

## PERFORMANCE MANAGEMENT RECORD

Coverage	Bureau Appraisal Cycle	Appraisal Year
<input type="checkbox"/> General Schedule <input type="checkbox"/> Federal Wage System <input type="checkbox"/> Wage Marine	<input type="checkbox"/> October 1 – September 30 <input type="checkbox"/> June 1 – May 31 <input type="checkbox"/> November 1 – October 31	From: _____  To: _____

Employee's Name: \_\_\_\_\_

Position Title: \_\_\_\_\_ Pay Plan, Series, Grade/Step: \_\_\_\_\_

Organization: 1. \_\_\_\_\_ 3. \_\_\_\_\_  
 2. \_\_\_\_\_ 4. \_\_\_\_\_

### PERFORMANCE PLAN CERTIFICATION

This plan is an accurate statement of the work that will be the basis for the employee's performance appraisal.

Signature/Title (Rating Official)	Date
Signature/Title (Approving Official)	Date
Employee Signature  <b>My signature acknowledges discussion and receipt of the plan, and does not necessarily signify agreement. It also certifies the following: a) I understand how my individual performance is linked to the organization's mission and goals and b) my supervisor has discussed this with me upon presentation of my performance plan.</b>	Date

**Privacy Act Statement** - Disclosure of your social security number is voluntary. The number is linked with your name in the official personnel records to ensure unique identification of your records. The social security number will be used solely to ensure accurate entry of your performance rating into the automated record system.

## PERFORMANCE PLAN AND APPRAISAL RECORD

**Employee Name:**

Date

Element No.

of

### Cascaded Organizational Goals

Each element must be cascaded from the DOC Strategic Goals. All Goals must be identified for each element. First, select the appropriate DOC Strategic Goal, then list the Bureau Goal, and the SES Manager Goal to complete the cascade.

**DOC Strategic Goals:**

- Strategic Goal 1: Provide the information and tools to maximize U.S. competitiveness and enable economic growth for American industries, workers and consumers
- Strategic Goal 2: Foster science and technology leadership by protecting intellectual-property, enhancing technical standards and advancing measurement science
- Strategic Goal 3: Observe, protect and manage the Earth's resources to promote environmental stewardship
- Management Integration Goal: Achieve Organizational and Management Excellence

 **Bureau Goal:**
 **SES/Organizational Goal:**

### Critical Element and Objective

Customer Service

To respond to internal and external customers, stakeholders, and the public.

**Weighting Factor** (The weight for each element should reflect the significance within the framework of the Department's or bureau's organization goals. Weights should not be assigned based on the percentage of time an employee spends working on that element.)

**Enter the weight for this element in the adjacent box. →**

Element Weight

**Results of Major Activities:** Identify results that need to be accomplished in support of the performance element. A minimum of 3 and a maximum of 6 measurable results must be listed.

**Criteria for Evaluation:** Supplemental Standards are required for each element and must be defined at Level 3 performance in terms of quality, quantity, timeliness, and/or cost-effectiveness. Attached Generic Performance standards also apply.



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Date

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<b>Enter the weight for this element in the adjacent box. →</b>	

**Results of Major Activities:** Identify results that need to be accomplished in support of the performance element. A minimum of 3 and a maximum of 6 measurable results must be listed.

**Criteria for Evaluation:** Supplemental Standards are required for each element and must be defined at Level 3 performance in terms of quality, quantity, timeliness, and/or cost-effectiveness. Attached Generic Performance standards also apply.



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### Critical Element and Objective

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**Enter the weight for this element in the adjacent box. →**

Element Weight

**Results of Major Activities:** Identify results that need to be accomplished in support of the performance element. A minimum of 3 and a maximum of 6 measurable results must be listed.

**Criteria for Evaluation:** Supplemental Standards are required for each element and must be defined at Level 3 performance in terms of quality, quantity, timeliness, and/or cost-effectiveness. Attached Generic Performance standards also apply.





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### Critical Element and Objective

**Weighting Factor** (The weight for each element should reflect the significance within the framework of the Department's or bureau's organization goals. Weights should not be assigned based on the percentage of time an employee spends working on that element.)

**Enter the weight for this element in the adjacent box. →**

Element Weight

**Results of Major Activities:** Identify results that need to be accomplished in support of the performance element. A minimum of 3 and a maximum of 6 measurable results must be listed.

**Criteria for Evaluation:** Supplemental Standards are required for each element and must be defined at Level 3 performance in terms of quality, quantity, timeliness, and/or cost-effectiveness. Attached Generic Performance standards also apply.



## Progress Review

<b>Employee Name:</b>
-----------------------

<p>Please check the appropriate box.</p> <p><input type="checkbox"/> 1. Review indicates performance is at Level 3 or higher on <u>all</u> critical elements.</p> <p><input type="checkbox"/> 2. Review indicates performance is at Level 3 on all critical elements <u>except</u> those critical elements where deficiencies are stated.</p> <p><b>NOTE:</b> If box 2 is checked, the supervisor should contact the servicing human resources office.</p>
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	Employee's Initials	Date	Rating Official's Initials	Date
Progress Review				
Progress Review				
Progress Review				

<b>Employee Name:</b>			
<b>PERFORMANCE SUMMARY RATING</b>			
<ul style="list-style-type: none"> <li>• List each element in the performance plan.</li> <li>• All elements are critical.</li> <li>• Assign a rating level for each element:                             <ul style="list-style-type: none"> <li>• (5) Level 5 (highest level of performance); (4) Level 4; (3) Level 3; (2) Level 2; (1) Level 1 (unacceptable performance)</li> </ul> </li> <li>• Score each element by multiplying the weight by the rating level.</li> <li>• Interim ratings should be considered when you prepare the final summary rating.</li> <li>• After each element has been scored, compute the total point score by adding the individual scores.</li> <li>• Rating officials must provide either an overall narrative justification of the summary rating or a written justification for each element rating.</li> <li>• A written justification is required for any element rated below Level 3.</li> </ul>			
<b>Performance Element</b>	<b>Individual Weights</b> (Total must equal 100)	<b>Element Rating</b> (5, 4, 3, 2, 1)	<b>Score</b>
<b>TOTAL SCORE</b>			
<b>PERFORMANCE RATING</b>			
<input type="checkbox"/> <b>Level 5</b> (470 – 500)	<input type="checkbox"/> <b>Level 4</b> (380 – 469)	<input type="checkbox"/> <b>Level 3</b> (290 – 379)	<input type="checkbox"/> <b>Level 2</b> (200 – 289)
<input type="checkbox"/> <b>Level 1</b> (100 – 199)			
Rating Official's Signature/Title			Date
Approving Official's Signature/Title			Date
Employee's Signature (indicates appraisal meeting held)		Employee comments attached? <input type="checkbox"/> Yes <input type="checkbox"/> No	Date
<b>PERFORMANCE RECOGNITION</b>			
<input type="checkbox"/> <b>Performance Award</b> \$ _____ ( % ) <i>Appropriation Code</i> _____ <input type="checkbox"/> <b>QSI</b> (Level 5 Required)			
Rating Official's Signature/Title			Date
Approving Official's Signature/Title			Date

**Summary Rating  
Narrative Documentation**

**Employee Name:**

# APPENDIX A

## GENERIC PERFORMANCE STANDARDS

U.S. DEPARTMENT OF COMMERCE

### INSTRUCTIONS

The generic performance standards (GPS) and supplemental performance standards are used to assign an element rating in the Department of Commerce. The summary rating is determined by using the summary derivation scheme. When evaluating an employee's overall performance, the rater should:

1. Read carefully each performance standard level beginning with Level 3. (It is considered the base level standard.)
2. Determine which level best describes the employee's performance on the element. (Each and every criterion in the standards does not have to be met by the employee in absolute terms for the rater to assign a particular rating level. The sum of the employee's performance on the elements must, in the rater's judgment, meet the assigned level's criteria.)
3. Provide in writing, on the appraisal form, specific examples of accomplishments which support the assigned summary level. Rating officials must provide either an overall narrative justification of the summary rating or a written justification for each element rating. They must do one or the other, and may do both. A written justification is required for any element rated below Level 3. To assign a Level 3 summary rating, the rating official need only document in writing that: (1) the Level 3 standards were met, and (2) that the rating was discussed in detail with the employee.

Occasionally, when rating some elements, a rating official may determine that an employee's performance on an element was not consistent. For example, the employee may have performed at Level 4 on several major activities within a critical element and at Level 2 on several others. In such a case, the rating official must consider the overall effect of the employee's work on the element and make a judgment as to the appropriate rating level he or she will assign. The rationale for the decision must be documented on the rating form, citing specific accomplishments which support the decision. Supplemental standards must be written at Level 3 for all elements.

The nonsupervisory standards apply to all employees including team leaders and supervisors. The team leader and supervisory standards are in addition to the broader standards set forth in the nonsupervisory standards.

### LEVEL 5

#### NONSUPERVISORY

This is a level of rare, high-quality performance. The quality and quantity of the employee's work substantially exceed Level 3 standards and rarely leave room for improvement. The impact of the employee's work is of such significance that organizational objectives were accomplished that otherwise would not have been. The accuracy and thoroughness of the employee's work on this element are exceptionally reliable. Application of technical knowledge and skills goes beyond that expected for the position. The employee significantly improves the work processes and products for which he or she is responsible. Thoughtful adherence to procedures and formats, as well as suggestions for improvement in these areas, increase the employee's usefulness.

This person plans so that work follows the most logical and practical sequence; inefficient backtracking is avoided. He or she develops contingency plans to handle potential problems and adapts quickly to new priorities and changes in procedures and programs without losing sight of the longer-term purposes of the work. These strengths in planning and adaptability result in early or timely completion of work under all but the most extraordinary circumstances. Exceptions occur only when delays could not have been anticipated. The employee's planning skills result in cost-savings to the government.

In meeting element objectives, the employee handles interpersonal relationships with exceptional skill, anticipating and avoiding potential causes of conflict and actively promoting cooperation with clients, co-workers, and his or her supervisor.

The employee seeks additional work or special assignments related to this element at increasing levels of difficulty. The quality of such work is high and is done on time without disrupting regular work. Appropriate problems are brought to the supervisor's attention; most problems are dealt with routinely and with exceptional skill.

The employee's oral and written expression are exceptionally clear and effective. They improve cooperation among participants in the work and prevent misunderstandings. Complicated or controversial subjects are presented or explained effectively to a variety of audiences so that desired outcomes are achieved.

#### TEAM LEADER

The employee is a superior team leader. Performs a variety of coordinating, coaching, facilitating, and planning functions for the team in a way that not only facilitates the accomplishment of organizational goals, but also results in substantial innovation in work processes that results in improvements in the overall quality, quantity, and timeliness of products, services, and/or work products assigned to the team. Applies an in-depth, expert knowledge of functions led, as well as superior leadership and team building skills and techniques in the day-to-day accomplishment of work priorities.

#### SUPERVISORY

The employee is a strong leader who works well with others and handles difficult situations with dignity and effectiveness. The employee encourages independence and risk-taking among subordinates, yet takes responsibility for their actions. Open to the views of others, the employee promotes cooperation among peers and subordinates, while guiding, motivating, and stimulating positive responses. The employee's work performance demonstrates a strong commitment to fair treatment, equal opportunity, and the affirmative action objectives of the organization.

### LEVEL 4

#### NONSUPERVISORY

This is a level of unusually good performance. The quantity and quality of work under this element are consistently above average. Work products rarely require even minor revision. Thoroughness and accuracy of work are reliable. The knowledge and skill the employee applies to this element are clearly above average, demonstrating problem-solving skill and insight into work methods and techniques. The employee follows required procedures and supervisory guidance so as to take full advantage of existing systems for accomplishing the organization's objectives.

The employee plans the work under this element so as to proceed in an efficient, orderly sequence that rarely requires backtracking and consistently leads to completion of the work by established deadlines. He or she uses contingency planning to anticipate and prevent problems and delays. Exceptions occur when delays have causes outside the employee's control. Cost savings are considered in the employee's work planning.

The employee works effectively on this element with co-workers, clients, as appropriate, and his or her supervisor, creating a highly successful cooperative effort. He or she seeks out additional work or special assignments that enhance accomplishment of this element and pursues them to successful conclusion without disrupting regular work. Problems which surface are dealt with; supervisory intervention to correct problems occurs rarely.

The oral and written expression applied to this element are noteworthy for their clarity and effectiveness, leading to improved understanding of the work by other employees and clients of the organization. Work products are generally given sympathetic consideration because they are well-presented.

#### TEAM LEADER

The team leader effectively distributes work and monitors team members' work performance to ensure completion of work in accordance with the supervisor's work plans. The team leader coordinates, coaches, and facilitates work of the team in a way that enables the team to consistently deliver services and/or work products that exceed established standards of performance of quality and timeliness, and contribute significantly to the accomplishment of organizational goals and objectives.

#### SUPERVISORY

The employee is a good leader, establishes sound working relationships and shows good judgment in dealing with subordinates, considering their views. He or she provides opportunities for staff to have a meaningful role in accomplishing organizational objectives and makes special efforts to improve each subordinate's performance.

**LEVEL 3****NONSUPERVISORY**

This is the level of good, sound performance. The quality and quantity of the employee's work under this element are those of a fully competent employee. The performance represents a level of accomplishment expected of the great majority of employees. The employee's work products fully meet the requirements of the element. Major revisions are rarely necessary; most work requires only minor revision. Tasks are completed in an accurate, thorough, and timely way. The employee's technical skills and knowledge are applied effectively to specific job tasks. In completing work assignments, he or she adheres to procedures and format requirements and follows necessary instructions from supervisors.

The employee's work planning is realistic and results in completion of work by established deadlines. Priorities are duly considered in planning and performing assigned responsibilities. Work reflects a consideration of costs to the government, when possible.

In accomplishing element objectives, the employee's interpersonal behavior toward supervisors, co-workers, and users promotes attainment of work objectives and poses no significant problems.

The employee completes special assignments so their form and content are acceptable and regular duties are not disrupted. The employee performs additional work as his or her workload permits. Routine problems associated with completing assignments are resolved with a minimum of supervision.

The employee speaks and writes clearly and effectively.

**TEAM LEADER**

The team leader successfully leads subordinate team members in the accomplishment of assigned projects and workload. The leader ensures adequate understanding of the work requirements and coordinates, coaches, and facilitates accomplishment of the team's work. The team leader ensures that the unit provides timely and quality services and/or work products that contribute to the accomplishment of the organization's goals and objectives.

**SUPERVISORY**

The employee is a capable leader who works successfully with others and listens to suggestions.

The employee rewards good performance and corrects poor performance through sound use of performance appraisal systems, performance-based incentives and, when needed, adverse actions; and selects and assigns employees in ways that use their skills effectively.

The employee's work performance shows a commitment to fair treatment, equal opportunity, and the affirmative action objectives of the organization.

**LEVEL 2****NONSUPERVISORY**

This level of performance, while demonstrating some positive contributions to the organization, shows notable deficiencies. It is below the level expected for the position, and requires corrective action. The quality, quantity or timeliness of the employee's work is less than Level 3, jeopardizing attainment of the element's objective.

There is much in the employee's performance that is useful. However, problems with quality, quantity or timeliness are too frequent or too serious to ignore. Performance is inconsistent and problems caused by deficiencies counterbalance acceptable work. These deficiencies cannot be overlooked since they create adverse consequences for the organization or create burdens for other personnel. When needed as input into another work process, the work may not be finished with such quality, quantity and timeliness that other work can proceed as planned.

Although the work products are generally of usable quality, too often they require additional work by other personnel. The work products do not consistently and/or fully meet the organization's needs. Although mistakes may be without immediate serious consequences, over time they are detrimental to the organization.

A fair amount of work is accomplished, but the quantity does not represent what is expected of Level 3 employees. Output is not sustained consistently and/or higher levels of output usually result in a decrease in quality. The work generally is finished within expected timeframes but significant deadlines too often are not met.

The employee's written communication usually considers the nature and complexity of the subject and the intended audience. It conveys the central points of information important to accomplishing the work. However, too often the communication is not focused, contains too much or too little information, and/or is conveyed in a tone that hinders achievement of the purpose of the communication. In communication to co-workers, the listener must question the employee at times to secure complete information or avoid misunderstandings.

**TEAM LEADER**

The team leader's performance while demonstrating some positive contributions to the success of the organization shows notable deficiencies. Performance is below the level expected for the position. The quality, quantity or timeliness of the team leader's work is less than Level 3. Performance is inconsistent and problems caused by deficiencies counterbalance acceptable work. The team leader does not always provide specific direction to team members on how to carry out assignments and/or adequately convey performance expectations, and/or provide an understanding of the goals of the organization or their team member roles in meeting those goals. The team leader does not always motivate the team and promote a team spirit. Performance at this level indicates that improvement or additional development is needed for the team leader to operate at an acceptable level.

**SUPERVISORY**

Inadequacies surface in performing supervisory duties. Deficiencies in areas of supervision over an extended period of time affect adversely employee productivity or morale, or organizational effectiveness. The Level 2 employee does not provide strong leadership or take the appropriate initiative to improve organizational effectiveness. For example, he or she too often fails to make decisions or fulfill supervisory responsibilities in a timely manner, to provide sufficient direction to subordinates on how to carry out programs, to give clear assignments and/or performance requirements, and/or to show an understanding of the goals of the organization or subordinates' roles in meeting those goals.

**LEVEL 1****NONSUPERVISORY**

The quantity and quality of the employee's work under this element are not adequate for the position. The employee's work products fall short of requirements of the element. They arrive late or often require major revision because they are incomplete or inaccurate in content. The employee fails to apply adequate technical knowledge to complete the work of this element. Either the knowledge applied cannot produce the needed products, or it produces technically inadequate products or results. Lack of adherence to required procedures, instructions, and formats contributes to inadequate work products.

Because the employee's work planning lacks logic or realism, critical work remains incomplete or is unacceptably late. Lack of attention to priorities causes delays or inadequacies in essential work; the employee has concentrated on incidental matters.

The employee's behavior obstructs the successful completion of the work by lack of cooperation with clients, supervisor, and/or co-workers, or by loss of credibility due to irresponsible speech or work activity.

In dealing with special projects, the employee either sacrifices essential regular work or fails to complete the projects. The employee fails to adapt to changes in priorities, procedures, or program direction and, therefore, cannot operate adequately in relation to changing requirements.

The oral and written expression the employee uses in accomplishing the work of this element lacks the necessary clarity for successful completion of required tasks. Communication failures interfere with completion of work.

**TEAM LEADER**

The team leader does not meet performance expectations on one or more critical elements. The team leader fails to properly distribute, monitor, and ensure completion of the team's workload. Due to these deficiencies, the team is unsuccessful in delivering work products that meet standards for quality, timeliness, and accuracy.

**SUPERVISORY**

Most of the following deficiencies are typically, but not always, common, characteristics of the employee's work:

- Inadequate guidance to subordinates;
- Inattention to work progress; and
- Failure to stimulate subordinates to meet goals.



### Summary Rating Derivation

To derive a final, or summary, performance rating at the end of the appraisal cycle, each critical element must be assessed against the generic (and supplemental) performance standards established at the beginning of the cycle or as modified and documented during a progress review. Each element is evaluated and translated into a score using the following scale:

Level 5 (the highest level of performance)	= 5 points
Level 4	= 4 points
Level 3	= 3 points
Level 2	= 2 points
Level 1 (unacceptable performance)	= 1 point

After each critical element has been rated, multiply the score for each element by the weight assigned to it. No fractional scores or weights may be used.

*Example:*

Critical Element 1 is 30% of plan	Rated at Level 4	30 x 4 = 120 points
Critical Element 2 is 30% of plan	Rated at Level 3	30 x 3 = 90 points
Critical Element 3 is 20% of plan	Rated at Level 5	20 x 5 = 100 points
Critical Element 4 is 20% of plan	Rated at Level 4	20 x 4 = 80 points

<b>TOTAL</b>	<b>390 points</b>
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Total the individual scores to determine the overall score. In the example above, the sum of  $120 + 90 + 100 + 80 = 390$ .

Using the ranges below, determine what range the overall score (example 390) falls within.

Overall Score	Summary Rating
470 – 500 points	Level 5
380 – 469 points	Level 4
290 – 379 points	Level 3
200 --289 points	Level 2
100 – 199 points	Level 1

This becomes the employee's summary rating for that performance appraisal cycle. In the example cited, the final summary rating would be a Level 4 since the score of 390 falls within the range for Level 4.

Note: If one critical element is rated Level 1, the summary rating must be Level 1.

## INTERIM RATINGS

### Overview

Interim ratings are prepared during the course of a rating period when an employee has spent the minimum appraisal period (120 days) in a covered position and then changes to another position. This may happen more than once during the rating period. These ratings must be completed within 30 days of the change of position and are prepared in the same manner as a summary rating. In fact, the interim rating may become the summary rating when an employee changes positions toward the end of the rating period (i.e., where the time remaining in the appraisal cycle is less than 120 days).

### When an Interim Rating Should Be Completed:

- After a detail which lasts at least the minimum appraisal period (120 days);
- After a temporary promotion/assignment which lasts at least 120 days;
- When an employee changes positions after serving at least 120 days;
- When a supervisor leaves his/her position and an employee has been under a performance plan for 120 days;
- When an employee transfers from the Department to another federal agency after serving in a position for at least 120 days; or
- After an assignment in a federally-sponsored program, such as an Intergovernmental Personnel Act (IPA) assignment.

### Benefits of Interim Ratings:

- To provide input from a departing supervisor to assist a new supervisor who is preparing a final rating of record;
- To provide a final rating of record to an employee who changes positions during the last 120 days of the rating period;
- To provide a final rating of record to an employee who moves more than once during the rating period or is on a detail; and
- To provide appropriate performance credit for work performed on a detail or temporary promotion/assignment.

### Consideration of Interim Ratings When Completing Final Appraisals

An interim rating that was completed for an employee for service in another position should be considered when you prepare the final summary rating for the position of record. If there is more than one rating:

- **Ratings at Different Levels:** When an interim rating(s) and the rating for the current position are different, the current rating official must prepare a written narrative that explains/justifies the assignment of the summary rating level.

### INTERIM RATINGS (Continued)

- When an employee receives an interim rating of Level 1 without further action and then receives a Level 3 or above on a rating for another position in the same performance period, the summary rating is not reduced by the interim rating. Instead, the summary rating is assigned in accordance with the Performance Management Handbook based solely on the individual critical element ratings for the current position.
- When an employee receives an interim rating of Level 3 or above and then receives a rating of Level 1 for another position in the same performance period, the summary rating is not raised by the interim rating. Instead, the summary rating is assigned in accordance with the Performance Management Handbook and based on the individual element for the current position.
- When an employee has received an interim rating that is less than Level 3, but the rating for service in the current position is Level 3 or higher, the final rating cannot be less than Level 3.
- When an employee changes positions toward the end of the rating period (*i.e.*, where the time remaining in the appraisal cycle is less than the minimum appraisal period), the interim rating becomes the rating of record for that appraisal period. The time remaining in the rating cycle is added on to the next rating cycle.

#### **Transfers From Other Federal Agencies**

- If an employee has served in a position for more than the minimum appraisal period in another federal agency, that agency should provide an interim summary rating and forward it to the Department's employing office with the employee's Official Personnel Folder.
- If the employee transfers to the Department toward the end of the rating period (*i.e.*, where the time remaining in the appraisal cycle is less than the minimum appraisal period), the employee's interim rating, prepared when he or she transferred, will become his/her rating of record for the appraisal period.
- If no interim rating can be obtained from the employee's former agency, the employee's last rating of record becomes their current rating of record. If no rating can be obtained, then the employee will be considered unratable.