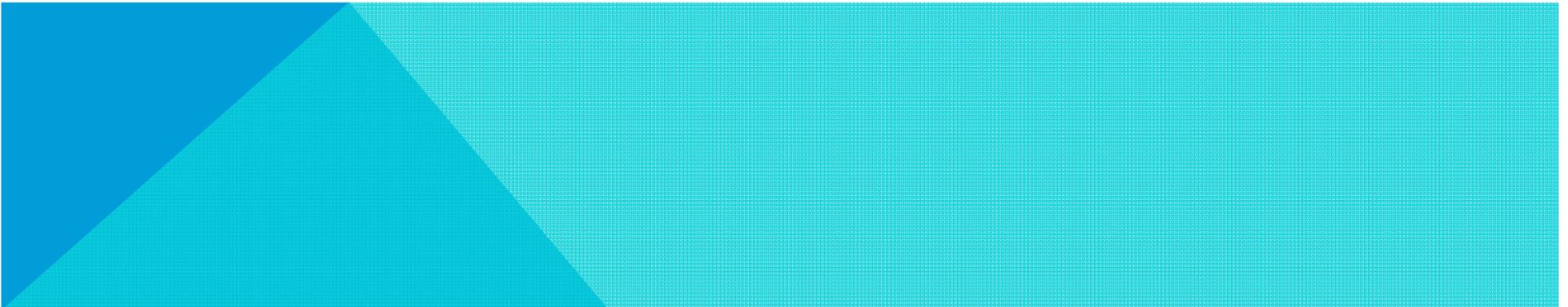
The cover features a white diagonal band across the center. To the left of this band is a solid blue triangle. To the right is a large teal area with a fine grid pattern. The text is positioned on the white band, slanted to follow its angle.

**2012 PERFORMANCE
APPRAISALS AND AWARDS**
USGS EMPLOYEE RELATIONS TEAM

AGENDA

- Reminders about Sharepoint Webforms
- Completing the appraisal – rating official and admin responsibilities
- Awards

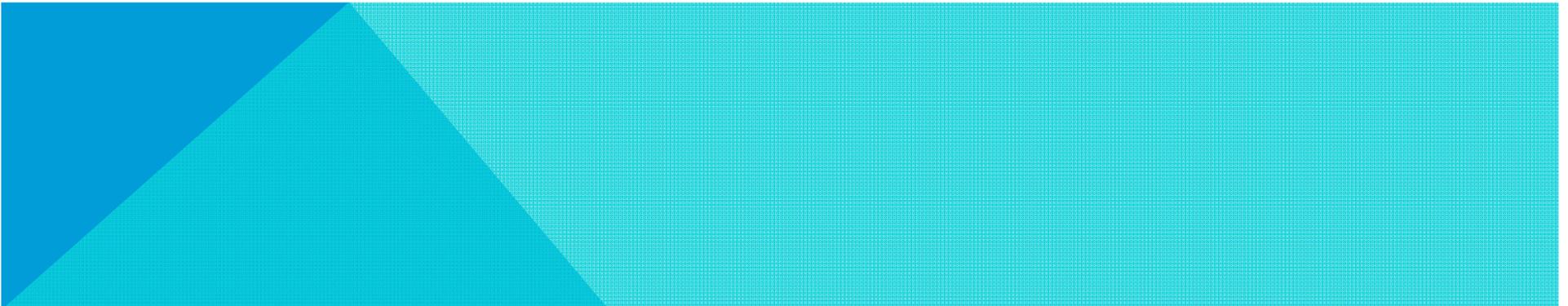


NEW THIS YEAR

No hard copies required for those appraisals with electronic signatures. Only hard copies of appraisals required will be for employees without access to Sharepoint/Webforms.

Sharepoint/Webforms system calculates the overall summary rating based on ratings entered in Part C.

Sharepoint/Webforms ensures Reviewing Official signatures are obtained for Exceptional, Minimally Successful or Unsatisfactory ratings.



DEADLINES

Wednesday, September 26

Deadline to submit all STAR awards (DI-451s and corresponding FPPS actions). These will be made effective September 28th. Funds must be accrued for these awards if you wish to pay using FY12 funds.

Tuesday, October 30

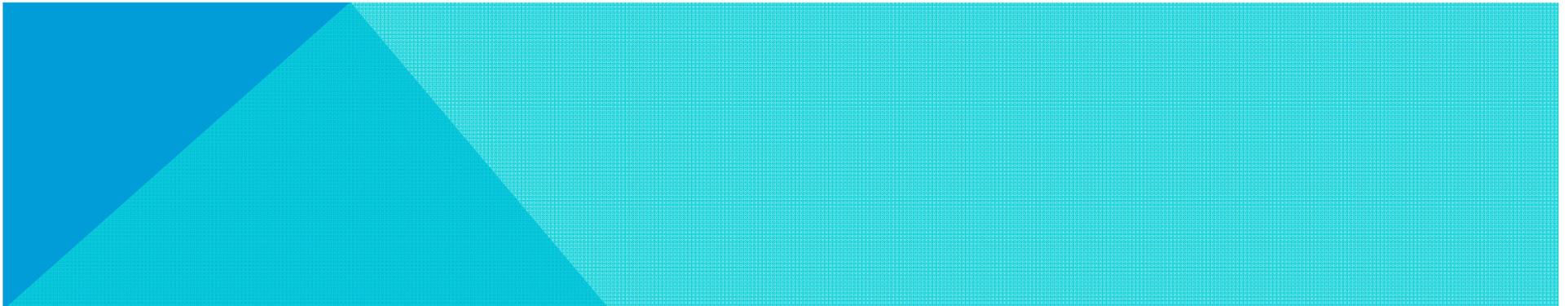
Deadline to close out FY 2012 performance appraisals.

Wednesday, November 7

Deadline to submit any *required* hard copy performance appraisals.

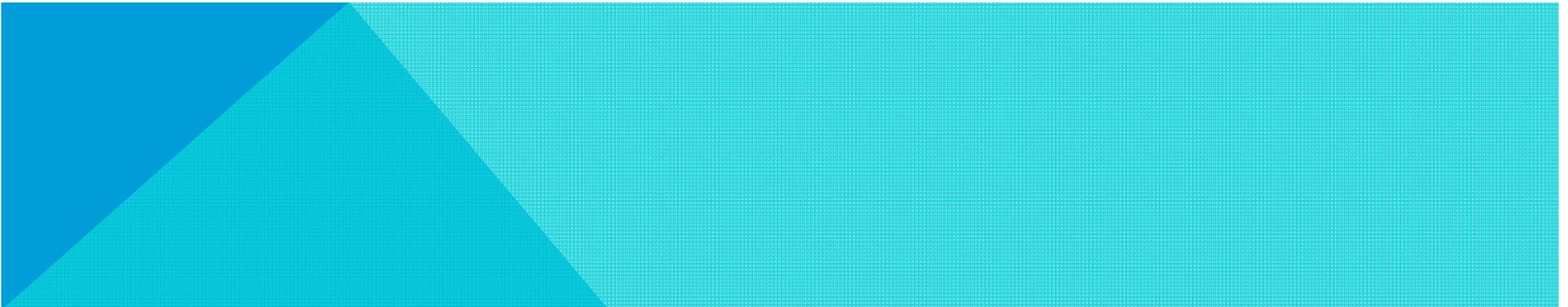
Friday, November 30

Deadline to establish and sign 2013 performance plans



FINDING THE FORM

- 1 - At the Sharepoint Webforms site (webforms.usgs.gov), click on "View Forms" for the DI-3100 or DI-3100S form library
- 2 - A window should appear showing "My Documents (ones I created)" which is the default view. Only the EPAPs you created will be listed.
- 3 - To change the view, click on the downward arrow, and a drop down list of more views should appear.



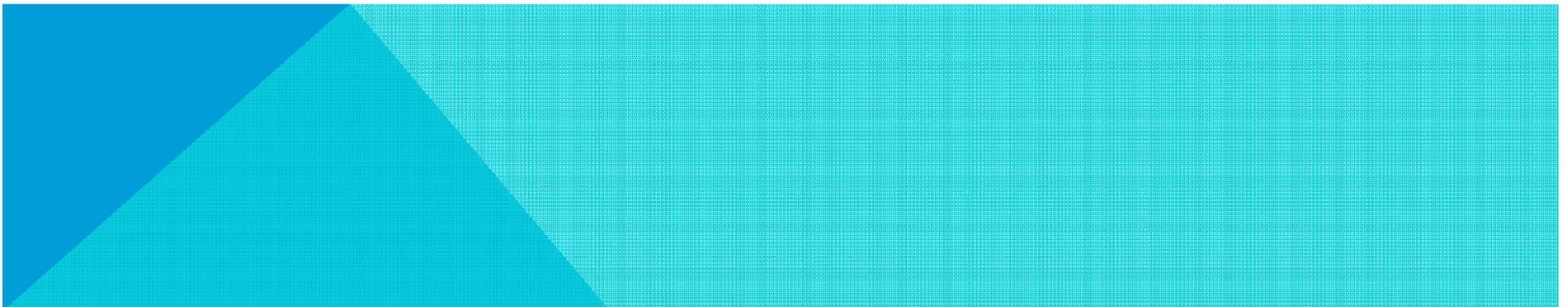
PERFORMANCE APPRAISALS

Rating Official responsibility

- Rating Official will enter ratings in Part C . You won't be able to see the ratings until AFTER the reviewing official, if needed, and rating official sign in Part D.

Critical Element	Numerical Rating	
1	<input type="text"/> <input type="button" value="v"/>	Only the Rating Official may enter the numerical ratings. If one of the critical elements is given a rating of 2 (and no rating of 0 is given), the numerical summary rating will be Minimally Successful, regardless of total points. If one of the critical elements is given a rating of 0, the numerical summary rating will be Unsatisfactory, regardless of total points.
2	<input type="text"/> <input type="button" value="v"/>	
3	<input type="text"/> <input type="button" value="v"/>	
4	<input type="text"/> <input type="button" value="v"/>	
5	<input type="text"/> <input type="button" value="v"/>	
TOTAL		

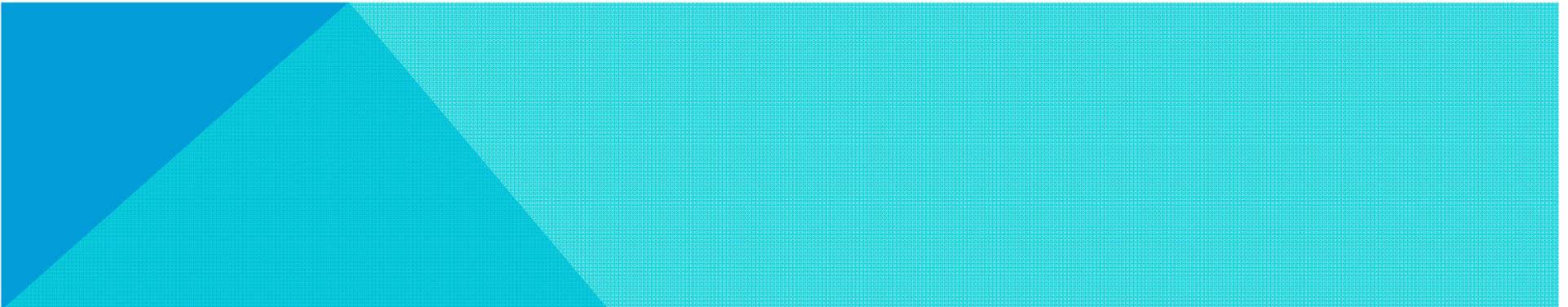
Total Numerical Rating
Divided by Number of Elements =



PERFORMANCE APPRAISALS

Rating Official responsibilities

- If an employee had no opportunity to perform the work of the critical element, do not rate the element
 - Do not enter a value for the element in Part C
 - In the narrative justification, indicate that employee had no opportunity to perform the work assigned under this critical element



PERFORMANCE APPRAISALS

System function

- The system marks the appropriate summary rating using the Conversion Chart in Part D

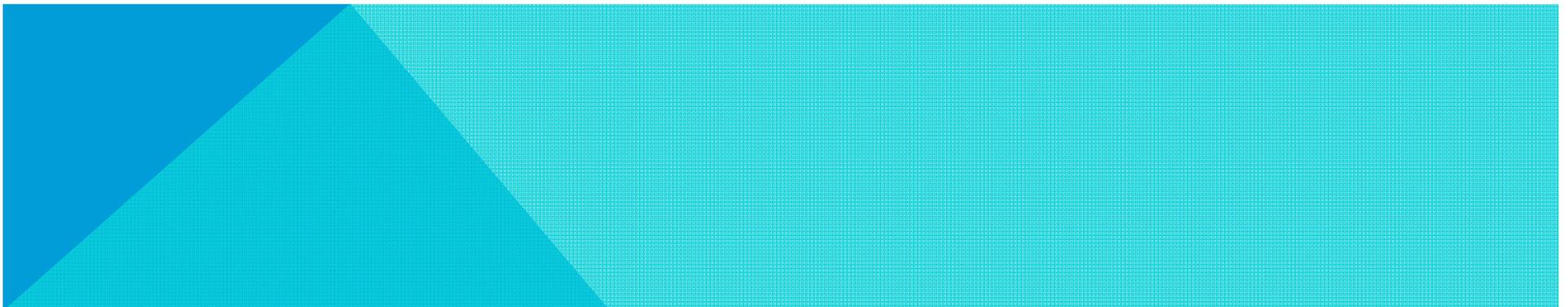
Part D: Summary Rating: (NOTE: The following field will be automatically selected for you.)

<input type="radio"/> Exceptional	4.6 - 5.00 AND	No critical element rated lower than "Superior".
<input checked="" type="radio"/> Superior	3.6 - 4.59 AND	No critical element rated lower than "Fully Successful".
<input type="radio"/> Fully Successful	3.0 - 3.59 AND	No critical element rated lower than "Fully Successful".
<input type="radio"/> Minimally Successful	2.0 - 2.99 AND	No critical element rated lower than "Minimally Successful".
<input type="radio"/> Unsatisfactory		One or more critical elements rated "Unsatisfactory".

NOTE: Signing Order in D is: (1) Reviewing Official (if needed), (2) Rating Official, and (3) Employee.

NOTE: Parts A-1 A-2 A-3 B and C must be filled in before part D may be filled in, (unless this is an Interim Rating).

NOTE: If a rating of Exceptional, Minimally Successful, or Unsatisfactory is given; the Reviewing Official's signature is required. If a Reviewing Official has not yet been selected **at the top of the form**, it will be necessary to select one (after the ratings are given) so that he/she may electronically sign in Part D.



PERFORMANCE APPRAISALS

Rating Official responsibilities

- If the summary rating is **Exceptional, Minimally Successful or Unsatisfactory**, select the Reviewing Official and email for his/her signature

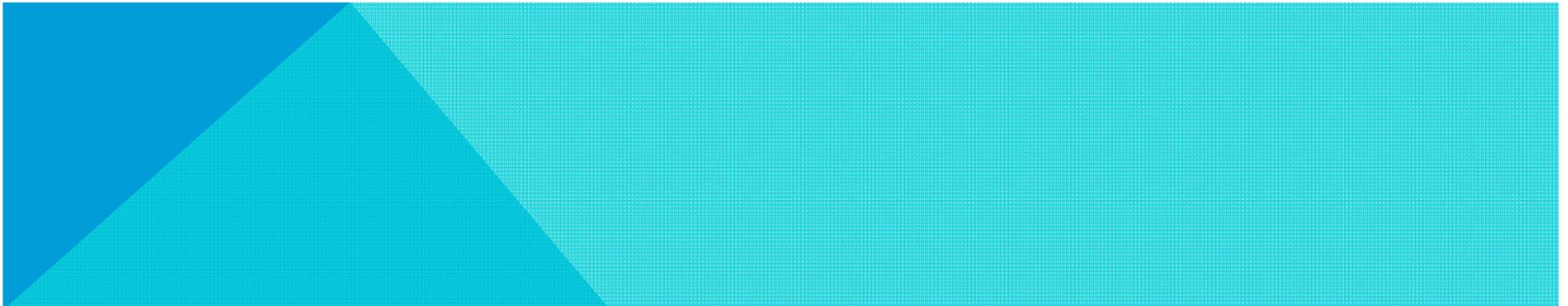
(Note: The Reviewing cannot be selected until after the ratings are provided).



Reviewing Official



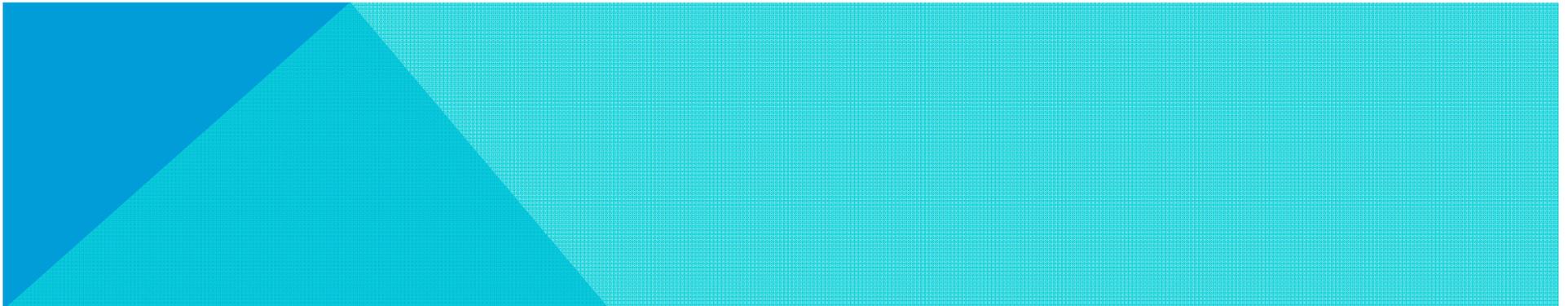
- Once the Reviewing Official has signed, the Rating Official may discuss with the employee, sign electronically in Part D and email to Employee for his/her signature



PERFORMANCE APPRAISALS

Rating Official responsibilities

- If the final summary rating is **Superior or Fully Successful**, Rating Official should discuss the appraisal with Employee and then sign in in Part D
- Then, email to Employee for his/her signature
- Performance appraisals should be closed out by **Tuesday, October 30**



PERFORMANCE APPRAISALS

Rating Official responsibilities

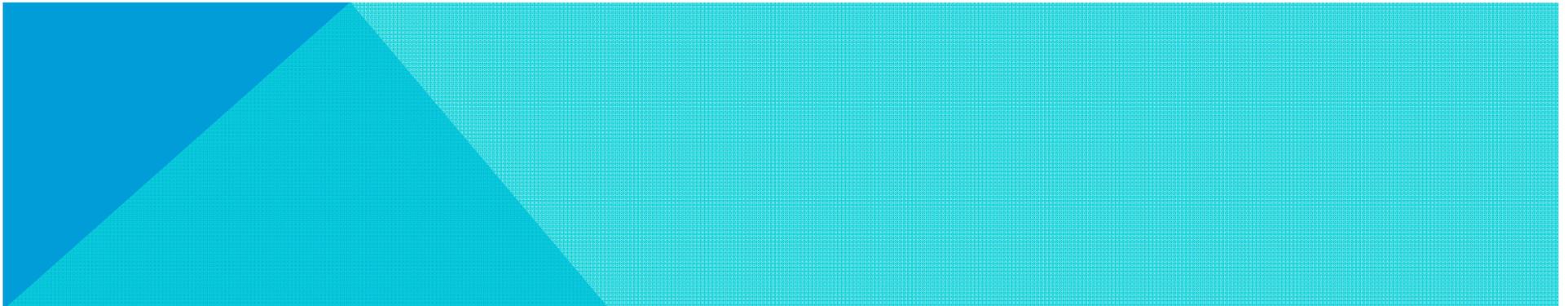
If an employee refuses to sign...

- Rating Official signs in Part D and then checks the “Employee refused to sign Part D” box

Employee: Signature _____ Date _____ <input checked="" type="checkbox"/> Employee refused to sign Part D	Rating Official: <i>Electronically signed by Herrera, Arcelia V. on 08/30/2012</i>
--	---

If an employee disagrees with the rating...

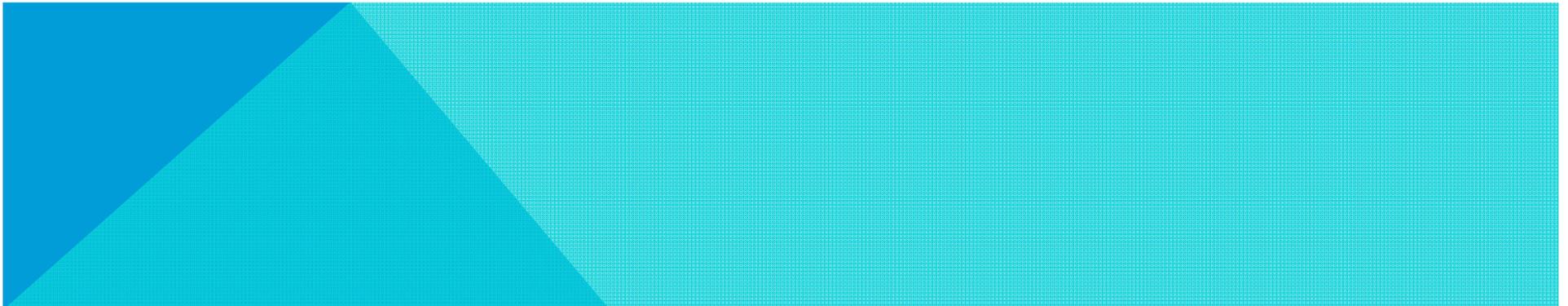
- Provide information on submitting supplemental comments or requesting reconsideration



PERFORMANCE APPRAISALS

Admin Staff responsibilities

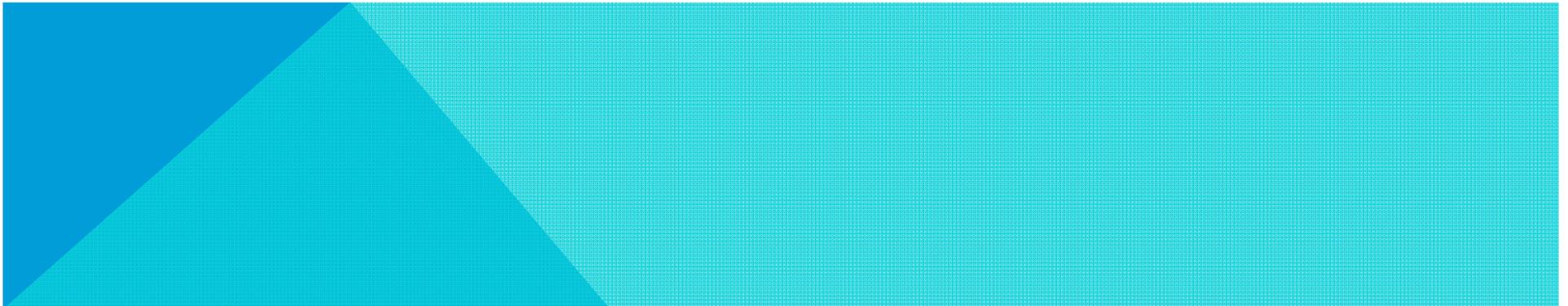
- Monitor for quality and completion
 - Are narrative justifications included and appropriately detailed?
If there are problems with the ratings or narrative justifications, only the Rating Official may fix them. If the form has already been signed, please contact Arcelia Herrera or Ximena Calero for assistance
- Print and submit hard copies of any appraisals not completed with electronic signatures.



APPRAISALS WILL BE RETURNED IF...

If an employee has not been under standards for 90 days from the date of the signatures in Part A, it does not meet regulatory requirements and cannot be considered a valid rating

If there is no, or insufficiently detailed, justification for an element rated Exceptional, Minimally Successful, or Unsatisfactory



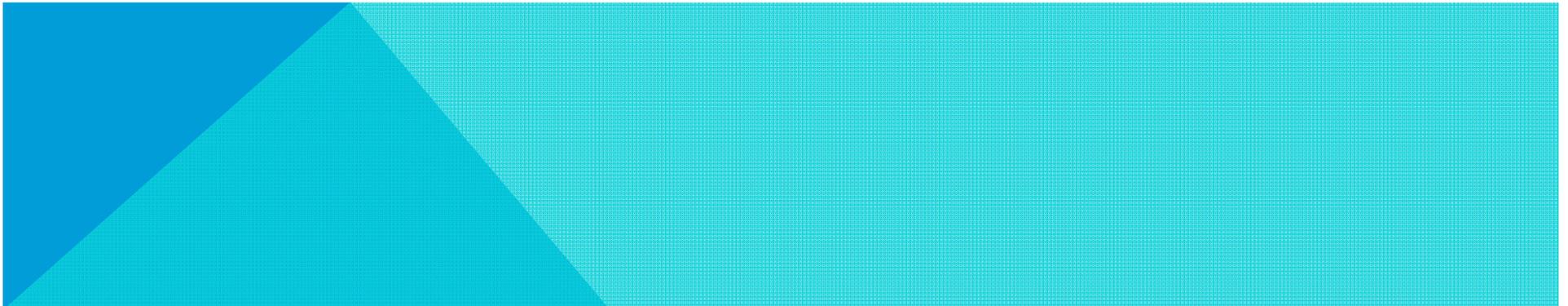
NON-RATING-BASED AWARDS

Wednesday, September 26

Deadline to submit all STAR awards (approved DI-451s and corresponding FPPS actions). These will be made effective September 28th. Funds must be accrued for these awards if you wish to pay using FY12 funds.

NOTE: All monetary awards processed with effective dates of September 28, 2012 or earlier will be counted against our FY 12 one percent award threshold.

At this time, we have not received guidance from the Office of Management and Budget concerning awards for FY 13. Please do not submit awards with effective dates beyond September 28, 2012. Any monetary awards received by Human Resources after September 28, 2012 will be returned to the originating office and you will be asked to hold them until guidance has been received.



NON-RATING-BASED AWARDS

STAR Award for specific accomplishment

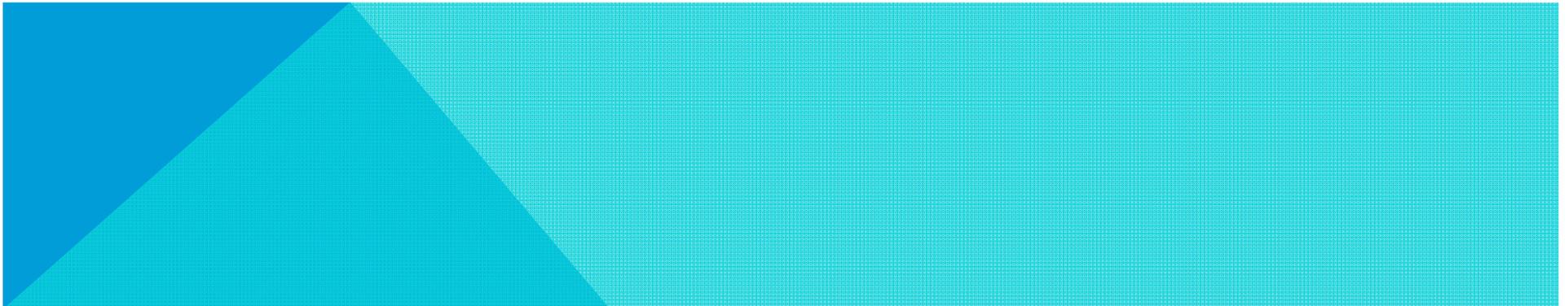
- Individual award – FPPS code 849
- Group award – FPPS code 841

Time Off Award for specific accomplishment

- Individual award – FPPS code 846
- Group award – FPPS code 847

STAR and Time Off Awards share same guidelines for justifications, required signatures, initiating FPPS actions

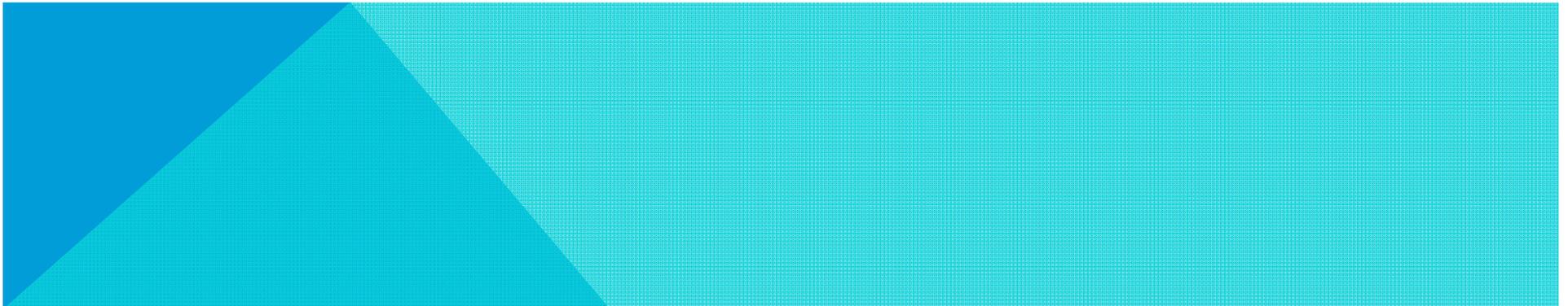
DI-451s must be completed/submitted electronically. DI-451s should be sent to Michelle Cohen for offices serviced by the Pacific HR Office and to Cedric Simon for offices serviced by the Atlantic HR Office.



NON-RATING-BASED AWARDS

Justifications

- Limited to one-time occurrence or exceptional accomplishments over period of few months
- Accomplishments within, or outside of, the scope of an employee's normal duties:
 - “Produce exceptionally high quality work under tight deadlines”
 - “Perform added or emergency assignments in addition to his/her regular duties”
 - “Exercise extraordinary initiative or creativity in addressing a critical need or difficult problem”
- Ensure amounts are consistent with value guidelines



NON-RATING-BASED GROUP AWARDS

Group awards: Multiple employees being awarded for their

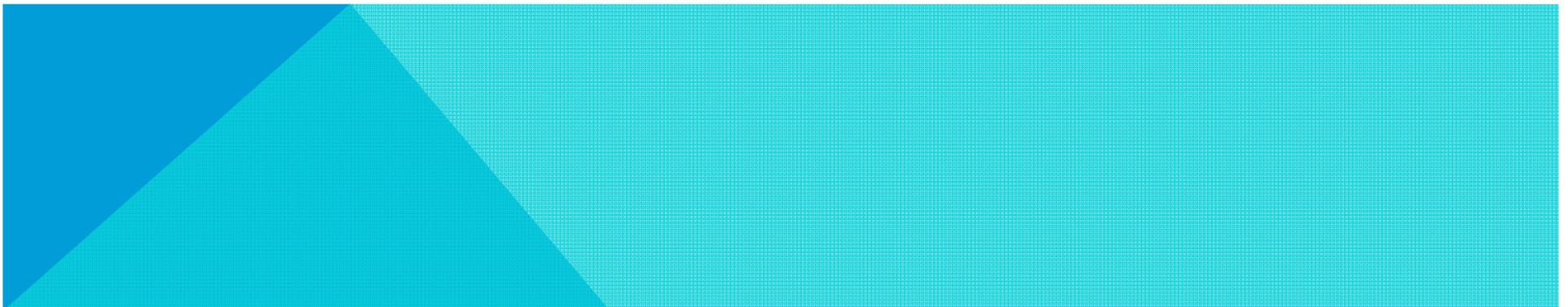
- (1) individual participation in a group event, e.g., testing a new system, **or**
- (2) collective effort to achieve a common goal, e.g., multiple authors on a paper or playing different roles to successfully host a meeting

Must complete DI-451 for each recipient

- Group STAR Award
- Group Time Off Award

Star (Special Thanks for Achievement) Award \$ Group Award

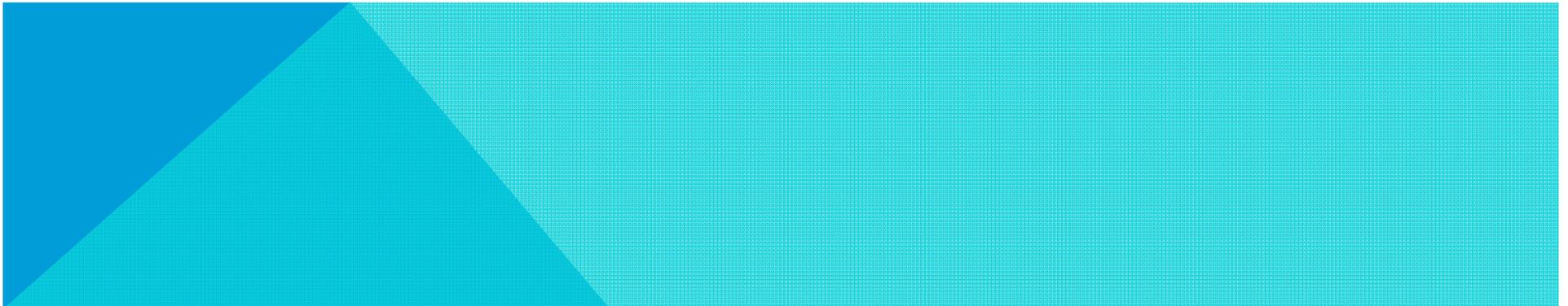
Time Off Recognition Performance Based Non-Performance Based Number of Hours:
Number of Hours: _____



NON-RATING-BASED GROUP AWARDS

In addition to previously-cited individual award justification requirements,

- Clearly state in the narrative justification that this is a **Group Award**
- Include a list of all employees who will receive the award
- Describe the accomplishments of the group, **and**
- If recipients will receive **different** award amounts (either money or hours off), describe the recipient's specific contribution to the group achievement



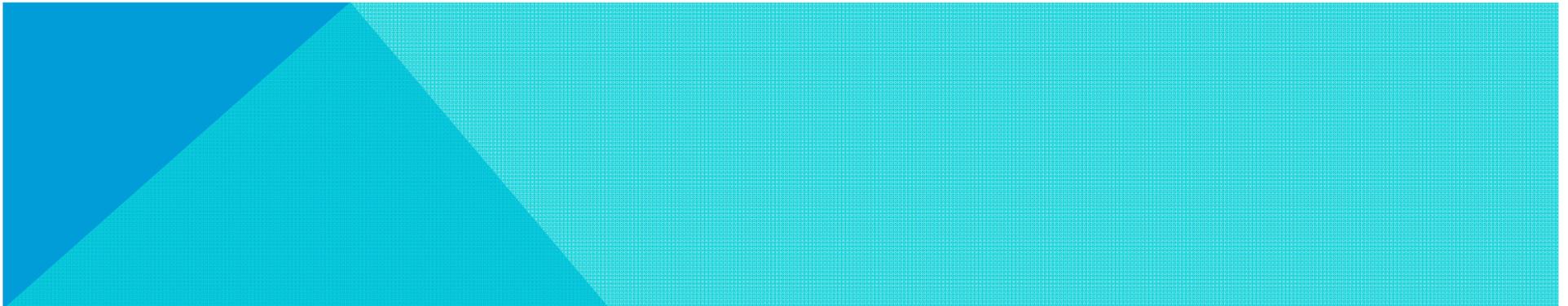
NON-RATING-BASED AWARD LIMITS

Approval authority for individual STAR awards with a gross value up to \$5K is delegated to Executive Leadership Team (ELT) members.

Combined group award amounts over \$5K require at least the Director's signature, perhaps even higher-level approval

Time Off Awards are limited to 40 hours/award and 80 hours/year

Cannot give 2 STAR or Time Off awards with the same justification, even if given by different supervisors/centers



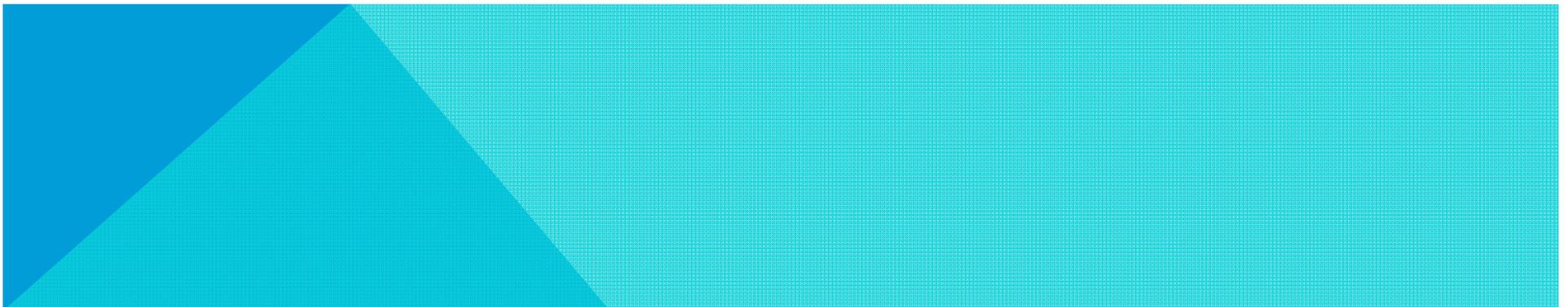
NON-RATING-BASED AWARDS

Approving Official signature on the DI-451 is the most important signature for expenditure of funds

- Approving Official must be an ELT member for the office or center funding the award
- If an employee is being nominated for an award in another office or center, the funding ELT member signs as the Approving Official and the recipient's ELT member signs as the Reviewing Official

Admin Staff responsibilities

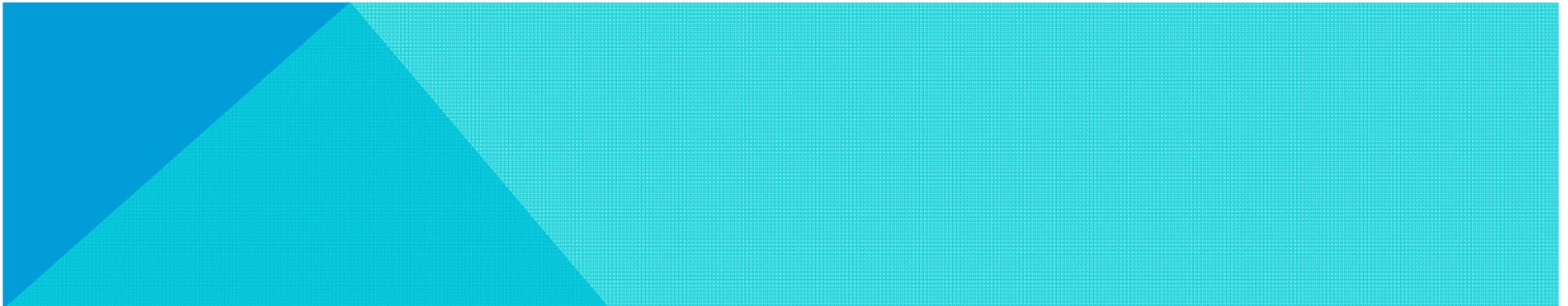
- Initiate FPPS Action (if your office has access to FPPS) & forward to **Michelle Cohen or Cedric Simon**
- Note FPPS Action number on DI-451 & forward DI-451 to **Michelle Cohen or Cedric Simon** directly (select as next reviewer and click on SUBMIT)



NON-RATING-BASED AWARDS

When the **SUPERVISOR** recommends the award

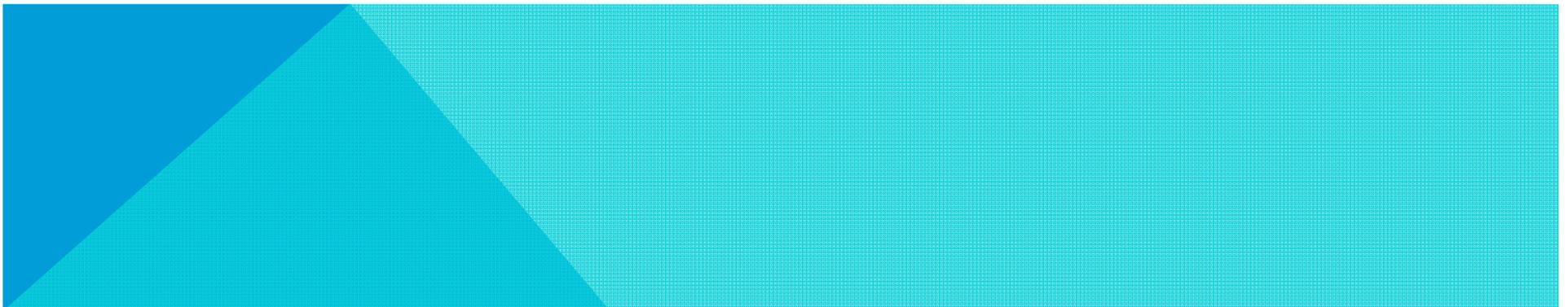
- FIRST SIGNATURE: **Recommending Official** (Person nominating the award)
- SECOND SIGNATURE: **Reviewing Official** (Center Director)
- THIRD SIGNATURE: **Approving Official** (Must be ELT member in the cost center/office chain of command)
- Approving Official forwards to **Admin Staff** for review and to initiate FPPS Action
- Admin Staff submits FPPS Action and DI-451 to **Michelle Cohen or Cedric Simon** for processing



NON-RATING-BASED AWARDS

When **SOMEONE OTHER THAN THE SUPERVISOR** (but in same cost center/office) recommends the award

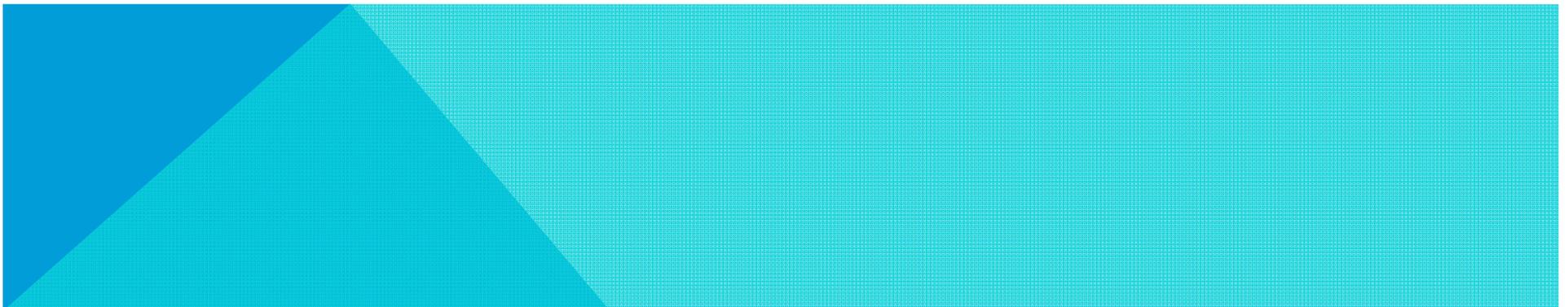
- FIRST SIGNATURE: **Recommending Official** (Someone other than the supervisor)
- SECOND SIGNATURE: **Supervisor Concurrence** (First or second line supervisor, usually)
- THIRD SIGNATURE: **Reviewing Official** (Center Director)
- FOURTH SIGNATURE: **Approving Official** (ELT member in cost center/office chain of command)
- Approving Official forwards to **Admin Staff** for review and to initiate FPPS Action
- Admin Staff submits FPPS Action and DI-451 to **Michelle Cohen** or **Cedric Simon** for processing



NON-RATING-BASED AWARDS

When **SOMEONE OTHER THAN THE SUPERVISOR** (in another cost center/office) recommends the award:

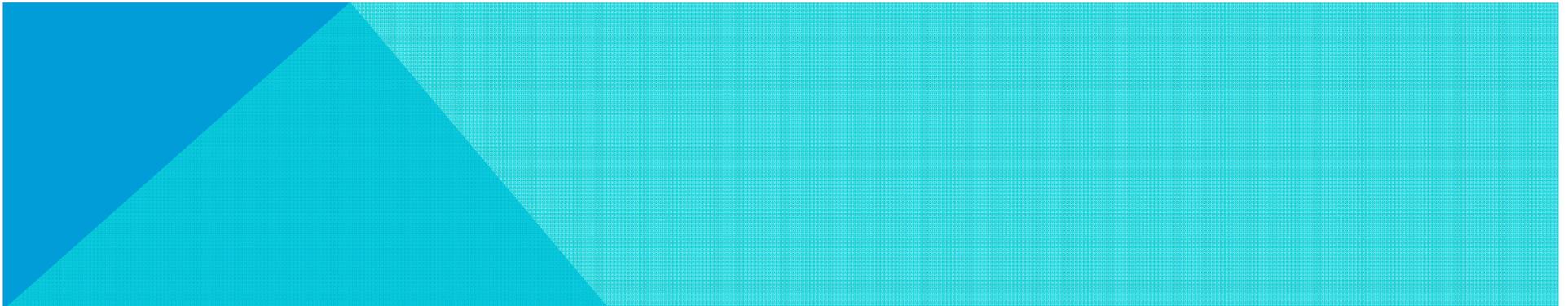
- FIRST SIGNATURE: **Recommending Official** (Someone other than the supervisor)
- SECOND SIGNATURE: **Supervisor Concurrence** (First or second line supervisor, usually)
- THIRD SIGNATURE: **Reviewing Official** (ELT member in the award recipient's cost center/office chain of command)
- FOURTH SIGNATURE: **Approving Official** (ELT member in the Recommending Official's cost center/office chain of command)
- Approving Official forwards to his/her local **Admin Staff** for cost code and budget documentation
- Recommending Official's Admin staff forwards to the Award Recipient's Admin Staff for FPPS Action
- Award Recipient's Admin Staff submits FPPS Action and DI-451 to **Michelle Cohen** or **Cedric Simon** for processing



NON-RATING-BASED AWARDS

Admin Staff responsibilities

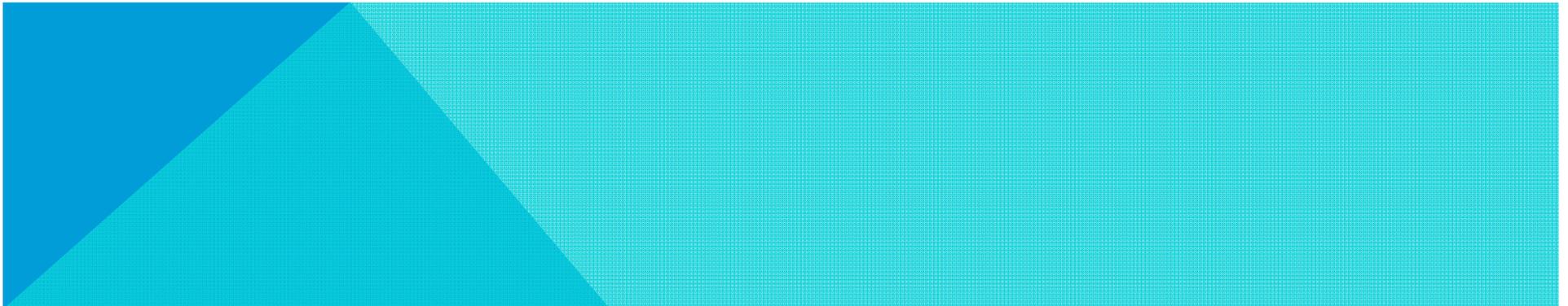
- Quality Check
 - Do justifications meet the justification and value guidelines?
 - Are Group Awards clearly marked, include a list of all recipients and meet additional justification guidelines?
 - Does the justification for an individual award sound like it may reflect a Group Award?
 - Are Time Off Awards no more than 40 hours?
 - Have appropriate signatures been obtained on the DI-451?



NON-RATING-BASED AWARDS

Issues with DI-451s

- Timeliness
 - If a DI-451 is not processed to completion within 60 days of being created, it is automatically moved to the historical side of WebForms and cannot be further processed
 - If this happens, the form will need to be re-initiated
- Changes
 - Once the form is saved the first time, the fields are locked and cannot be changed
 - Exceptions: Cost Code, FPPS action number and narrative can be amended by Michelle Cohen or Cedric Simon
 - If other fields must be changed, the form will need to be re-initiated



QUESTIONS?

