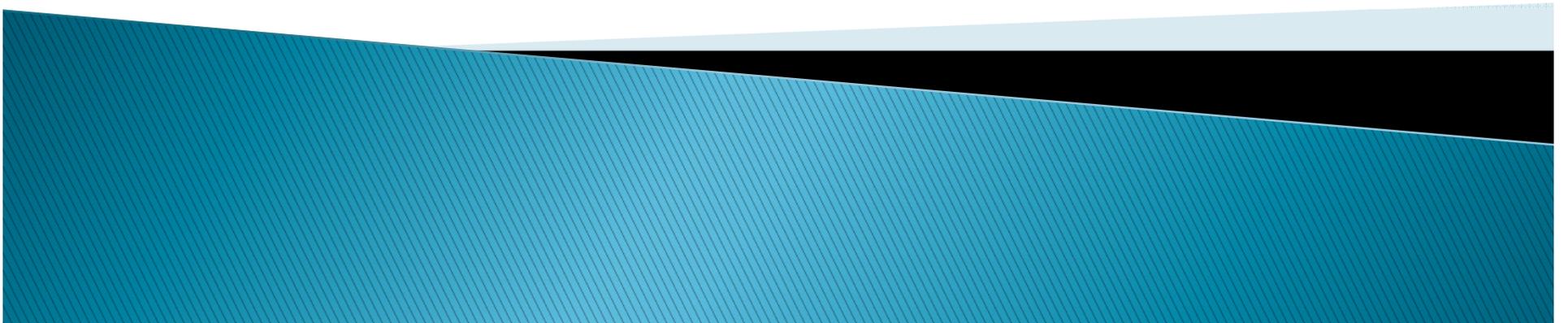


# Performance Appraisals



# Agenda

- ❖ Eligibility for performance ratings
- ❖ Preparing the appraisal
- ❖ The electronic form
- ❖ Conducting the appraisal
- ❖ Consequences of rating
- ❖ Elements of a valid appraisal
- ❖ Establishing 2016 performance plans



# Eligible for a Rating

- ▶ All employees on the rolls who have worked under established standards for at least 90 days.
  - Permanent, Term and Pathways Career Intern employees
  - Temporary, Intermittent, Pathways Temporary Intern, and Detailed employees who have worked more than 120 days
  - Standards are established as of the date of Rating Official's signature in Part A-1



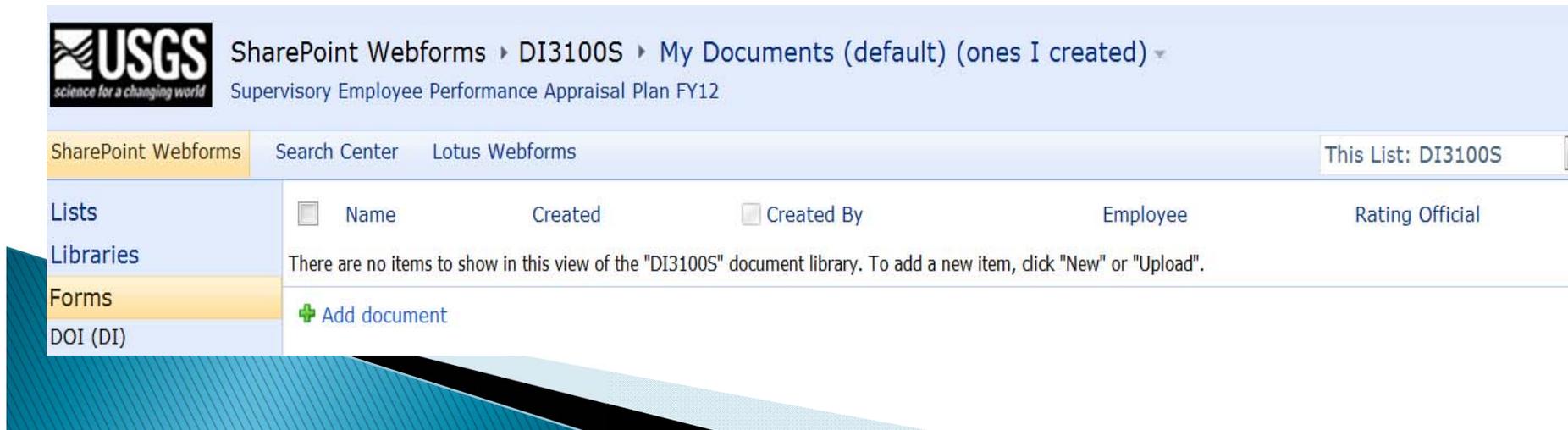
# Extending the Rating Period

- ▶ Performance plans established (signed in Part A-1) between July 1 and September 30 must have the rating period extended to allow the employee to work 90 days under the plan.
  - Rating period can be extended up to 90 days.



# 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 will appear showing the "Docs I created" view which is the **default view**.



The screenshot shows the SharePoint Webforms interface for the "Supervisory Employee Performance Appraisal Plan FY12" site. The breadcrumb path is "SharePoint Webforms > DI3100S > My Documents (default) (ones I created)". The page title is "Supervisory Employee Performance Appraisal Plan FY12". The navigation bar includes "SharePoint Webforms", "Search Center", and "Lotus Webforms". The current view is "This List: DI3100S". The left sidebar shows "Lists", "Libraries", "Forms", and "DOI (DI)". The main content area displays a table with columns: "Name", "Created", "Created By", "Employee", and "Rating Official". Below the table, there is a message: "There are no items to show in this view of the 'DI3100S' document library. To add a new item, click 'New' or 'Upload'." and a link: "+ Add document".

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SharePoint Webforms > DI3100S > My Documents (default) (ones I created) ▾  
Supervisory Employee Performance Appraisal Plan FY12

SharePoint Webforms Search Center Lotus Webforms This List: DI3100S

Lists  
Libraries  
Forms  
DOI (DI)

<input type="checkbox"/>	Name	Created	<input type="checkbox"/>	Created By	Employee	Rating Official
There are no items to show in this view of the "DI3100S" document library. To add a new item, click "New" or "Upload".						

+ Add document

# Finding the form

- ▶ 3 – To change the view, click on the downward arrow, and a drop down list of more views will appear.
  - If you are a Rating Official, and you want to see the DI-3100 forms for all of your employees, go to the appropriate **Rating Officials** view.
  - Once you find your name, all of your employees will be listed together under your name.



# Preparing the Appraisal

- ▶ Gather performance data
  - Supervisory files
  - Reports from other reviewers
  - Employee's input



# Preparing the Appraisal

- ▶ Compare performance data to the measurable criteria in the performance standards (measures of quality, quantity, timeliness and/or cost effectiveness)
  - Must meet all measurable criteria of a particular standard level to be rated at that level
  - Consider whether an error/failure was within the employee's control



# Preparing the Appraisal

- ▶ Write narrative justification for critical elements (recommend doing this in a word program)
  - Only required for elements rated Exceptional, Minimally Successful and Unsatisfactory
  - First, provide examples of how employee met (or didn't meet) each of the measurable criteria of the standard
  - Then, may include feedback on other related items or the benchmark standards



# Preparing the Appraisal

- ▶ Obtain ER review of Minimally Successful and Unsatisfactory element ratings
  - One element rated Minimally Successful or Unsatisfactory result in that rating for the entire appraisal
  - This rating could result in an adverse action to the employee



# Completing The Electronic Form

- ▶ Transfer narratives to individual element page.
- ▶ Enter individual ratings in Part C. If any element was not rated, leave that one blank.
  - Advise employees not to access their form during this period of time to prevent loss of data
  - Save at least every 30 minutes to prevent loss of data
  - You can't do anything in Part C unless Parts A1, A2, A3, and B are signed or checked.
  - You won't be able to see the individual element ratings in Part C until Part D is signed



# The Electronic Form

- ▶ Based on the ratings in Part C, the system will mark the appropriate Summary Rating in Part D
  - Important rules:
    - Exceptional requires both a numerical rating AND all elements rated either Exceptional or Superior
    - If lowest element rating is Minimally Successful, the summary rating must be Minimally Successful
    - If lowest element rating is Unsatisfactory, the summary rating must be Unsatisfactory



# The Electronic Form

- ▶ If summary rating is Exceptional, Minimally Successful or Unsatisfactory, you must send the rating to the Reviewing Official for signature.
  - Do this BEFORE discussing rating with employee
  - If Reviewing Official believes performance data does not support the rating, s/he may refuse to sign
  - Then rating must be raised or lowered to level which does not require Reviewing Official signature



# The Electronic Form

- ▶ After Reviewing Official signature is obtained (if necessary), Rating Official signs in Part D
- ▶ Ensure that you have given read-only access to your Admin Staff
- ▶ If you have any problems, contact your servicing Employee Relations specialist for assistance



# Conducting the Appraisal

- ▶ Objective: To provide constructive feedback for future improvement and success while evaluating past performance
- ▶ Depending upon how your employee prefers to receive information, either
  - Email the completed form to the employee and then meet to discuss, or
  - Meet to discuss (providing hardcopy to employee in the meeting) and then email to the employee



# Conducting the Appraisal

- ▶ Focus on performance, not conduct
  - Unless conduct is negatively impacting performance
- ▶ Provide specific details of their performance.
- ▶ Engage the employee in a conversation
  - If the employee provides additional information which will change the rating, your employee relations specialist can erase the signatures in Part D so that form can be changed



# Conducting the Appraisal

- ▶ Respond to questions/concerns
  - “So, when will I be promoted?”
    - Must have met time-in-grade requirements
    - Must have successfully performed higher-graded duties
    - Higher-graded work must be available (and assigned) on a regular basis
  - “I disagree with your evaluation”
    - Provide employee handout on their options to respond
    - Provide decision on informal reconsideration within seven (7) calendar days



# Conducting the Appraisal

- ▶ Document Rating–Based Awards
  - Until further notice, please do not discuss awards with employees
  - After you receive guidance from your Center Director, please go back into electronic appraisal and note the awards/amounts on the front page



# Consequences of Ratings

## ▶ Exceptional

- Eligible for rating based awards (cash up to X% of salary, time off, and/or QSI)
- Eligible for STAR/Time Off awards
- Eligible for career ladder promotions
- Will receive next Within-Grade Increase (WGI)
- Retention service credit in Reduction-In-Force process



# Consequences of Ratings

## ▶ Superior

- Eligible for rating based awards (cash up to Y% of salary and/or time off)
- Eligible for STAR/Time Off awards
- Eligible for career ladder promotions
- Will receive next Within-Grade Increase (WGI)
- Retention service credit in Reduction-In-Force process



# Consequences of Ratings

## ▶ Fully Successful

- Eligible for STAR/Time Off awards
- Eligible for career ladder promotions
- Will receive next Within-Grade Increase (WGI)
- Retention service credit in Reduction-In-Force process



# Consequences of Ratings

## ▶ Minimally Successful

- Not eligible for awards
- Not eligible for career ladder promotions
- Will not receive next Within-Grade Increase (WGI) until performance improves to at least Fully Successful
- Supervisor should counsel/coach employee on ways to increase performance to Fully Successful



# Consequences of Ratings

## ▶ Unsatisfactory

- Not eligible for awards
- Not eligible for career ladder promotions
- Will not receive next Within-Grade Increase (WGI) until performance improves to at least Fully Successful
- May be placed on a Performance Improvement Plan (PIP)



# Consequences of No Rating

- ▶ Cannot receive rating-based award
- ▶ Next Within-Grade Increase will be delayed until a rating of record is prepared
- ▶ Could negatively impact retention service credit in RIF process



# Elements of a valid appraisal

- ▶ Standards must have been established for at least 90 days prior to closing out appraisal
- ▶ Measurable criteria established at least at the Fully Successful level for each critical element
- ▶ Narrative justifications (for elements rated Exceptional, Minimally Successful and Unsatisfactory) include examples that substantiate & explain how the employee's performance falls within the level assigned



# Establishing FY16 Performance Plans

- ▶ Employees with supervisory code of 2 or 4 should have EPAP established on DI-3100S. All others, even team leads, should be on DI-3100. Employees must be designated as supervisors (codes 2 or 4) in order to be held accountable for the full supervisory element.
- ▶ The DI-3100S contains the mandatory supervisory critical element. It is the only element that may not be modified. The performance standard should not be augmented either.
- ▶ Part A-4 that certifies whether an Individual Development Plan has been established for the employee.
  - Required for supervisors
  - Optional for non-supervisors

# Critical Elements

- ▶ Should be results-focused rather than a list of duties
- ▶ Identify at least one critical element to link to a strategic goal (or a GPRA goal)
  - Make the connection. Just writing Project Management next to the GPRA/Strategic Goal heading doesn't meet the requirement.



# Performance Standards

- ▶ You **MUST** have specific measures in the performance standard at least at the Fully Successful level. May use benchmark standard but NOT alone.
  - Example : Project and technical reviews of the data collected indicate no more than 4 occurrences of major errors where USGS and project-specific methods and policies are not followed; Data collected by deadlines specified in project work schedule; Minimum number of samples specified in work plan are collected.



Questions?