effective performance management, IT security, data protection and records management obligations, and internal management policies and controls. Employee anticipates customer needs and resolves or avoids potential problems, resulting in high customer satisfaction. Employee tailors methods of reward and recognition to the individual to the extent possible, resulting in increased motivation in staff; and solicits employee input and takes initiative to seek out and arrange for a variety of developmental opportunities beyond standard training.

Effective Performance Management: Using effective planning works with employees to exceed expectations in critical areas and shows sustained support of organizational goals; establishes sound working relationships with subordinates and shows good judgment in dealing with them, considering their views; works with employees to develop plans and timeframes to improve performance.

Fully Successful:

Supervisory: The employee is a capable leader who works successfully with others and listens to suggestions. The employee generally handles difficult situations with subordinates with professionalism and effectiveness. The employee also works well as a team member, supporting the group's efforts and showing an ability to handle a variety of interpersonal situations. The employee's work with others shows an understanding of the importance of fair treatment and equal opportunity and meets other management obligations such as the Merit System Principles, anti-harassment, anti-discrimination and EEO obligations, strengthening diversity and inclusion, effective management of ethics, conduct and discipline issues, strategic planning of workforce requirements and effective use of recruitment, retention and hiring tools, reasonable accommodation obligations, safety and occupational health obligations, strengthening employee engagement and customer service, effective performance management, IT security, data protection and records

management obligations, and internal management policies and controls. The employee maintains contact with customers (internal and/or external), and is effective in understanding their needs and using feedback to address customer requirements. The employee provides timely, flexible, and responsive products and/or services to customers, resulting in value to the mission. Solicits employee input to improve work products and/or services and to develop employee skills. Recognizes and rewards employee contributions in a fair and consistent manner.

Effective Performance Management: The employee identifies and ensures alignment of unit goals with agency goals, seeks input of employees in the development of performance criteria, effectively translates and communicates project or work unit goals into concrete work assignments for staff; provides feedback and conducts reviews according to DOI established timeframes; ensures performance distinctions are made among individuals and awards are reflective of employee contributions toward organizational performance; and addresses poor performance in a fair and timely manner.

Minimally Successful:

Supervisory: The Department of the Interior has not developed a benchmark standard for Minimally Successful standard for this performance cycle; however, managers and supervisors must develop a Minimally Successful standard when plans are established for the year and/or if it is determined that an employee has not achieved Fully Successful performance. This may include a specific standard in the EPAP itself or a narrative Letter of Expectations attached and made part of the performance standard which must indicate the following information: 1) the employee is on notice that his/her performance is less than Fully Successful; 2) that the employee's performance is Minimally Successful and what constitutes the Minimally Successful performance (written in a forward, not backward manner), such as "your performance is Minimally Successful which means that you have completed certain work products 50% of the time;" 3) that the employee must continue at this level in order to avoid falling to the Unsatisfactory level; and 4) that the expectation is that the employee will get back to the Fully Successful level of performance. Please contact your servicing Human Resource Office for assistance.

Unsatisfactory:

Supervisory: The employee's supervisory performance is unsatisfactory. The employee usually fails to motivate subordinates and promote team spirit; often provides unclear assignments and performance requirements or insufficient instructions to subordinates; frequently fails to provide sufficient explanation of organizational goals to subordinates; generally fails to satisfy customer needs and/or meet customer service objectives; and/or frequently fails to meet production or mission goals in a timely and quality manner. The employee's work with others consistently fails to show an understanding of the importance of fair treatment and equal opportunity. Employee frequently fails to meet other management obligations such as the Merit System Principles, anti-harassment, anti-discrimination and EEO obligations, strengthening diversity and inclusion, effective management of ethics, conduct and discipline issues, strategic planning of workforce requirements and effective use of recruitment, retention and hiring tools, reasonable accommodation obligations, safety and occupational health obligations, strengthening employee engagement and customer service, effective performance management, IT security, data protection and records management obligations, and internal management policies and controls.

Understanding Performance Management

An Employee's Duties – Your supervisor should provide you with a copy of the position description for your job. Your position description is the official record of your main duties and responsibilities and is used in developing performance appraisal criteria. Take some time to read through your position description. Ask your supervisor about anything that is not clear to you. Your supervisor should review your position description with you at least once a year to ensure that it accurately reflects your main duties and responsibilities. Keep a copy of your position description and refer to it from time to time. You may want to make notes on your copy when your job changes, so that you can discuss the changes with your supervisor.

Employee Performance Appraisal Plan (EPAP) – The Employee Performance Appraisal Plan (EPAP) is the form used by the Department to evaluate the work performance of its employees under the 5-level appraisal system. When used effectively, the EPAP is a valuable communication tool for both employee development and organizational accomplishments.

Managers and supervisors are responsible for the following:

1. Complying with provisions of the U.S. Department of the Interior's Performance Appraisal Departmental Manual and Handbook (370 DM 430).
2. Establishing performance elements and performance standards that are linked to organizational goals and position descriptions.
3. Monitoring employee performance, communicating with employees about their performance and resolving performance problems.
4. Approving or reviewing ratings recommended by supervisors or rating officials.

The EPAP has several important goals:

1. Clarifying how the employee's performance requirements link to the strategic mission of their organization;
2. Increasing individual productivity by giving employees the information they need to do their jobs effectively;
3. Improving individual/organizational productivity by promoting communication between employees and supervisors about job-related matters, so that better and more efficient methods of operation can be developed; and,
4. Providing a process to recognize employees for good performance and their contributions to the organization.

Appraisal Period – The appraisal period begins October 1 and ends September 30 of each year, except where specific exceptions have been granted. The minimum period on which an appraisal may be based is 90 calendar days. During the appraisal period, your supervisor may periodically discuss your work with you and let you know how you are doing. In addition, before the end of the appraisal period, the supervisor will conduct one formal progress review with you. This progress review is another opportunity for you and your supervisor to discuss your progress, review your position description, identify any training needs or improvements, or to revise your critical performance elements and performance standards.

Performance Elements and Performance Standards – Your supervisor will explain your duties and responsibilities to you and discuss what is expected of you in order to achieve satisfactory performance. To further define your performance expectations, your supervisor will establish performance elements and performance standards for your job. Employee input into this process is required.

Performance elements tell you what work assignments and responsibilities need to be accomplished during the appraisal period. All employees must have one performance element that is linked to the strategic mission or Government Performance Results Act goals of the organization. Between one and five performance elements can be established for a position. These elements are all considered Critical Elements. They are of such importance to the position that unsatisfactory performance in one element alone would result in a determination that the employee's overall performance is unsatisfactory.

Performance standards tell employees how well performance elements must be done by defining achievable rating levels for: Exceptional, Superior, Fully Successful, Minimally Successful, and Unsatisfactory performance. These five rating levels focus on results and include credible measures such as quality, quantity, timeliness, cost effectiveness, etc.

Your overall performance is evaluated by your supervisor or rating official using these performance standards. A determination that an employee's overall performance is unsatisfactory could result in remedial action and unsatisfactory performance may be the basis for removal or reduction in grade. Minimally Successful performance may result in the denial of a within-grade increase.

The Rating Process – At the end of the appraisal period, your supervisor will carefully review the performance elements and standards for your position. Based on your actual performance, one of five rating levels may be assigned. The rating will be presented to you during the formal performance discussion between you and your supervisor. The appraisal will be completed with your signature and a copy provided to you. This rating is documented on the EPAP form and is considered as your Rating of Record. Your rating of record is directly linked to your eligibility for certain types of pay increases and awards.

Rewarding Performance – Rewarding performance means recognizing good performance and providing incentives to employees for their work efforts and contributions to the organization. At the end of the appraisal period, your supervisor may consider you for an award based on your performance and rating of record as follows:

- Exceptional – Eligible for an individual cash award up to 5% of base pay; a Quality Step Increase; Time-Off Award; or other appropriate equivalent recognition.
- Superior – Eligible for an individual cash award up to 3% of base pay; Time-Off Award, non-monetary award, or other appropriate equivalent recognition.
- Fully Successful – Not eligible for any performance award, but may receive monetary, non-monetary, Time-Off, or other appropriate incentive awards for specific accomplishments throughout the year.
- Minimally Successful and Unsatisfactory – Ineligible for any performance recognition.

How to get the most out of your Employee Performance Appraisal Plan

1. Ask for Feedback throughout the appraisal period.

How do you know if you are learning how to do your job and meeting your performance expectations? Talk to your supervisor throughout the appraisal period. Your supervisor wants you to succeed and is available to provide guidance to help you learn how to effectively do your job. Communicating regularly with your supervisor gives you the opportunity to understand the job expectations. It also lets your supervisor know what type of assistance or resources you need to perform your work, and it is a good way to get feedback.

Feedback is information that helps you know how you are progressing in learning the duties and responsibilities of your job. Employees who seek feedback from their supervisors learn their jobs more quickly and with fewer wrong turns than employees who shy away from feedback. Employees who seek feedback spend less time redoing work and turn in work with fewer mistakes. As a result, they improve their work performance.

Getting and using feedback is one of the most important keys to learning your job. As you do your work, ask for feedback from your supervisor to see if you are on track. At first you may feel uncomfortable asking for feedback. But, remember that your supervisor wants you to succeed. As you master your job and get to know your supervisor, you will soon feel more comfortable asking for and receiving feedback.

2. Preparation

a. Before your supervisor prepares your appraisal:

1. Prepare a list of key work accomplishments and give it to your supervisor for consideration in preparing your rating.
2. If you have specific issues come prepared to discuss them. Give your supervisor a "heads up" so that they can also prepare to discuss the issues.
3. Write down any key points and questions you may have.

b. During your performance discussion:

1. Don't be shy about asking for clarification, especially about your supervisor's expectations.
2. Refer to your notes, so that you don't overlook any points that are important to you.
3. Tell your supervisor how you feel things are progressing and if you need any additional information or materials.
4. Let your supervisor know what your short/long-term career goals are.
5. Ask for feedback.

If you still have questions about the Employee Performance Appraisal Plan after carefully reviewing this handbook, please discuss your questions with your supervisor.

Supervisor's Guide to Developing Individual Development Plans

The Individual Development Plan (IDP) is a valuable performance enhancement tool for any federal employee. The IDP can be of great assistance to those who want to enhance skills and strengths and learn more about matters of interest that are relevant to the performance of the agency. Bureaus/Offices are required to use an IDP for supervisory positions. Check with your Human Resources Office for the IDP or other appropriate form to be used by your Bureau/Office for documenting employee development needs.

The following is a brief outline of the definition, steps and goals of an IDP.

Goals: The employee and the rating official develop goals together. The IDP provides a connection between the employee's career interests and needs to the organizational mission and priorities. The most common goals of an IDP are to:

- Learn new skills to improve current job performance
- Maximize current performance in support of organizational requirements
- Increase interest, challenge, and satisfaction in current position
- Obtain knowledge, skills and abilities necessary for career growth

Definition: An IDP identifies a broad spectrum of developmental opportunities for the employee, including on-the-job training, distance learning, formal classroom training, details, shadow assignments and self-development. It addresses the needs of the organization and of the employee beginning with a focus on maximizing employee performance in the current job.

An IDP is a guide to help individuals reach career goals within the context of organizational objectives. It is a developmental action plan to move employees from their current place to where they want to go. It provides the systematic steps to improve and to build on strengths as individuals improve job performance and pursue career goals.

An IDP is a partnership between the employee and the rating official in personal development. Preparing an IDP involves open feedback, clarification and discussion about developmental needs, goals, and plans. Periodic communication between the rating official and the employee is the key to the currency and success of an IDP.

An IDP is not a:

- *Performance appraisal. It is not used to determine pay, awards or other personnel actions based on performance.*
- *Contract for training. Final approval of training opportunities is made based on factors such as timing and budget availability.*
- *Position description. It is not used for clarifying discrepancies in the duties as described.*
- *Guarantee for promotion or for reassignment to another position. While the developmental experiences identified in an IDP may have some training that might qualify the employee for another position or grade, there is no guarantee of advancement.*

Responsibilities: As in all aspects of the employee/supervisor relationship, direct and open communication is the key to the success of an IDP. The following responsibilities address the IDP process specifically.

The **employee** is responsible for:

- Assessing personal skills necessary for performing the current position
- Suggesting developmental experiences which would enhance the skills necessary for performing the current position and for the desired career goals
- Identifying personal career goals
- Understanding what skills are necessary for meeting the career goals
- Participating in open discussions with the rating official concerning the elements of the IDP
- Completing the developmental experiences in the IDP as approved by the rating official
- Alerting the rating official when the IDP needs review and updating

The **rating official** is responsible for:

- Providing constructive feedback to the employee about skills necessary for performing the current position
- Suggesting and reviewing employee suggestions for developmental experiences which would enhance the skills necessary for performing the current position
- Counseling the employee about career goals
- Identifying developmental experiences which would enhance the skills necessary for performing in the next type of position toward the employee's career goal
- Participating in open discussions with the employee concerning the elements of the IDP, in periodic updates and reviews of the IDP for currency
- Giving final approval to specific developmental experiences
- Monitoring the progress of the employee in completing the developmental experiences agreed upon in the IDP

Individual Development Plan (*Bureaus/Offices are required to use an IDP for supervisory positions. Check with your Human Resources Office for the IDP or other appropriate form to be used by your Bureau/Office for documenting employee developmental needs*).

Individual Development Plan

Plan Performance Year _____

Employee's Name	Position Title/Grade	Office Phone	Office Fax	Email Address
Current Supervisor's Name	Supervisor's Title	Office Phone	Office Fax	Email Address
Goals for Successful Performance in Current Position	Short-term Career Goals (2-3 years)	Long-term Goals (3+ years)		
Developmental Objectives: What do you need to do this year to work towards your goals?	Developmental Activities (training, assignments, projects, details, etc.)	Proposed Dates	Estimated Costs	Date Completed
Notes:		Employee's Signature/Date		
		Supervisor's Signature/Date		

Instructions for Completing the Individual Development Plan

Employee Development and Career Goals – the employee and supervisor work together to complete the goals for successful performance in the employee's current position and the employee's short- and long-term career goals on the IDP.

Developmental Objectives – describe what the employee needs to do this year to work toward his/her goals. Objectives describe what the employee needs to learn or achieve in order to reach his/her goals.

Determine a method of training and a training time frame – determine what type of training or activity is needed to accomplish the employee's developmental goals. It could be on-the-job training, a detail, or a formal training course or a combination of methods. Identify the proposed dates for the training or activity in the "Proposed Dates" column. Enter the actual or estimated cost of the activity in the "Estimated Costs" column. This column can be used in preparing your office's annual budget. Once the training is completed, write the date in the "Date Completed" column.

Methods of Training:

On-the-job training – this can include coaching by a skilled individual or details into positions that will give the employee the skills and knowledge needed.

Details – temporary assignments to another location and/or position to gain specific knowledge and/or experience.

Courses – formal training courses, e.g., from your agency, local universities, commercial vendors.

Satellite Broadcasts/Computer/Web Based Learning – a variety of topics available through your agency via satellite broadcasts, software packages, and on-line training.

Discuss the Development Plan with your Employee – discuss the IDP with the employee and make any necessary modifications. The supervisor and employee should sign and date the plan. This plan should be completed within 60 days from the beginning of the performance year.

Review and Modifications – the plan should be reviewed at each performance review and modified as situations or needs change.