US DEPARTMENT OF THE INTERIOR

Guidance for Completion of eFORMs – DI-3100S

Initiating a Performance Plan By the Rating Official

January 2015

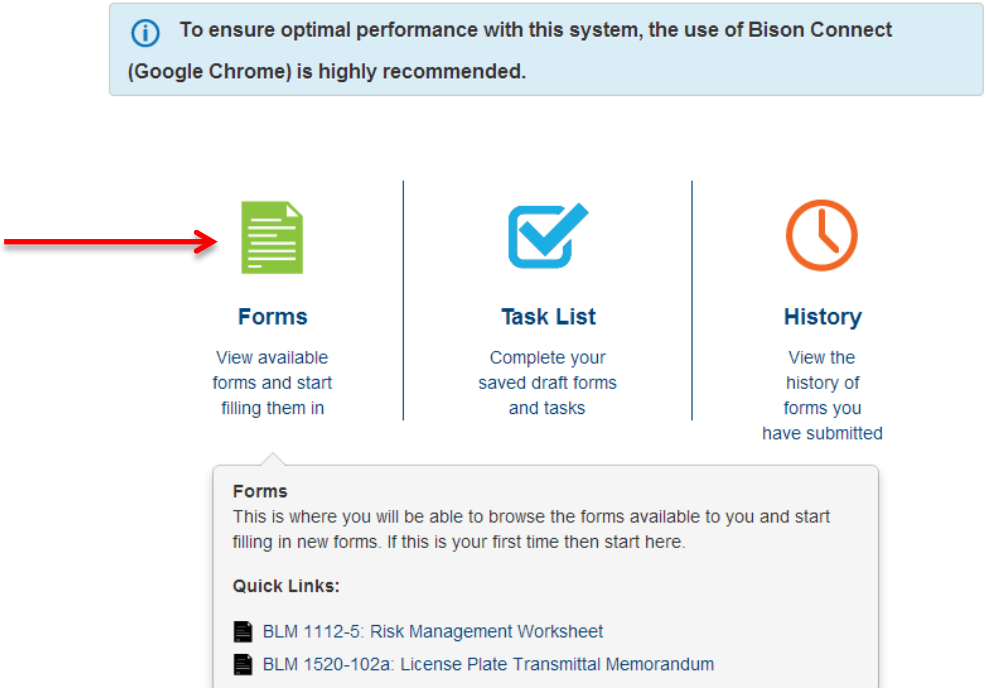
The electronic version of the Employee Performance Appraisal Plan (EPAP) forms for non-SES employees was launched on December 19, 2014. The Department of the Interior's automated version of the DI-3100S/DI-3100 is available for use during FY 2015 and subsequent appraisal years. Bureaus/offices can access the link to the electronic form at: https://eforms.doi.gov. Additionally, you can expect future releases to integrate into the eOPF.

Instructions to initiate performance plans are included in the Guides available in the Non-SES Performance Management Toolbox. Separate instructions are provided for supervisory (DI-3100S) and non-supervisory (DI-3100) forms. If there are questions, refer to the Performance Management (Non-SES) Toolbox at http://www.doi.gov/pmb/hr/index.cfm or direct questions to your Servicing Human Resources Office for assistance.

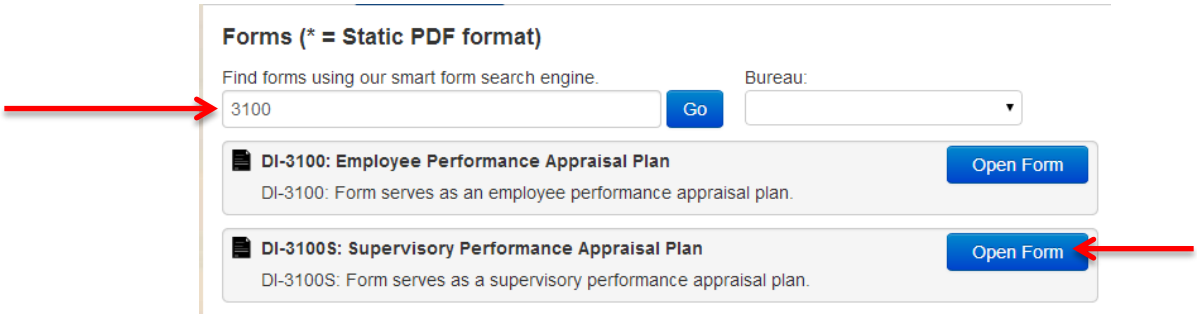
Initiating a Performance Plan By the Rating Official – DI-3100S

If you are initiating the performance plan as the Rating Official, you are responsible for completing all the required fields, including the Employee's email, Title, Pay Plan information, Appraisal Period, Duty Station, Bureau, and Critical Elements. To begin, click on the **Forms** tab.

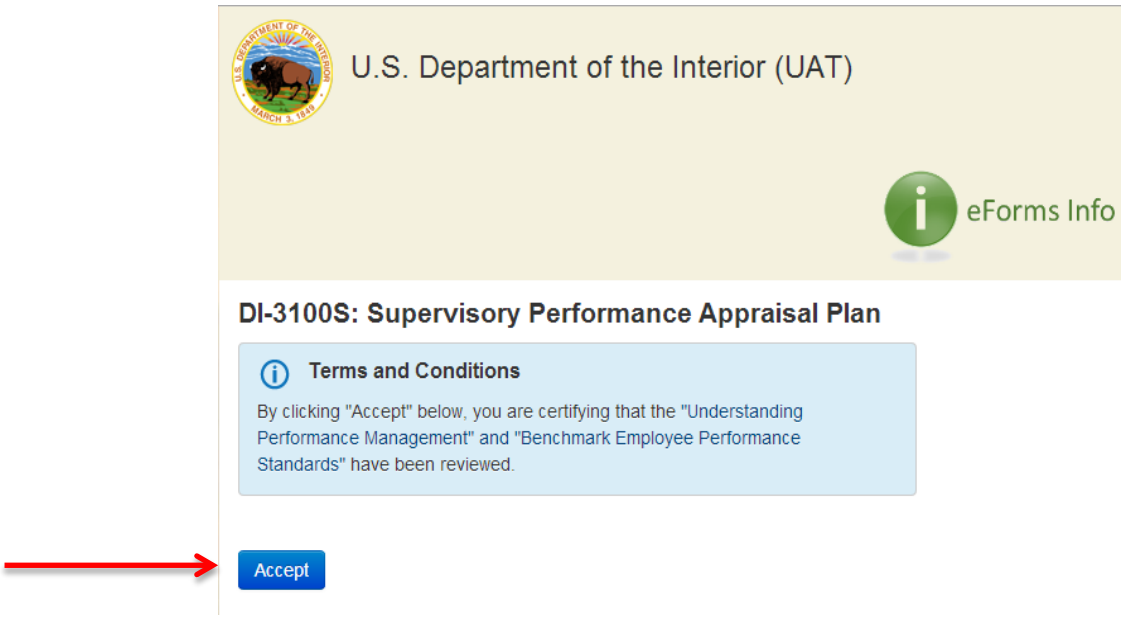
The link to the electronic form is: https://eforms.doi.gov
Please note that DOI network access (i.e., VPN) is required at this time in order to access the site.



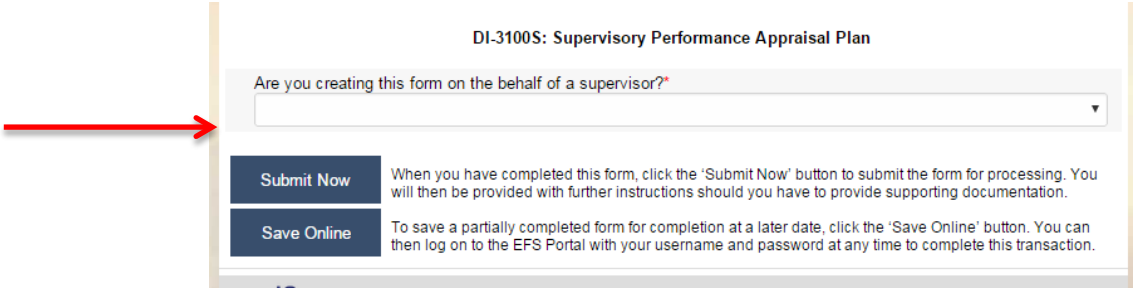
To find the form, you can either use the **Search** function or scroll down to the DI-3100S form. Once you locate the form, click on the **Open Form** button next to the form name.



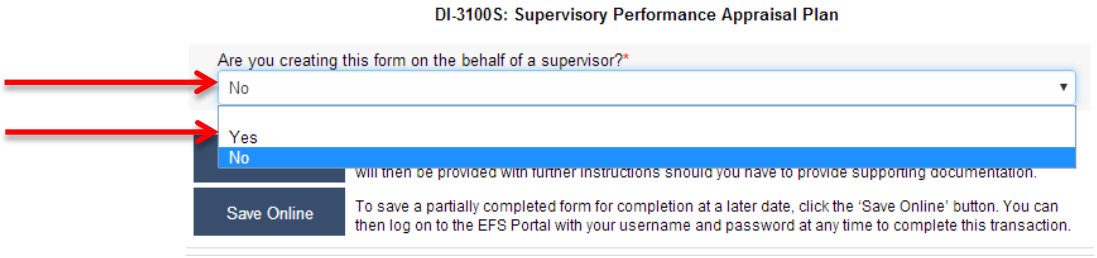
You will be asked to **Accept** the Terms and Conditions. By accepting, you are certifying that you have reviewed "**Understanding Performance Management**" and the "**Benchmark Employee Performance Standards**." Both documents can be found in the Performance Management (Non-SES) Toolbox.



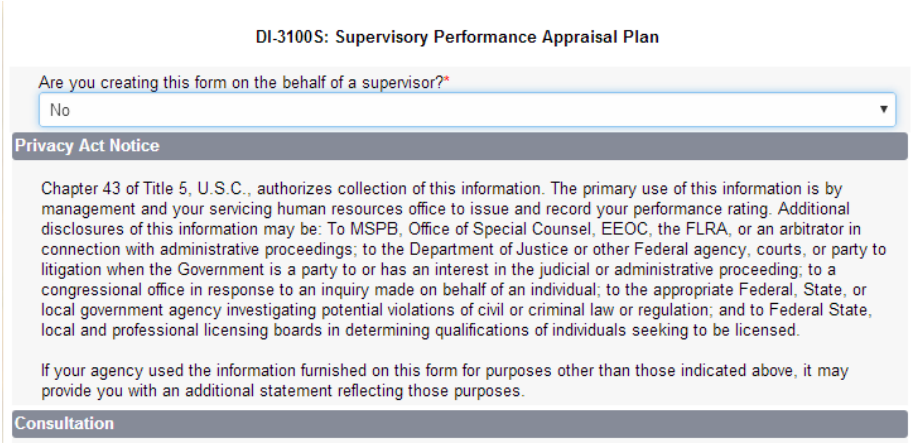
When you accept the Terms and Conditions, a menu will open asking you whether you are creating the Performance Plan on behalf of a supervisor.

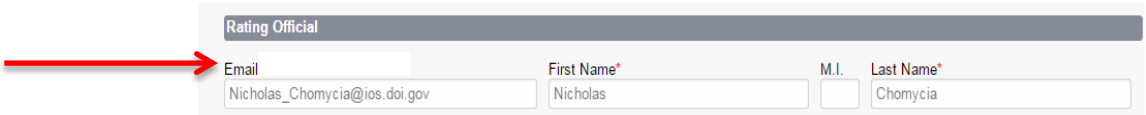


If you select **No**, you will be forwarded to the Performance Plan scenario that is completed by the rating Official. If you select **Yes**, you will be forwarded to the Performance Plan scenario that is initially completed by someone other than the rating official.



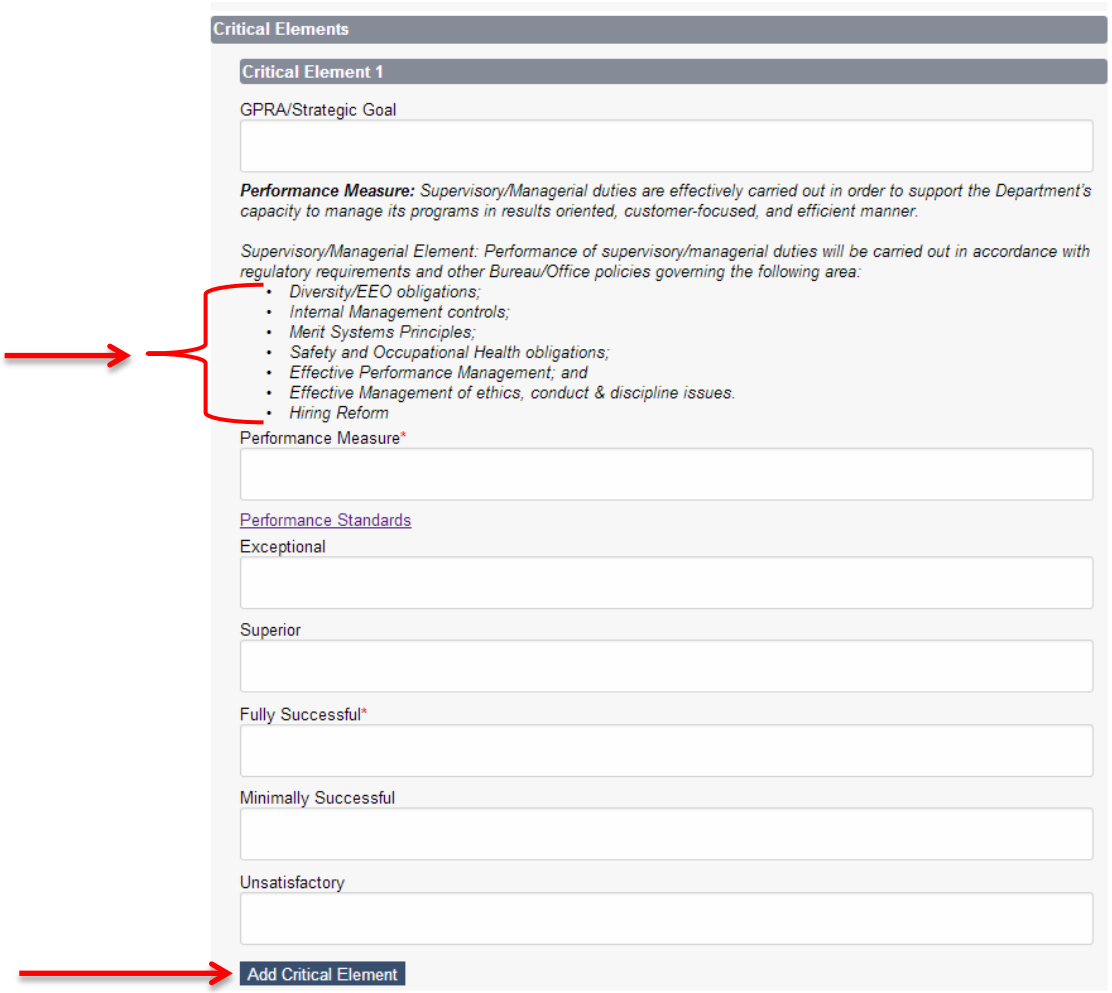
Using the scenario where you select **No,** you are identifying yourself as the **Rating Official** and your email address and name will automatically populate in the **Rating Official** section. Complete all mandatory fields (marked with a red asterisk) and optional fields as appropriate.





Complete all mandatory fields for the **Employee** section of the form. When selecting the Pay Plan Code, utilize the drop down arrow of available options. When completing the "Series" information make sure to enter as a four digit field (i.e., 0343 or 4759). Some fields have "help" or "expansion" buttons to provide you with additional information and assist you in completing the form. Click on the symbols for further details.

The performance plans require at least one, but no more than five, critical elements and performance standards. Critical Element One identifies the **"Supervisory/Managerial Elements"** required in all supervisory performance plans and cannot be changed. Click on the **Add Critical Elements** button to add additional critical elements and performance standards. You can add up to four additional critical elements and performance standards. Identify the GPRA/strategic goal that the critical element supports. For **Exceptional** and **Superior** performance standards, you may add additional measurable criteria or indicate "Refer to Benchmark Standards." For the **Fully Successful** performance standard, you are required to describe additional measurable criteria.



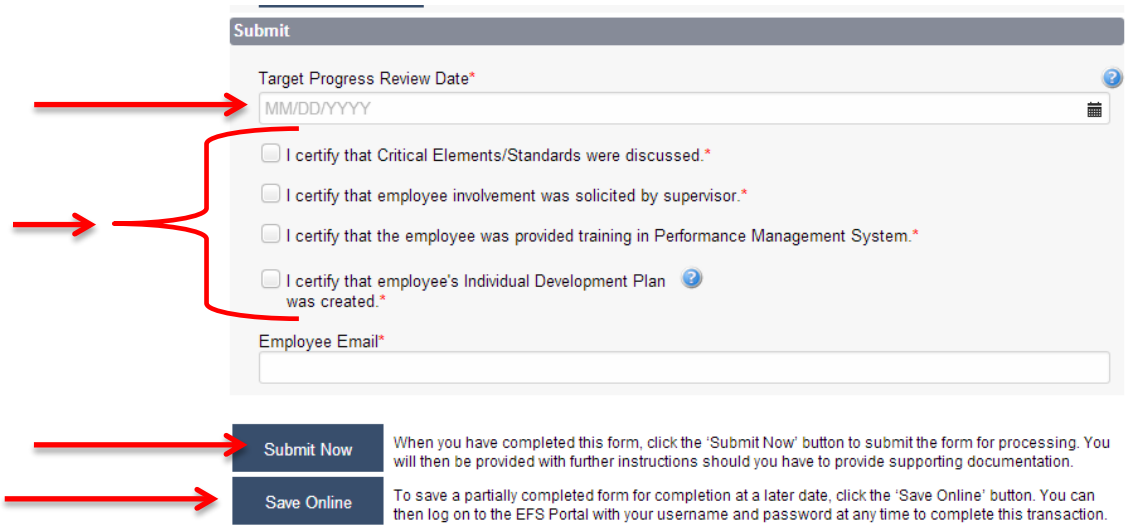
In the **Submit** section, you are required to enter a **Target Progress Review Date.** This should occur midway through the rating period. The date entered in this field will prompt the system to send you a reminder email 15 days prior to the target date. This is the only reminder you will receive. **NOTE:** The system will not allow you to skip the progress review. You must complete a progress review in order to complete the performance appraisal at the end of the rating cycle.

Check the boxes certifying that –

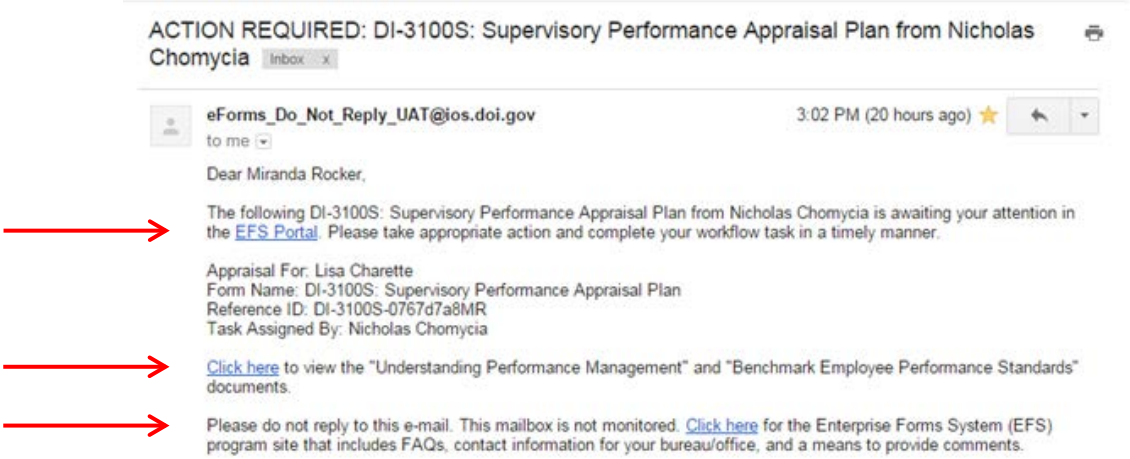
- Critical Elements/Standards were discussed
- Employee involvement was solicited by the supervisor
- The employee was provided training on the Performance Management System; and
- An IDP was created (All which is located in the Performance Management (Non-SES) Toolbox).

When you have completed the form, click on the **Submit Now** button to forward the form to the employee for their review and acceptance.

If you need to save the form and go back to it at a later time, click on the **Save Online** button. To return to a saved form, go to your Task List in the main eForm menu, find the form, and click **Open Form** to resume completion.



Notification is sent to the employee advising him/her of action required to establish their performance plan. Clicking on the **Enterprise Form System (EFS) Portal** opens the **Task List** of items for review and completion. "Understanding Performance Management" and "Benchmark Standards" documents can be reviewed by clicking on the link identified. Additional EFS information, including FAQs can also be reviewed by clicking on the link identified.


ACTION REQUIRED: DI-3100S: Supervisory Performance Appraisal Plan from Nicholas Chomycia Inbox x

eForms_Do_Not_Reply_UAT@ios.doi.gov 3:02 PM (20 hours ago)
to me

Dear Miranda Rocker,

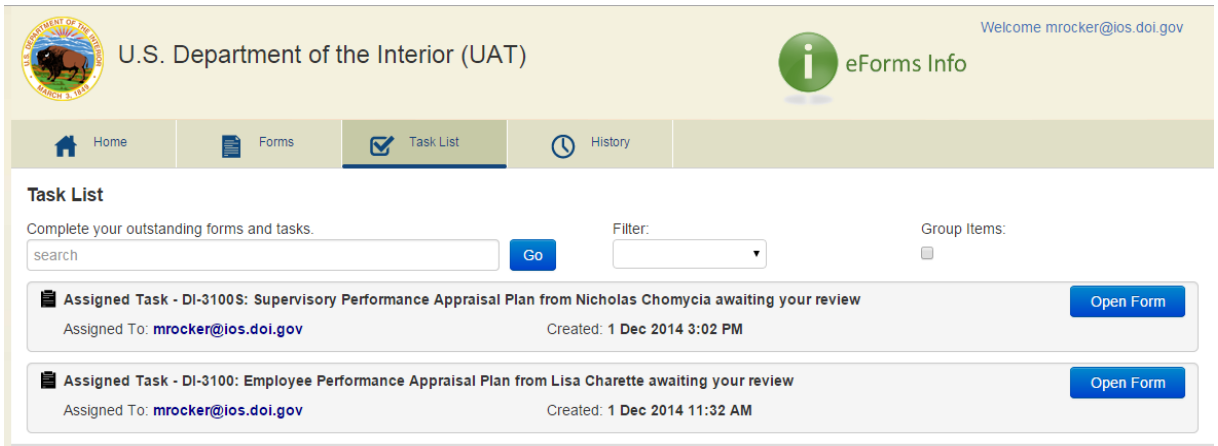
The following DI-3100S: Supervisory Performance Appraisal Plan from Nicholas Chomycia is awaiting your attention in the EFS Portal. Please take appropriate action and complete your workflow task in a timely manner.

Appraisal For: Lisa Charette
Form Name: DI-3100S: Supervisory Performance Appraisal Plan
Reference ID: DI-3100S-0767d7a8MR
Task Assigned By: Nicholas Chomycia

Click here to view the "Understanding Performance Management" and "Benchmark Employee Performance Standards" documents.

Please do not reply to this e-mail. This mailbox is not monitored. Click here for the Enterprise Forms System (EFS) program site that includes FAQs, contact information for your bureau/office, and a means to provide comments.

Below is the **Task List** notification that is sent to an employee notifying him/her of action required on the Performance Appraisal Plan.


U.S. Department of the Interior (UAT)

Welcome mrocker@ios.doi.gov

eForms Info

Home | Forms | Task List | History

Task List

Complete your outstanding forms and tasks.

search Go

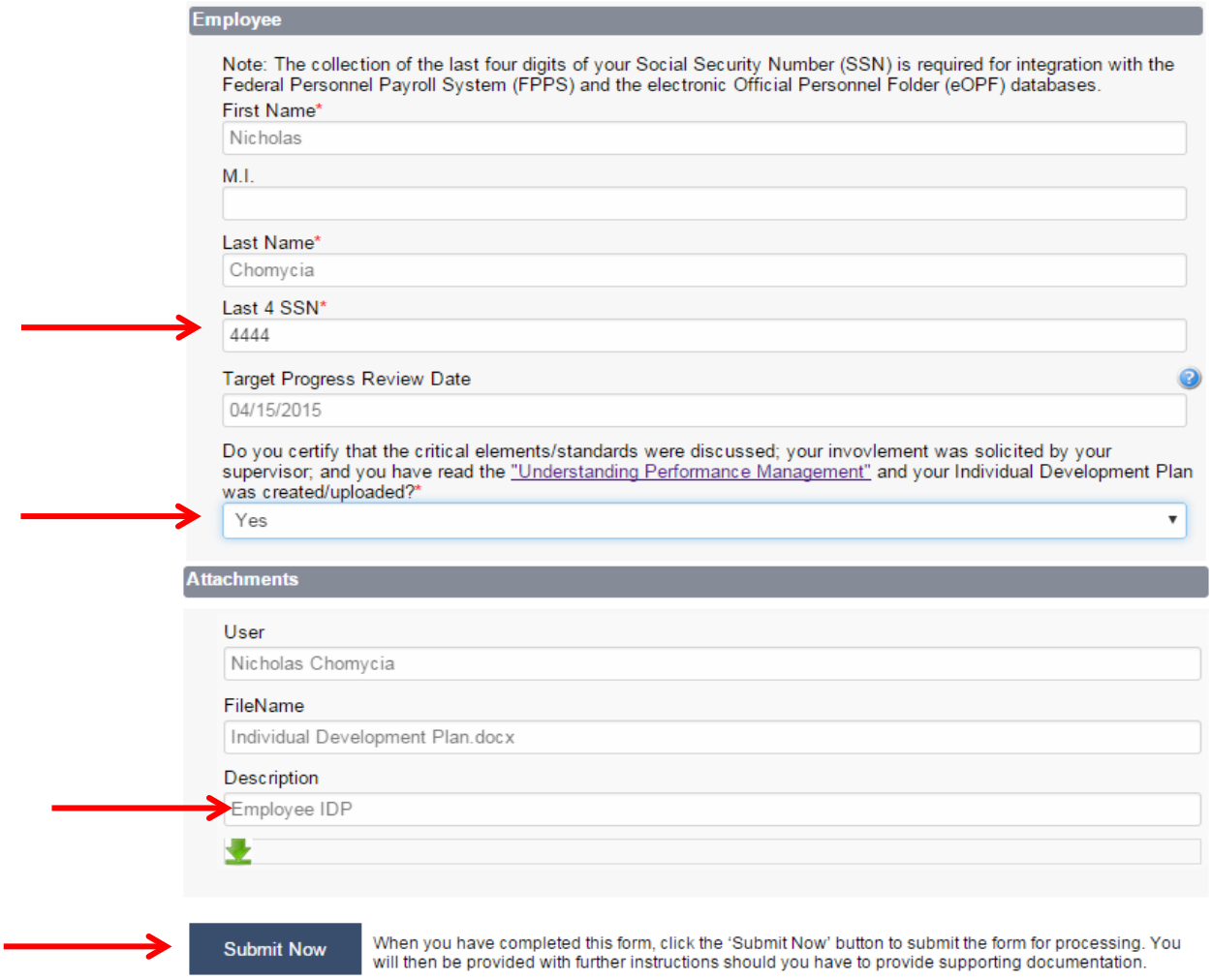
Filter:

Group Items:

Assigned Task - DI-3100S: Supervisory Performance Appraisal Plan from Nicholas Chomycia awaiting your review
Assigned To: mrocker@ios.doi.gov Created: 1 Dec 2014 3:02 PM
Open Form

Assigned Task - DI-3100: Employee Performance Appraisal Plan from Lisa Charette awaiting your review
Assigned To: mrocker@ios.doi.gov Created: 1 Dec 2014 11:32 AM
Open Form

The employee should verify the information in their performance plan and enter the last four digits of their SSN. The employee should also review "Understanding Performance Management" and the IDP, if uploaded. After the review is completed, the employee must click on **Submit Now** to submit the form for processing.



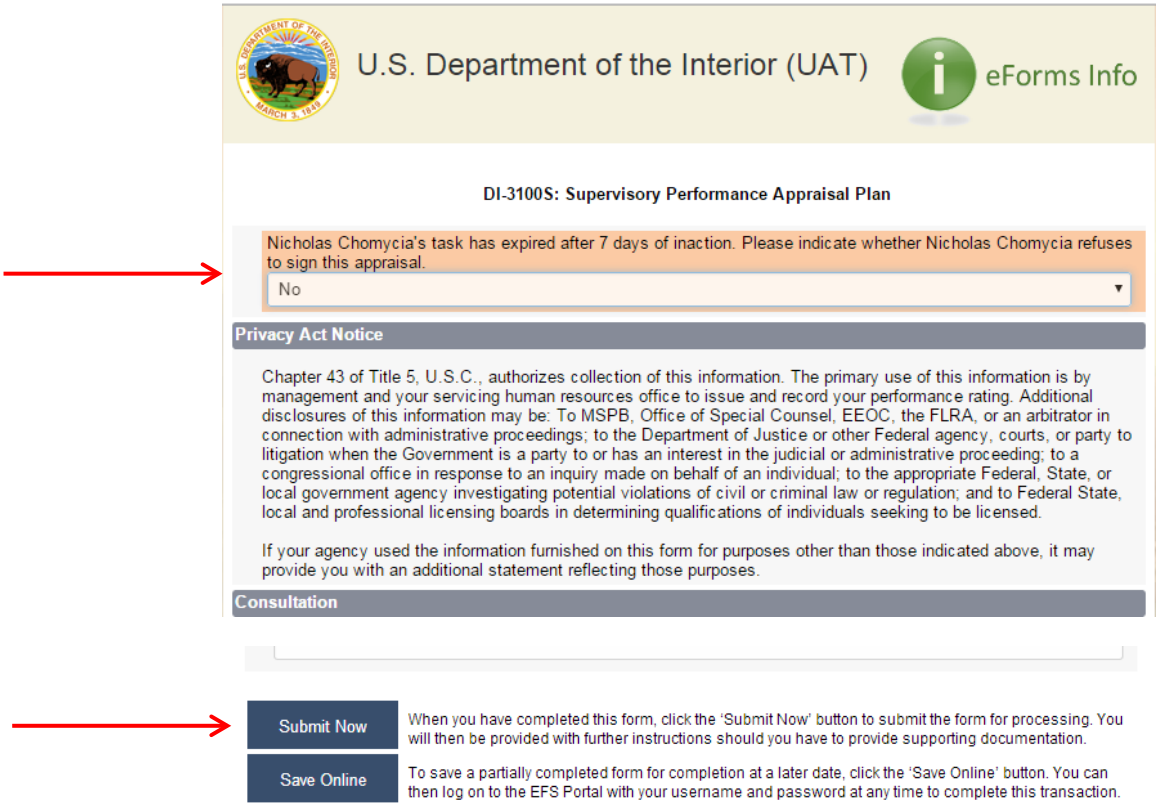
After the employee reviews and accepts the performance plan, both the supervisor and the employee will receive will receive an email with a copy of the signed performance plan of the signed performance plan via email.

Signature Refusal

The employee has 7 days to review and accept their performance appraisal plan. After 7 days, the form is returned to the **Rating Official** indicating there was no action taken by the employee. The Rating Official must confirm whether the employee is refusing to sign the Performance Appraisal Plan, enter **No** or **Yes,** and move forward with the appropriate action.

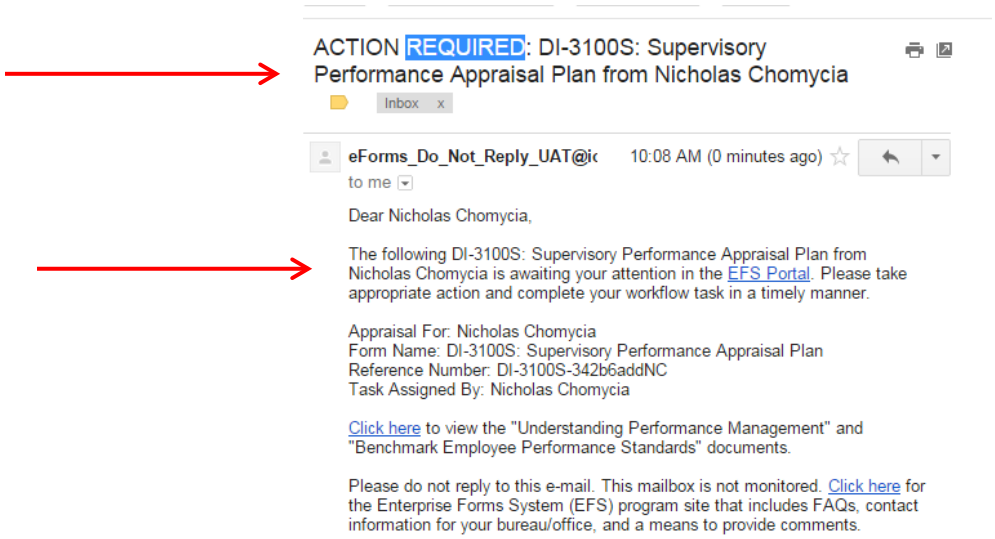
If **No**, the Rating Official will select "No" and click **Submit Now** to return the form back to the employee for review and signature.

If the employee is refusing to sign, the Rating Official will select **Yes** and click **Submit Now.** A performance appraisal plan is generated noting **"Employee Refused to Sign."** The supervisor must notify the employee by email that the performance appraisal plan has been implemented and provide a copy of the plan to the employee.



Progress Review

Approximately 15 days prior to the date selected for the Progress Review, the Rating Official will receive an email reminder. By Clicking on the **EFS Portal,** a Task list will open.



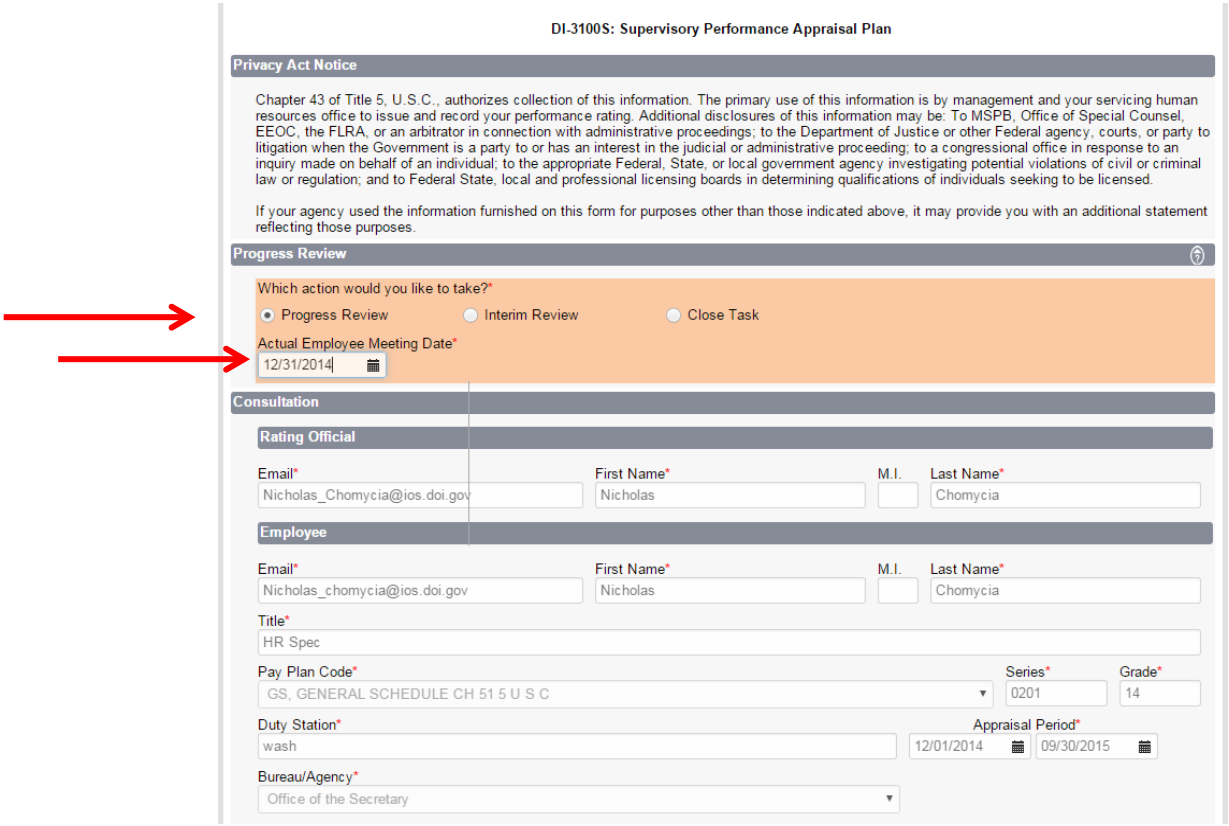
Open the form in the task list to see the screen for a **Progress Review.**

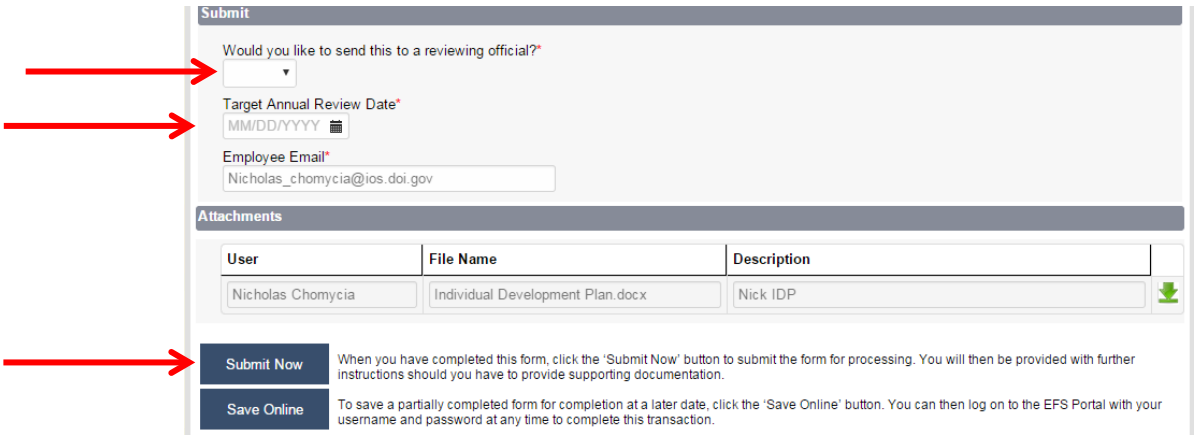
The screen will give you several options (Progress Review, Interim Review, Close Task).

If you select **Progress Review**, indicate the actual date you met with the employee. Prior to meeting with the employee, you may wish to ask for their input for the Progress review. After you meet and discuss the progress review, enter the target date for the **Annual Review** (this should be the end of the rating cycle).

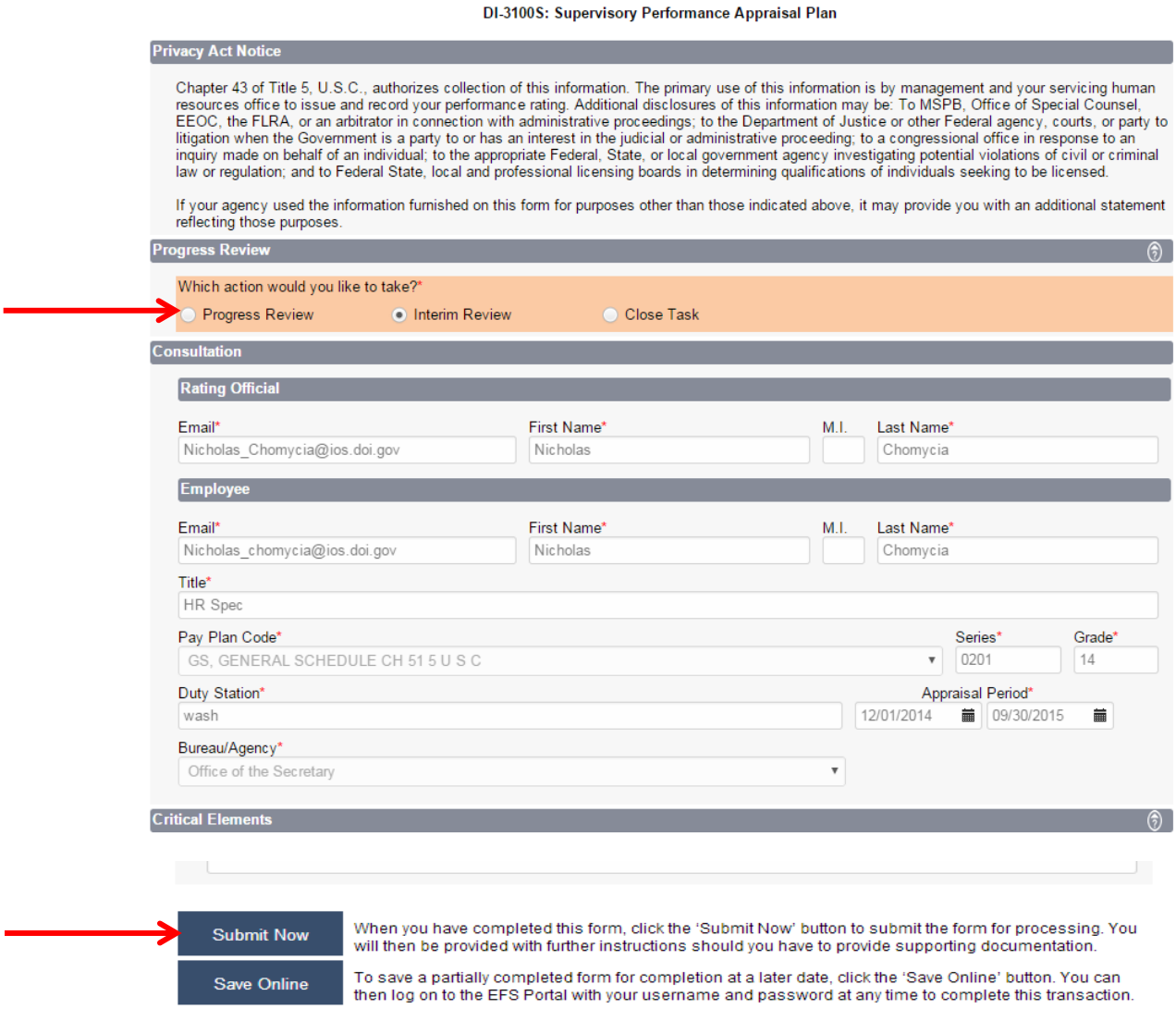
The reviewing official may be included during this process. If you select yes, the form is routed to the reviewing official for additional input, comments and concurrence. At this stage in the performance review, the reviewing official is required only in cases of concerns over the review.

Once all actions are completed by the rating official, the form is forwarded to the employee for concurrence.





For an **Interim Review**, select the action you would like to take. Click on **Submit Now** to forward to the employee for their input.



DI-3100S: Supervisory Performance Appraisal Plan

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.

Progress Review

Which action would you like to take?*

Progress Review | Interim Review | Close Task

Consultation

Rating Official

Email* Nicholas_Chomycia@ios.doi.gov | First Name* Nicholas | M.I. | Last Name* Chomycia

Employee

Email* Nicholas_chomycia@ios.doi.gov | First Name* Nicholas | M.I. | Last Name* Chomycia

Title* HR Spec

Pay Plan Code* GS, GENERAL SCHEDULE CH 51 5 U S C | Series* 0201 | Grade* 14

Duty Station* wash | Appraisal Period* 12/01/2014 09/30/2015

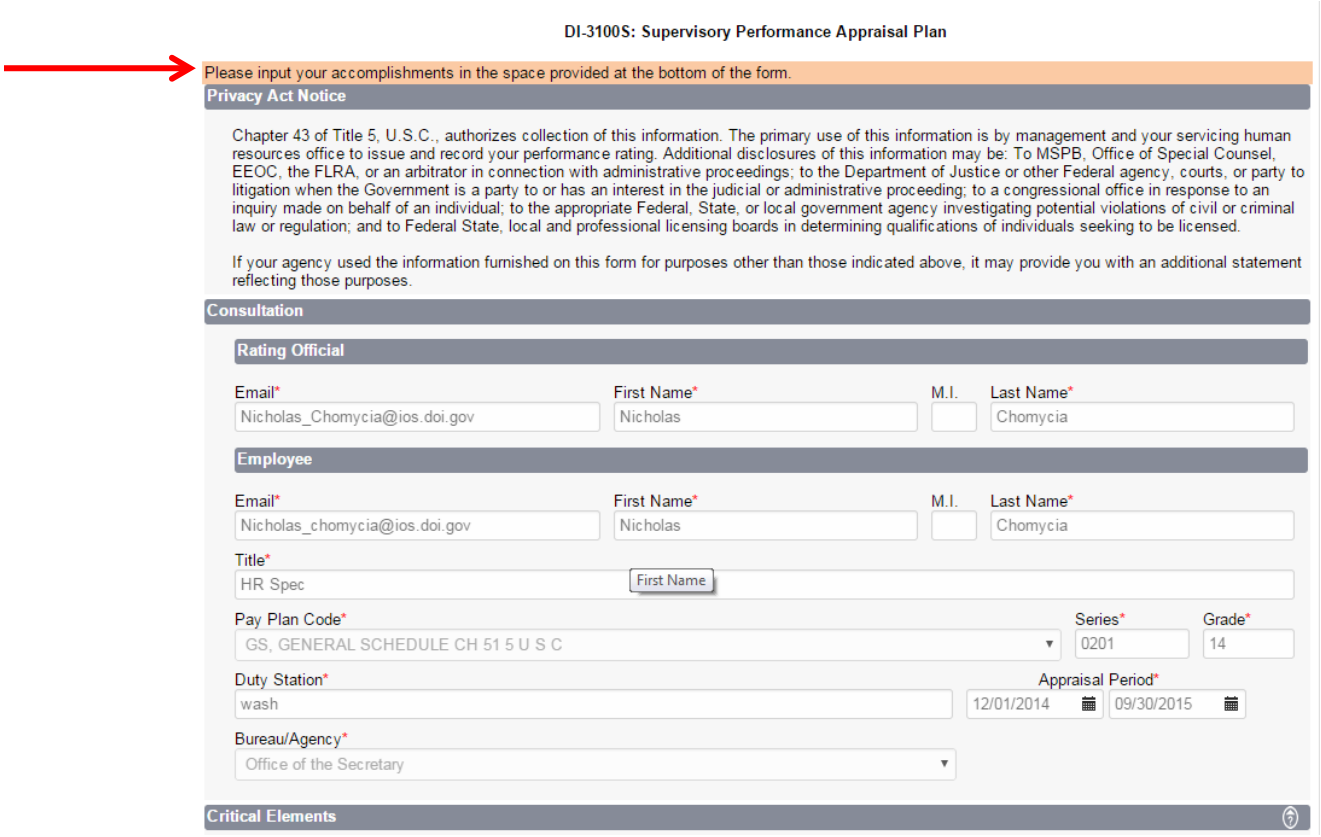
Bureau/Agency* Office of the Secretary

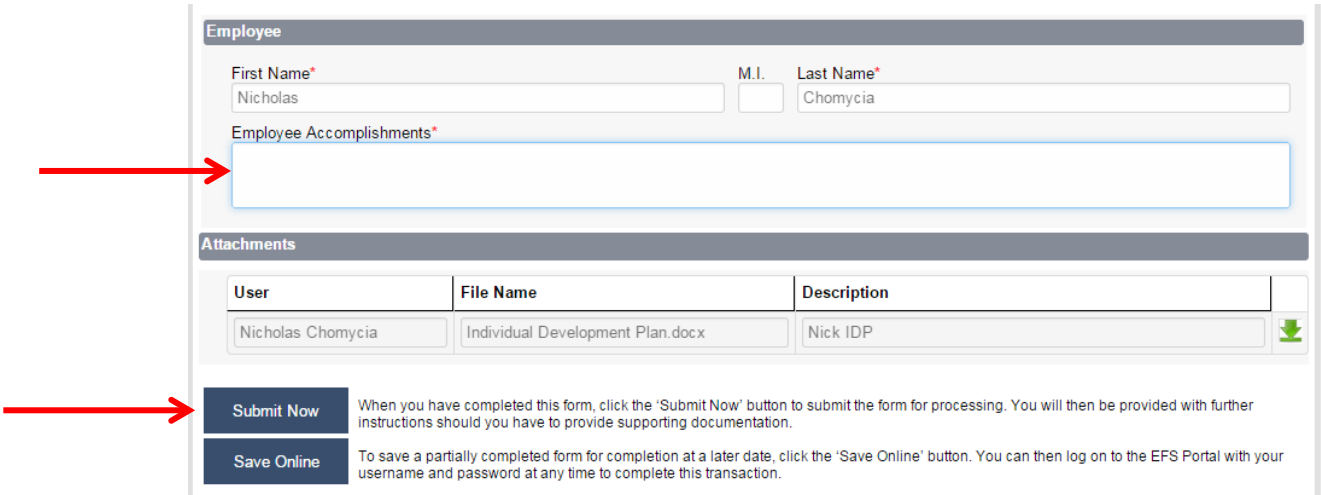
Critical Elements

Submit Now — When you have completed this form, click the 'Submit Now' button to submit the form for processing. You will then be provided with further instructions should you have to provide supporting documentation.

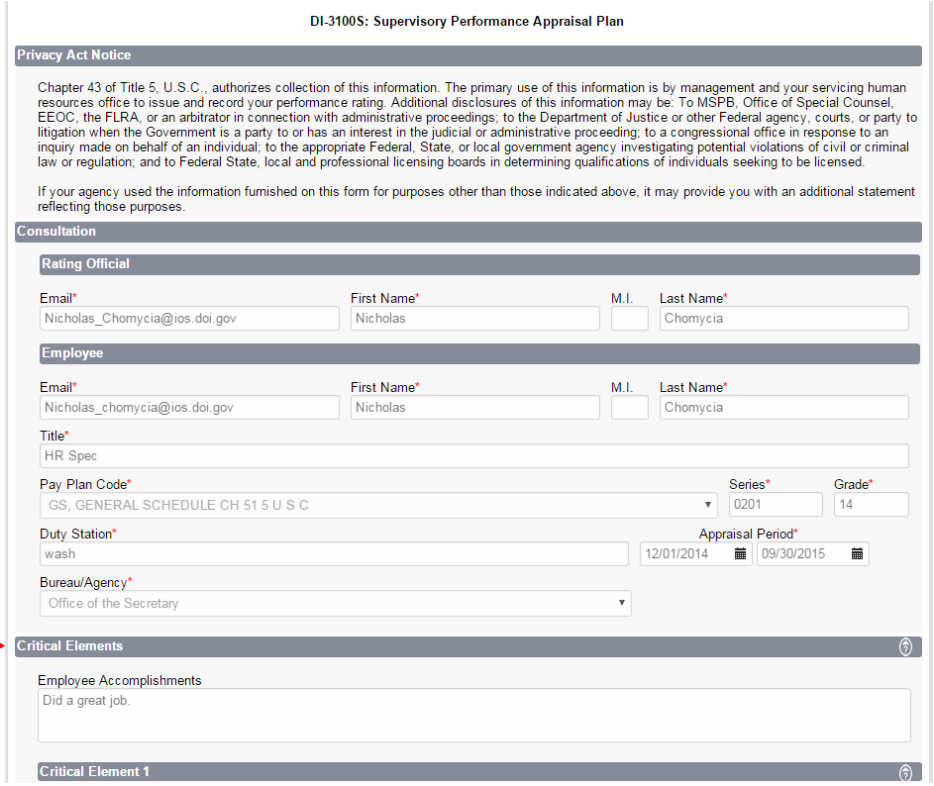
Save Online — To save a partially completed form for completion at a later date, click the 'Save Online' button. You can then log on to the EFS Portal with your username and password at any time to complete this transaction.

The employee will receive notification that he/she needs to provide input of **accomplishments** for an **Interim Review.** The employee should enter their comments on the form and click **Submit Now** to forward to the rating official.





The form is forwarded to the rating official for their input on each **Critical Element**. The rating official will indicate the **Critical Element Rating** and provide a Narrative summary for each Critical Element. The **Summary Rating Determination** will be automatically calculated and a summary rating will be entered in the **Summary Ratings Conversion Chart**. The Rating Official will be asked if performance award information is to be added. During an **Interim Rating**, there is no performance award recommended, therefore, "**No**" is the appropriate response.



DI-3100S: Supervisory Performance Appraisal Plan

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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.

Consultation

Rating Official

Email* Nicholas_Chomycia@ios.doi.gov | First Name* Nicholas | M.I. | Last Name* Chomycia

Employee

Email* Nicholas_chomycia@ios.doi.gov | First Name* Nicholas | M.I. | Last Name* Chomycia

Title* HR Spec

Pay Plan Code* GS, GENERAL SCHEDULE CH 51 5 U S C | Series* 0201 | Grade* 14

Duty Station* wash | Appraisal Period* 12/01/2014 09/30/2015

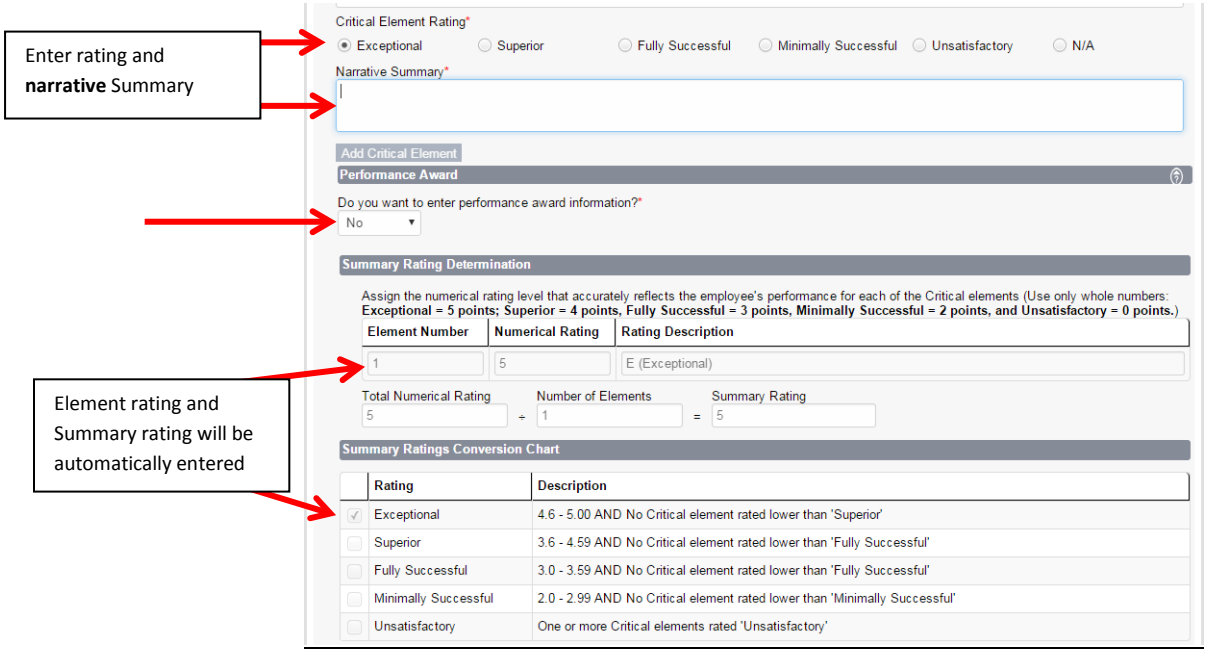
Bureau/Agency* Office of the Secretary

Critical Elements

Employee Accomplishments

Did a great job.

Critical Element 1



Critical Element Rating*

Exceptional | Superior | Fully Successful | Minimally Successful | Unsatisfactory | N/A

Narrative Summary*

Add Critical Element

Performance Award

Do you want to enter performance award information?* No

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.)**

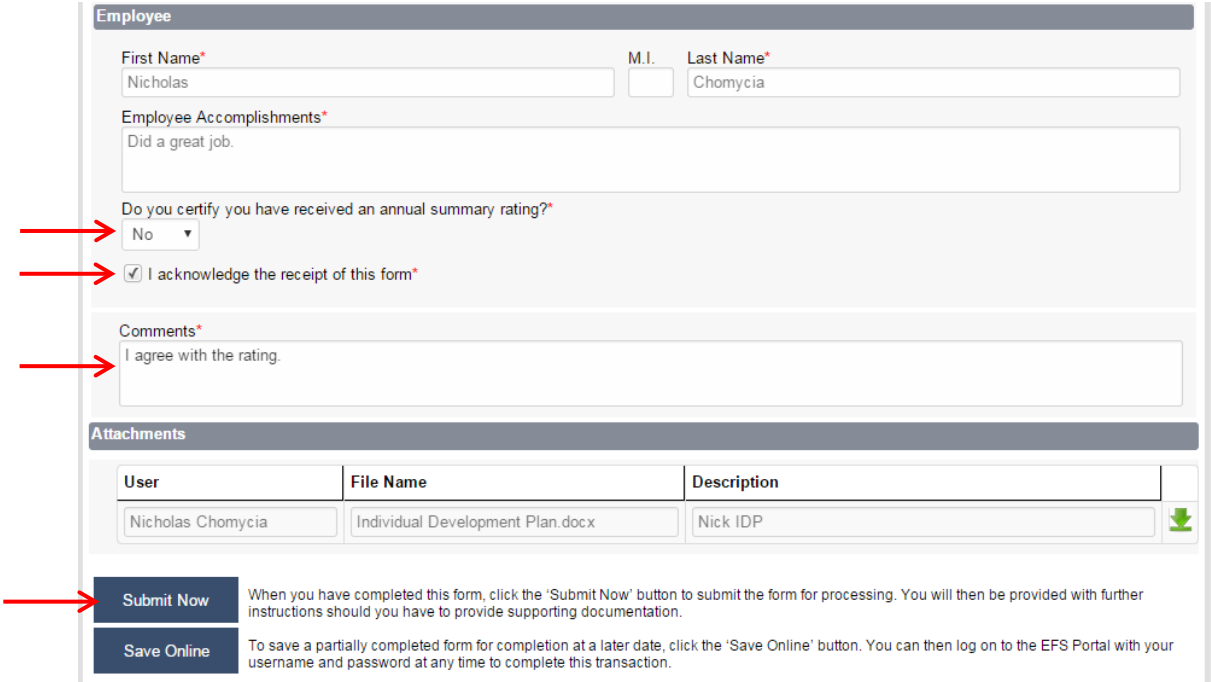
Element Number	Numerical Rating	Rating Description
1	5	E (Exceptional)

Total Numerical Rating 5 ÷ Number of Elements 1 = Summary Rating 5

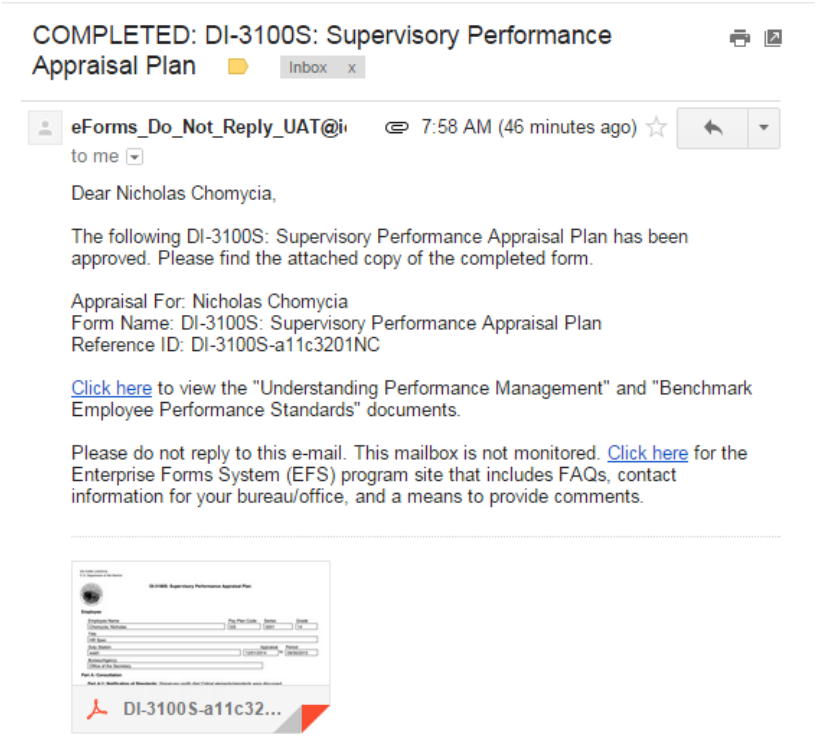
Summary Ratings Conversion Chart

	Rating	Description
✓	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'

The Performance plan is forwarded to the employee for their review and concurrence after the rating official has reviewed (and Reviewing Official if appropriate). The employee must **certify receipt of the rating and form**, **enter any comments** and **Submit the Form** for processing.

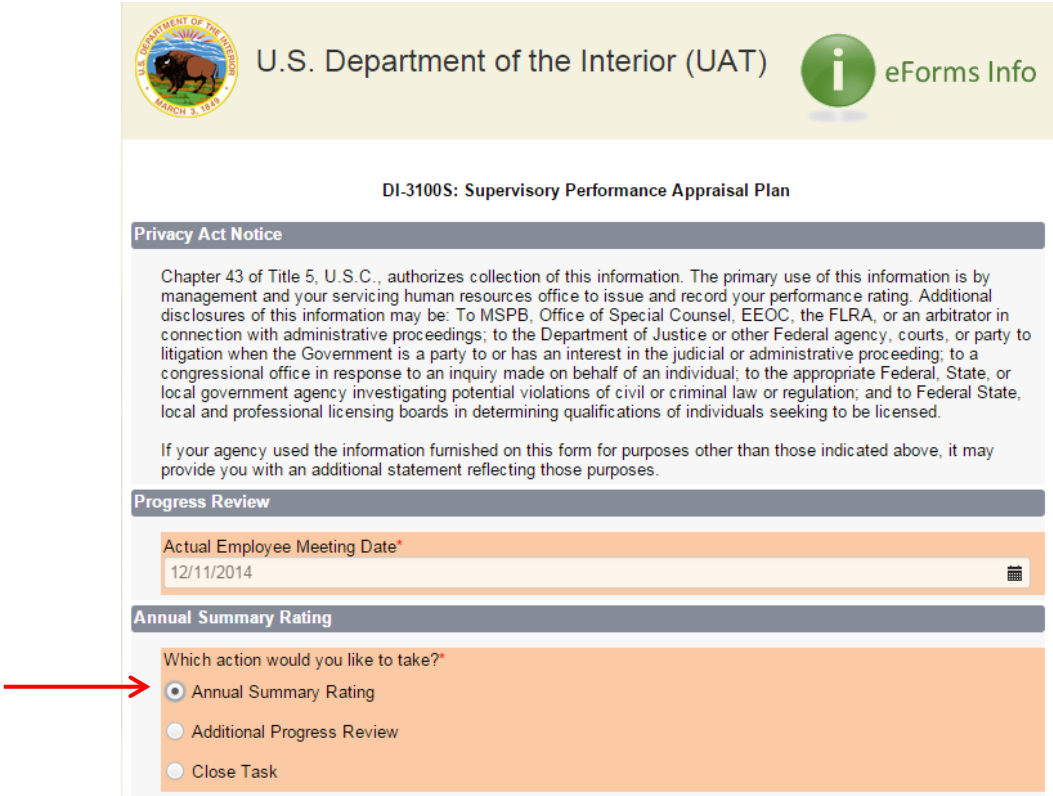


This completes the Interim Review or the Interim Rating Process. The rating official and employee will receive an email confirmation that this portion of the process has been completed and will include a copy of updated information completed by all parties that were involved thus far. The form remains in the EFS queue until the next phase of the cycle.

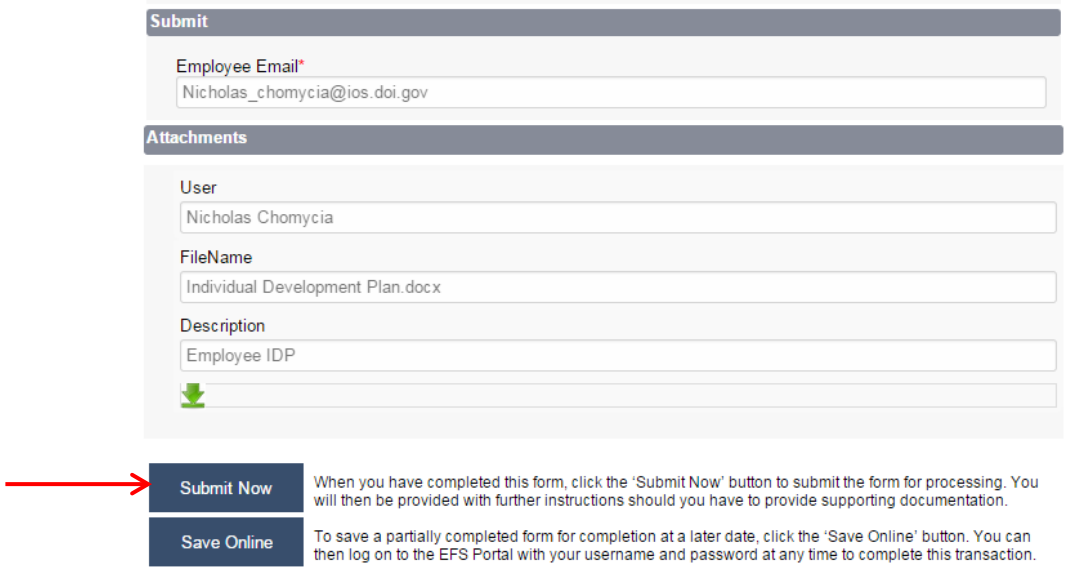


Annual Rating Summary

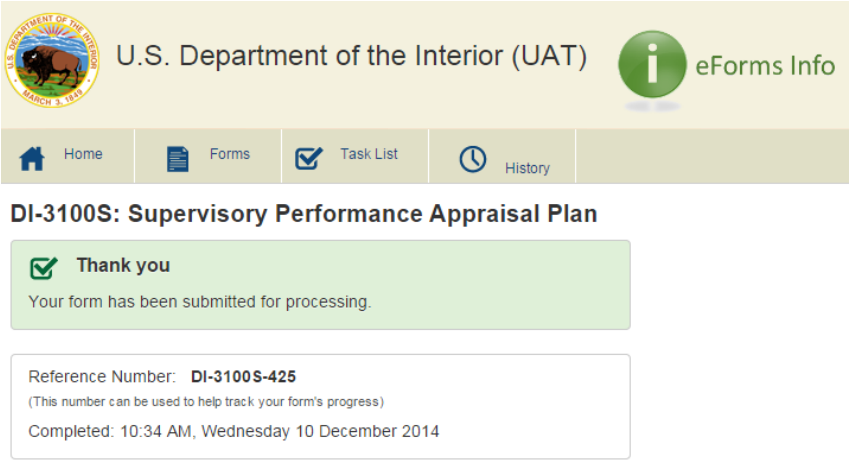
When the Annual Rating is due, the Rating Official is notified by email. The Rating Official will open the EFS Portal and proceed to complete the Annual Rating. The Performance Plan will appear. At the Annual Summary Rating section, click on Annual Summary Rating. This will take you to the Performance Management (Non-SES) Toolbox for review of information. Closing the Toolbox brings you back to this form.



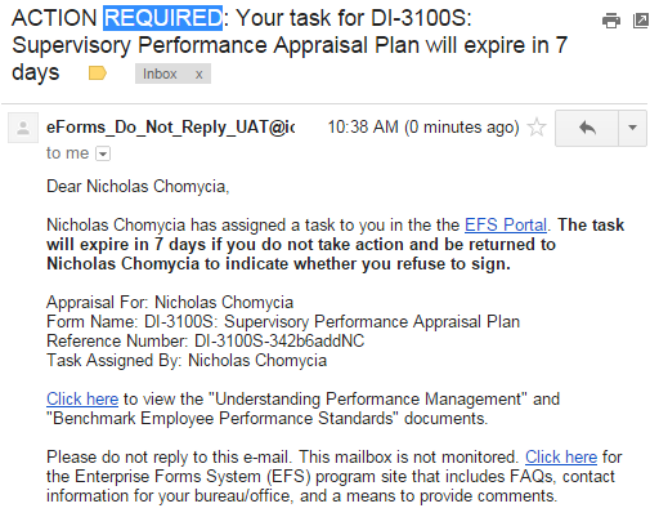
Review the Performance Plan form as necessary and click on Submit Now. The form will be forwarded to the employee for input.



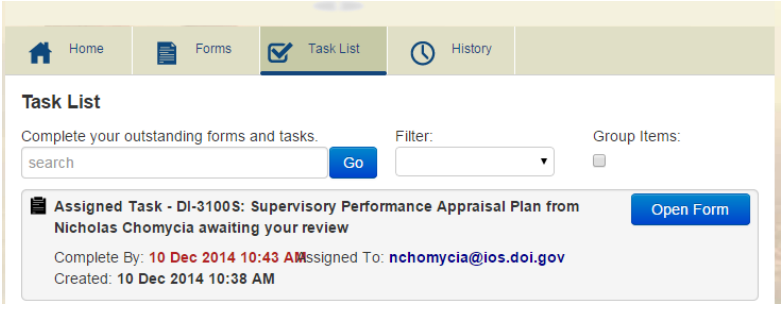
The Rating Official will receive a receipt advising that the form has been submitted for processing.



The employee will receive an email advising that they need to open the form and provide input for the final rating.

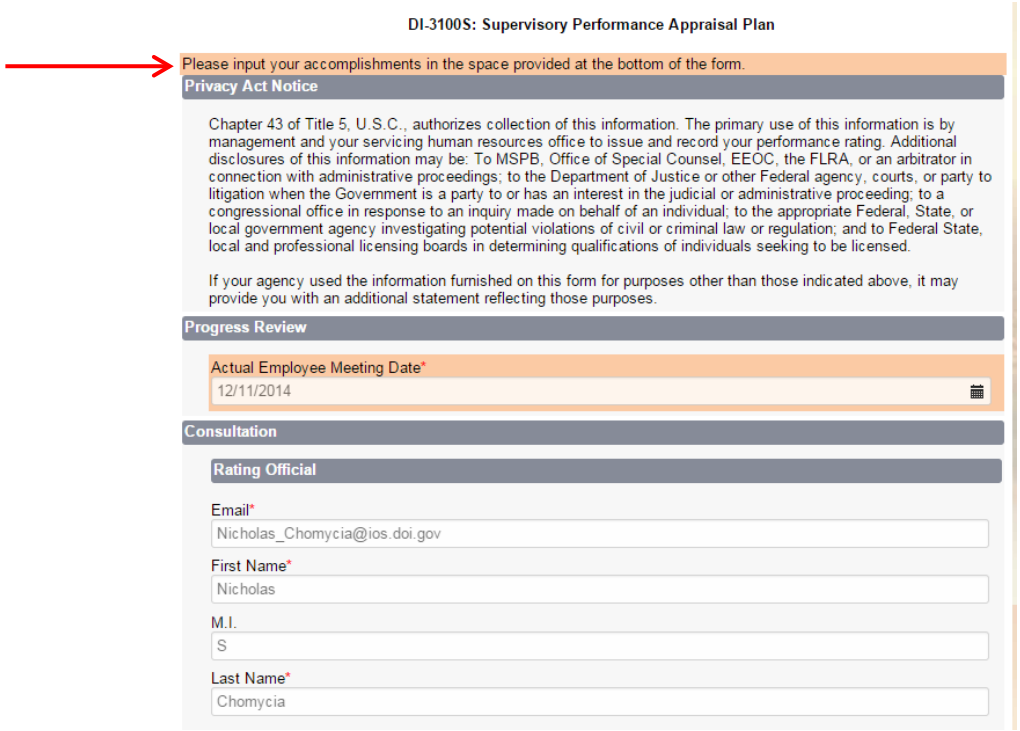


Task List

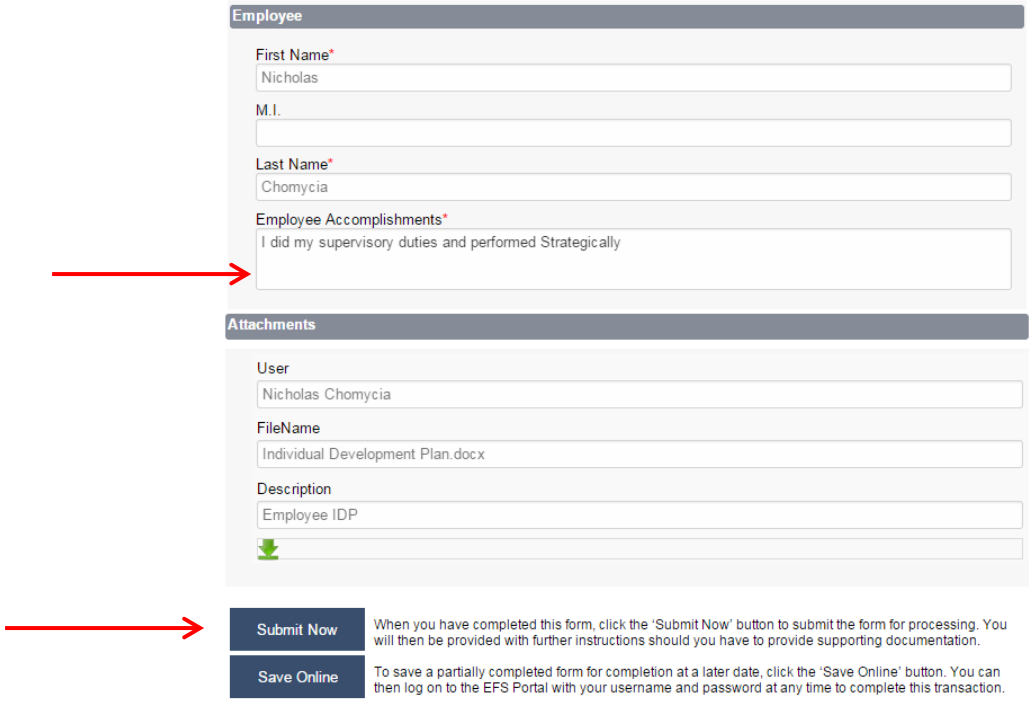


Accomplishments Request – Initial Page

The employee will see the screen shot below asking that he/she provides input regarding their accomplishments.

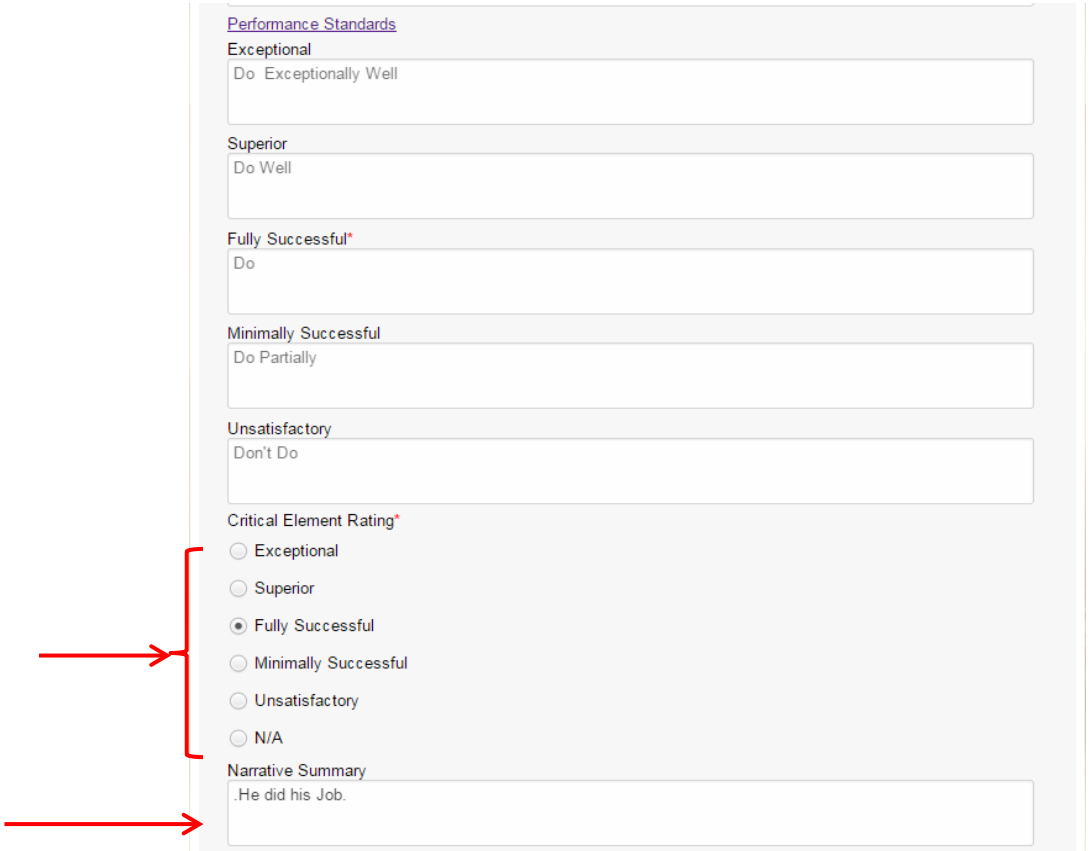


Employee Accomplishment - The employee enters the accomplishment information they want the rating official to consider when preparing the Rating of Record. Once completed, the employee must **Submit Now** to forward the information to the Rating Official.

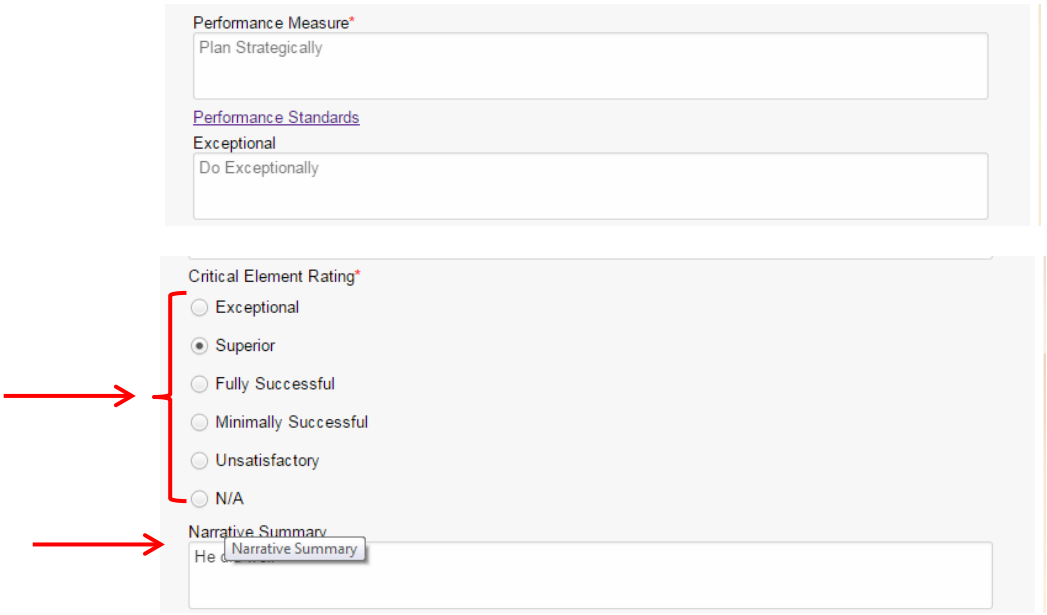


The **Rating Official** will receive an email notifying him/her that the employee has completed their input and the form is ready for completion. The rating official must open the form in the task list, scroll down to the Performance Standards, input the **Critical Element Rating**, and complete the **Narrative Summary** for each Standard.

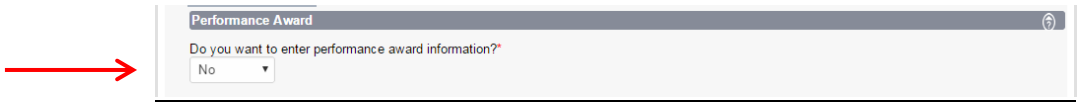
Narrative Summary #1



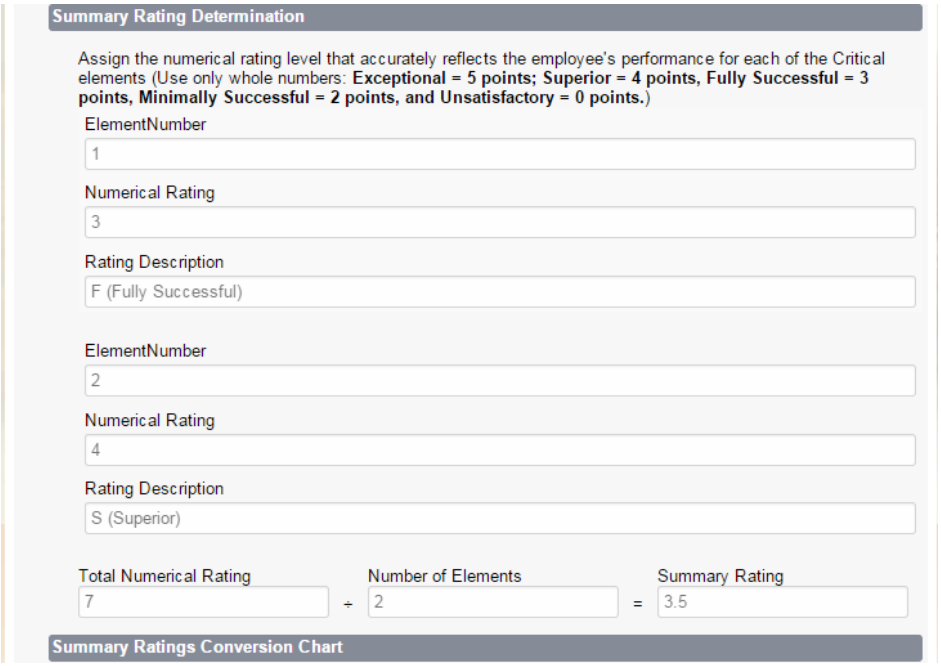
Narrative Summary #2



After the Narrative Summary, there is a query for the rating official to indicate whether an award is to be given (Yes or No). An award can only be given for Level 4 or 5 overall ratings of record. Follow any additional questions on the form regarding awards.

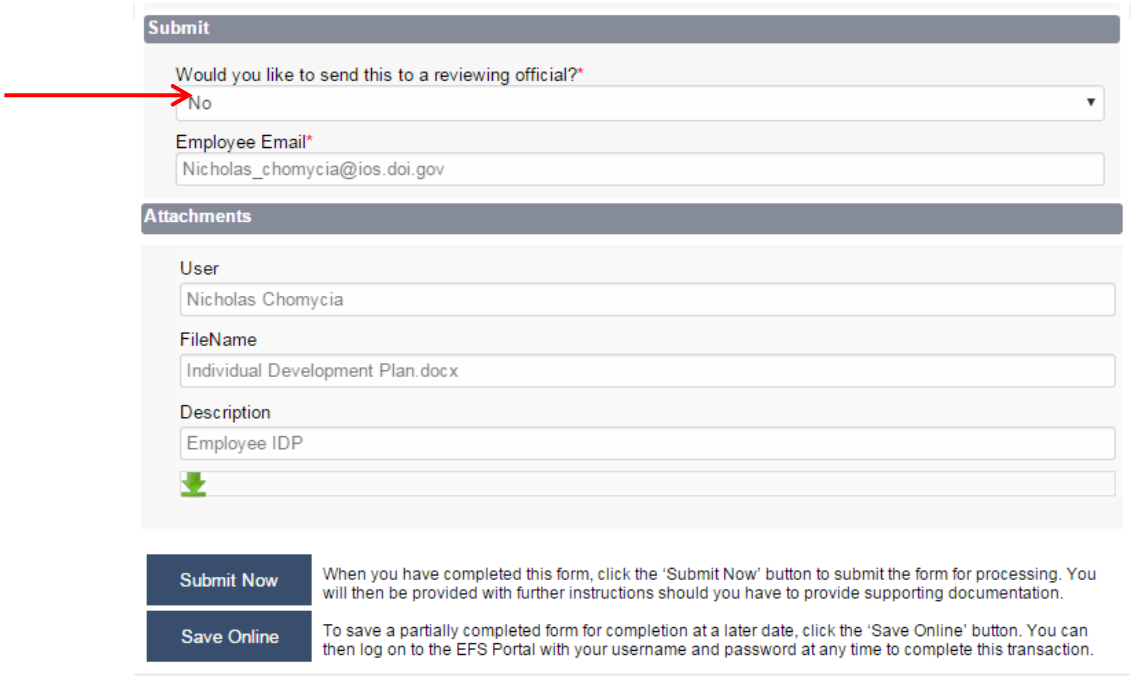


Summary Rating Determination - The Summary Rating Determination is automatically calculated and a summary rating is entered in the **Summary Ratings Conversion Chart**. Also, the Rating Official is asked if performance award information is to be added.

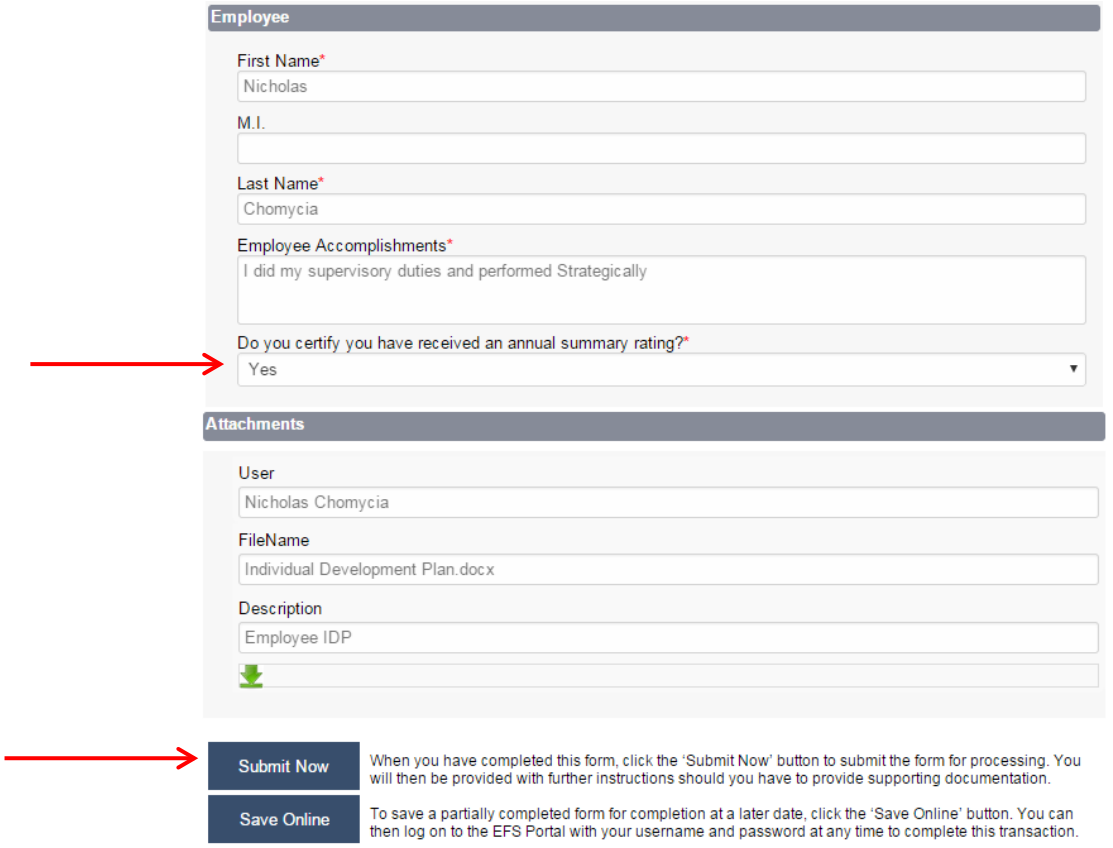


Rating	Description
Exceptional	4.6 - 5.00 AND No Critical element rated lower than 'Superior'
Superior	3.6 - 4.59 AND No Critical element rated lower than 'Fully Successful'
Fully Successful	3.0 - 3.59 AND No Critical element rated lower than 'Fully Successful'
Minimally Successful	2.0 - 2.99 AND No Critical element rated lower than 'Minimally Successful'
Unsatisfactory	One or more Critical elements rated 'Unsatisfactory'

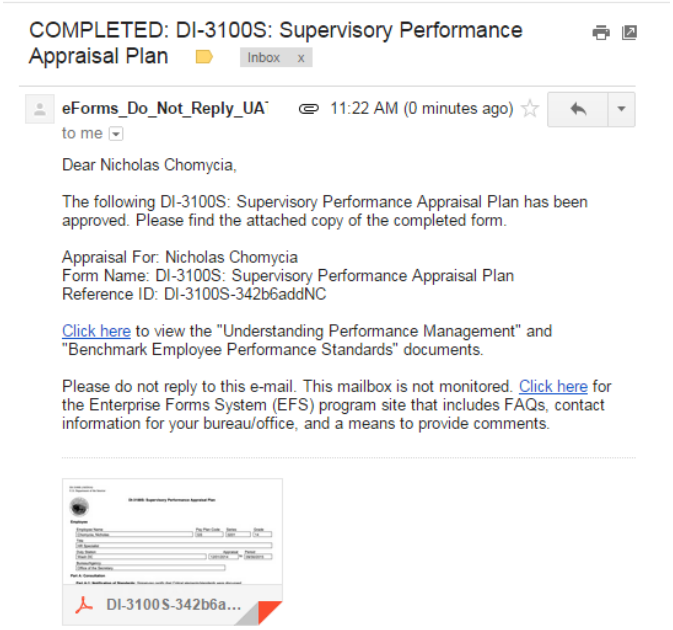
Rating of Record Reviews - Once a final rating (like an interim rating) is completed, the supervisor should take the opportunity to meet and discuss the rating with the employee. The form will always ask if you want to send the Plan to a reviewing official. It is a **requirement that ratings of Level 5, 2 and 1** are routed through a reviewing official. Otherwise, follow the culture of your Bureau/Office for all other levels. If you select **Yes,** the form is sent to the reviewing official for review prior to being routed to the employee. If you select **No,** the rating is sent to the employee for review and concurrence.



Final Rating – The employee receives an email that the final rating has been forwarded for their acknowledgment. The employee has 7 calendar days to review the rating. Once the review is complete, the employee must **certify receipt of** an annual summary rating and submit the form for final processing.



Both the Rating Official and the employee will receive a Notice of Rating email with a copy of the rating attached for their record. The rating will be stored in the **History** of the eForms system.



If the employee does not agree with the overall rating of record, they have a right to request a reconsideration of the rating. Employees should seek assistance from their Servicing Human Resources Office for procedures regarding the Reconsideration Process. If after any reconsideration process there is an adjustment to the overall rating of record, the servicing Human Resources Office will arrange for necessary adjustments to the rating of record.