

Step by Step:

Create Performance Plan (Supervisor), Higher Level Approval

Introduction and Audience

This guide now includes Higher Level Reviewer functionality.

The instructions below provide step by step instructions for creating a new performance plan in the DCPDS Performance Appraisal Application (PAA), approving the job objectives, obtaining the employee's acknowledgement, obtaining higher level reviewer approval, and approving the plan. They also provide the steps that the Higher Level Reviewer performs to review and approve the plan.

A separate guide is available covering the employee steps in this process.

Performance plans can be created by either the employee or the supervisor (rating official). These guides cover both of these approaches.

If you have performance plans that were set up and “approved” prior to the addition of the Higher Level Reviewer functionality (Apr 2007), you will follow a different process for documenting the Higher Level Reviewer’s name and approval date. See pages 18-20.

Overall Process

The following table describes the overall process for establishing a performance plan.. The reference column refers to the page number in this document (Supervisor Step-by-Step Guide) or the Employee Step-by-Step Guide:

Step	Description	Performed By	Reference
1	Create performance plan, transfer to rating official	Employee	Empl-3
	Create performance plan	Rating Offcl	Supv-3
2	Enter weights, approve objectives, transfer to higher level reviewer	Rating Offcl	Supv-7
3	Review and approve (or return) plan, transfer to rating official	Higher Level Reviewer	Supv-13
4	Transfer plan to employee	Rating Offcl	Supv-16
5	Acknowledge perf plan, transfer to rating official	Employee	Empl-7
6	Approve overall plan	Rating Offcl	Supv-17

For more information, help, and problems

The Performance Appraisal Application (PAA) User Guide from CPMS is located at: http://www.chra.army.mil/NSPS-training/how-to_videos.htm. This guide contains thorough coverage of some of the primary tasks in the PAA and is particularly useful in describing the overall appraisal process.

There is also a supplement to the CPMS Guide specifically on the Higher Level Reviewer processes, available on the same website.

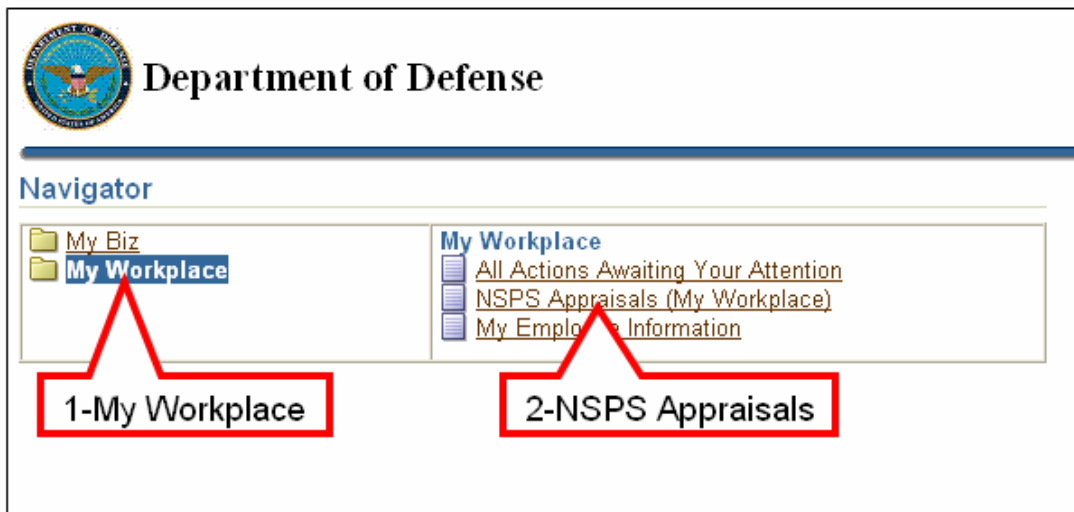
Accessing the Performance Appraisal Application (PAA)

If you are not familiar with the PAA, you access it through the CPOL Employee portal, Employee tab. See the how-to guides and movies at http://www.chra.army.mil/NSPS-training/how-to_videos.htm or download the step-by-step Word guide at: http://www.chra.army.mil/NSPS-training/NSPS_Vids/MyBiz_MyWorkplace_Step_Guide_Jan07.doc

The rest of these instructions assume that you have logged into the performance appraisal application through My Biz.

Accessing My Workplace

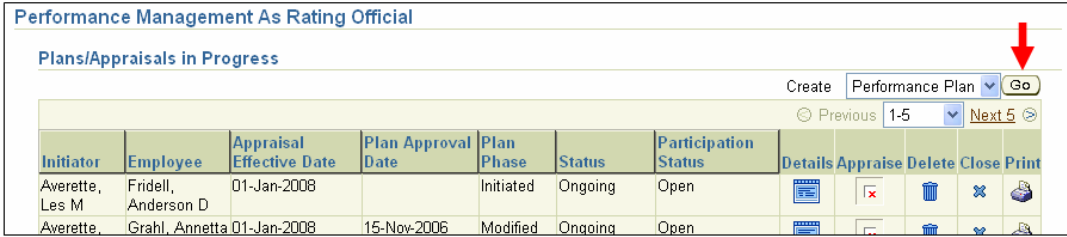
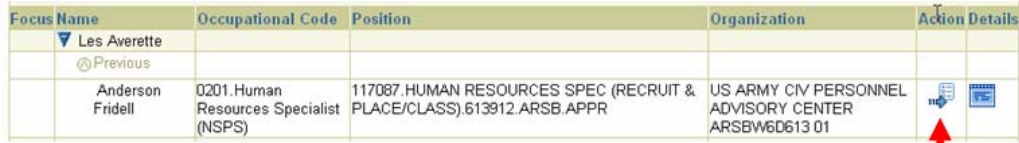
For supervisors, the appraisal tool is located under My Workplace, which is accessed through the CPOL Portal. Instructions for accessing this application are available separately. These instructions assume that you have already logged into DCPDS. Click the “My Workplace” link, then the “NSPS Appraisals (My Workplace)” link:



Note: If your employee has created the performance plan, you will only need to add weights to the job objectives. Start at the section titled, “Employee Created Plan – Add Weights,” on page 6.

Create the Performance Plan

Follow the steps below to create a new performance plan:

Step	Action
1	<p>Click on the <Go> button next to “Create Performance Plan”:</p>  <p>The screenshot shows a web interface titled "Performance Management As Rating Official" with a sub-section "Plans/Appraisals in Progress". At the top right, there is a "Create" button, a dropdown menu set to "Performance Plan", and a "Go" button. A red arrow points to the "Go" button. Below this is a table with columns: Initiator, Employee, Appraisal Effective Date, Plan Approval Date, Plan Phase, Status, Participation Status, Details, Appraise, Delete, Close, and Print. Two rows of data are visible.</p>
2	<p>This brings up a list of your employees. Find the one for whom you are going to create the plan, and click the “action” icon:</p>  <p>The screenshot shows a table with columns: Focus Name, Occupational Code, Position, Organization, Action, and Details. The first row is expanded to show "Les Averette". The second row shows "Anderson Fridell" with an "Action" icon (a document with a plus sign) highlighted by a red arrow. The "Organization" column for Anderson Fridell contains the text: "US ARMY CIV PERSONNEL ADVISORY CENTER ARSBW6D613 01".</p> <p>If an employee is missing from your list, or there are employees on the list who are not yours, there is a problem with the self-service hierarchy and you need to contact your Help Desk.</p>

3



Complete setup details as follows, paying particular attention to the items with arrows (use the calendar icons for all date changes, or type in the dates using the same format as shown):



Setup Details


Current Base Salary **47670**
 Minimum Pay Band Level **38175**
 Maximum Pay Band Level **85578**



* Indicates required field


* Appraisal Type Annual Appraisal - NSPS


* Rating Cycle Start Date 01-Nov-2006  
(example: 14-Nov-2006)


* Rating Cycle End Date 30-Sep-2007  
(example: 14-Nov-2006)

Performance Plan Approval Date 
(example: 14-Nov-2006)

Performance Plan End Date 30-Sep-2007  
(example: 14-Nov-2006)

* Appraisal Effective Date 01-Jan-2008 

* Rating Official Awerette, Les M 

* Performance Indicators
 Professional/Analytic Band 2 

- Appraisal Type: Annual Appraisal
- Rating Cycle Start Date: 12 Jan 2007 (or whatever date you converted to NSPS*)
- Rating Cycle End Date: 30-Sep-2007 (or 31-Oct 2007 if your organization has elected to use an extended rating period for the first cycle).
- Performance Plan Approval Date: Leave blank for now.
- Performance Plan End Date: 30-Sep-2007 (or 31-Oct-2007) (same as cycle end date above).
- Appraisal Effective Date: Leave as 01-Jan-2008 (do **NOT** change this date).

* For a new employee, use that employee's entry-on-duty date.

4

Click <Next> to go to step 2.

* Performance Indicators
 Professional/Analytic Band 2 


Cancel Save and Continue Transfer to Employee Step 1 of 3 **Next** 

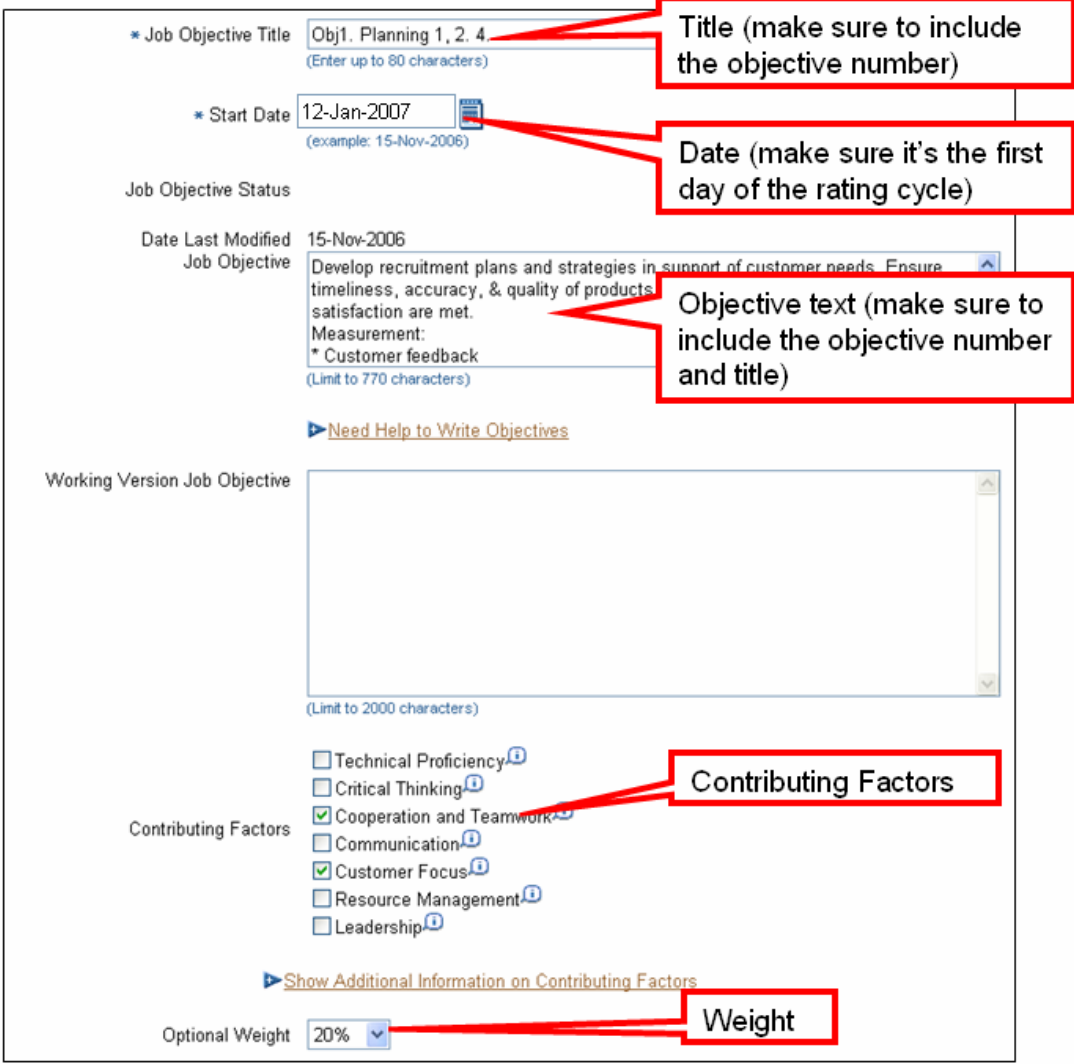

Adding the Organizational Mission / Strategic Goals and Job Objectives

Follow the steps below to add the organizational mission / strategic goals and the job objectives. Note, the mission / goals and the text of the job objectives can be copied and pasted from a fillable form version of the DD Form 2906 (if you have already set up the performance plan

using that form), or from a Word or other document. You can also type the entries in from scratch.

Note, if you are copying and pasting from Word, be sure to see the “Special Characters” section at the bottom of this document.

Step	Action
1	<p data-bbox="323 491 1081 527">Enter or paste your organizational mission / strategic goals:</p>  <p data-bbox="326 569 1398 953">The screenshot shows a web application interface. At the top, there is a 'Setup Details' section with fields for 'Appraisal Type' (Annual Appraisal - NSPS), 'Rating Cycle Start Date' (01-Nov-2006), 'Rating Cycle End Date' (30-Sep-2007), and 'Rating Official' (Averette, Les M). Below this is a 'Relevant Organizational Mission/Strategic Goals' section with a text input field containing the text 'Type or paste mission/goals here'. Below that is a 'Job Objectives' section with an 'Add Objective' button highlighted by a red box. A red arrow points from the 'Add Objective' button to the 'Add Objective' link above a table. The table has columns: Job Objective, Update Status, Optional Weight (%), Adjusted Weight (%), Job Objective Rating, Contributing Factor Impact, Adjusted Rating, Weighted Rating, and Delete. The table currently shows 'No data exists.'</p>
2	<p data-bbox="323 1005 1354 1073">Scroll down to the Job Objectives section and click the <i><Add Objectives></i> button (see illustration above).</p>

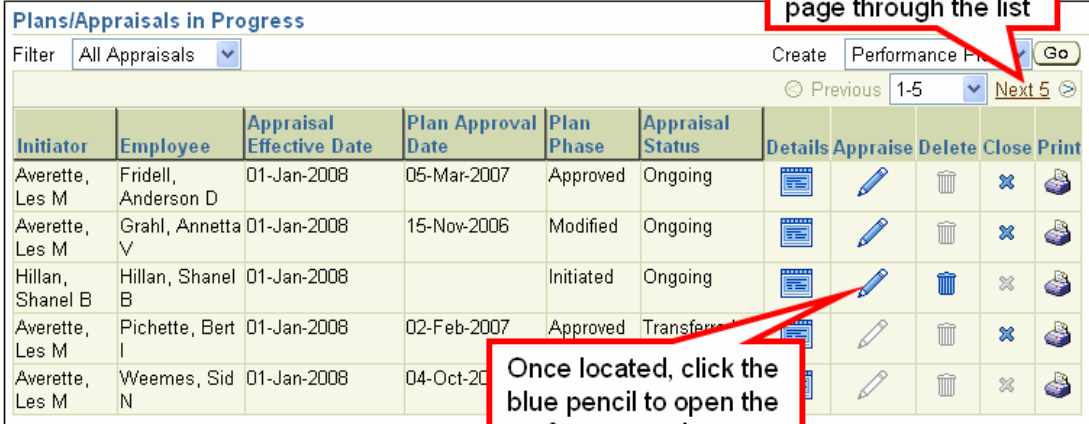
<p>3</p>	<p>Complete the objective screen as shown.</p> <p>(Including the objective number and title in the job objective text block will insure that it prints on the printed appraisal form.)</p>  <p>The screenshot shows a form for creating a job objective. It includes fields for: <ul style="list-style-type: none"> Job Objective Title: Obj1. Planning 1, 2, 4 (with a note: Enter up to 80 characters) Start Date: 12-Jan-2007 (with a note: example: 15-Nov-2006) Job Objective Status: (empty) Date Last Modified: 15-Nov-2006 Job Objective: Develop recruitment plans and strategies in support of customer needs. Ensure timeliness, accuracy, & quality of products satisfaction are met. Measurement: * Customer feedback (Limit to 770 characters) Working Version Job Objective: (empty text area, Limit to 2000 characters) Contributing Factors: A list of factors with checkboxes: <ul style="list-style-type: none"> Technical Proficiency Critical Thinking Cooperation and Teamwork (checked) Communication Customer Focus (checked) Resource Management Leadership Optional Weight: 20% (dropdown menu) Red callout boxes point to these fields with the following instructions: <ul style="list-style-type: none"> Title (make sure to include the objective number) - points to the Job Objective Title field. Date (make sure it's the first day of the rating cycle) - points to the Start Date field. Objective text (make sure to include the objective number and title) - points to the Job Objective text area. Contributing Factors - points to the list of contributing factors. Weight - points to the Optional Weight dropdown. </p>
<p>4</p>	<p>Click the <Apply and Add Another> button (at the bottom of the screen):</p>  <p>The image shows a close-up of the bottom of the form with four buttons: Cancel, Save and Continue, Apply and Add Another, and Apply. A red arrow points down to the 'Apply and Add Another' button.</p>
<p>5</p>	<p>Repeat steps 3 and 4 for each objective. After entering the last objective, click the <Apply> button rather than the <Apply and Add Another> button.</p>
<p>6</p>	<p>Click the <Next> button to go to step 3.</p>
<p>7</p>	<p>Review the form if needed, then click the <Apply> button.</p>

Employee Created Plan – Add Weights to Objectives

If your employee created the performance plan, follow these steps to review the objectives and add weights. This assumes that the employee has transferred the plan to you, but if the employee’s name is not on your list of “Plans / Appraisals in Progress,” the employee has not yet transferred the plan to you.


Note: If you created the employee’s performance plan (following the instructions above), skip this step – you will have added the weights while entering the job objectives. Start at the section titled, “Approve the Objectives,” on page 9

1 From the “Performance Management as Rating Official” screen (displayed when you log into NSPS Appraisals (My Workplace)), locate the employee whose plan you are going to review. You may need to “page” through the list to locate a specific employee (they are shown in groups of 5). Once you’ve located the correct employee, click the “Update” icon (blue pencil).



Initiator	Employee	Appraisal Effective Date	Plan Approval Date	Plan Phase	Appraisal Status	Details	Appraise	Delete	Close	Print
Averette, Les M	Fridell, Anderson D	01-Jan-2008	05-Mar-2007	Approved	Ongoing					
Averette, Les M	Grahl, Annetta V	01-Jan-2008	15-Nov-2006	Modified	Ongoing					
Hillan, Shanel B	Hillan, Shanel B	01-Jan-2008		Initiated	Ongoing					
Averette, Les M	Pichette, Bert I	01-Jan-2008	02-Feb-2007	Approved	Transferred					
Averette, Les M	Weemes, Sid N	01-Jan-2008	04-Oct-2007	Approved	Transferred					

2 Once the performance plan displays, click the <Update Plan / Appraisal> button:



Department of Defense
Performance Appraisal Application

Home Logout Preferences

Rating Official Review

Transfer to Employee Update Plan/Appraisal Submit Recommended Ratings

Employee Name **Shanel Hillan** Organization **US ARMY CIV**

- 3 Scroll down to the “Job Objectives” area and click the blue pencil by the first (top) objective (note, if you do not need to review the objectives, you can enter the weights right on this screen):

Job Objectives

Select Object: |

[Select All](#) | [Select None](#)

Select	Details	Objective Title	Status	Update Details	Optional Weight	Adjusted Weight (%)	Job Objective Rating	Contributing Factor Impact	Adjusted Rating	Weighted Rating	Delete
<input type="checkbox"/>	Show	Obj 1 Special Projects	PENDING		<input type="text"/>						
<input type="checkbox"/>	Show	Obj 2 Training Delivery	PENDING		<input type="text"/>						
<input type="checkbox"/>	Show	Obj 3 - Develop training	PENDING		<input type="text"/>						
<input type="checkbox"/>	Show	Obj 4 Advisory Services	PENDING		<input type="text"/>						

- 4 Review the objective and make any changes. Scroll down to see the entire objective and to locate the weight. Add in the weight using the drop-down list, making sure that the total of the weights of all the objectives add up to 100%:

Optional Weight

Job Objective Rating

[Show](#) [Objective Rating](#)

[Show](#)

[Show](#) [Performance Indicators](#)

Contributing Factor Impact

[Show](#) [Contributing Factor Impact](#)

[Show](#)

[Show](#) [Additional Information on Contributing Factor Impact](#)

[Show](#)

[Show](#)

[Show](#)

[Show](#)

Adjusted Rating


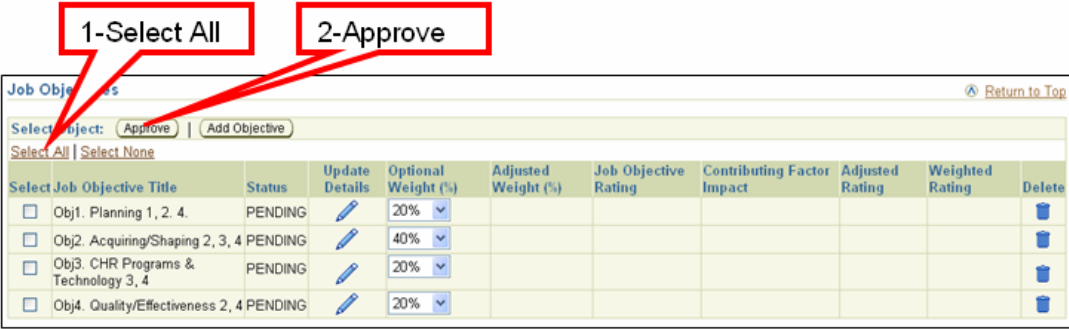
Adjusted Weight

Weighted Rating (If Used)

- 5 Click the **<Apply and Update Next>** button to go to the next objective.
- 6 Repeat steps 4 and 5 until you reach the last objective. **After entering the last objective, click the <Apply> button rather than the <Apply and Update Next > button.**
- 7 Go to **step 2** of the next section (“Approve the Objectives and Transfer to Employee”).

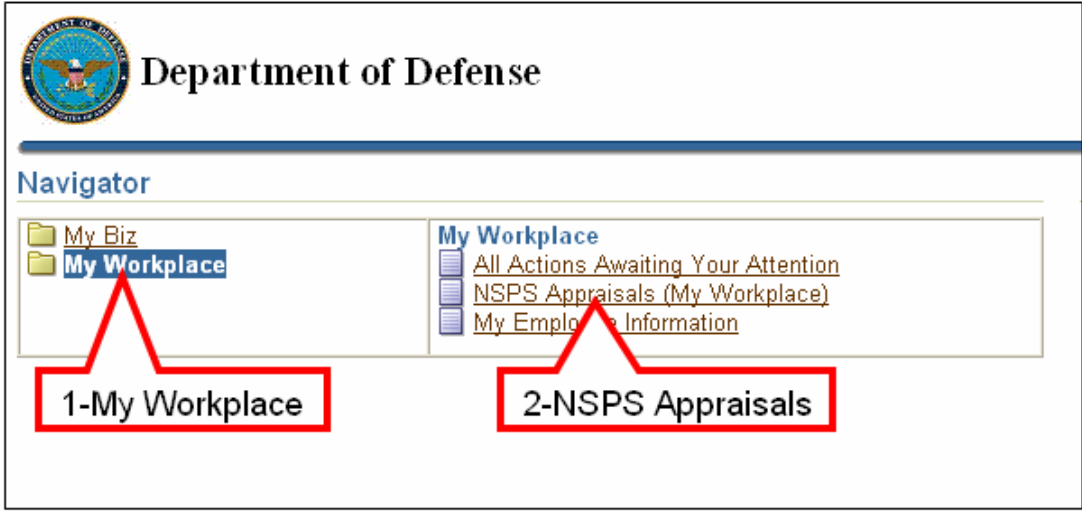
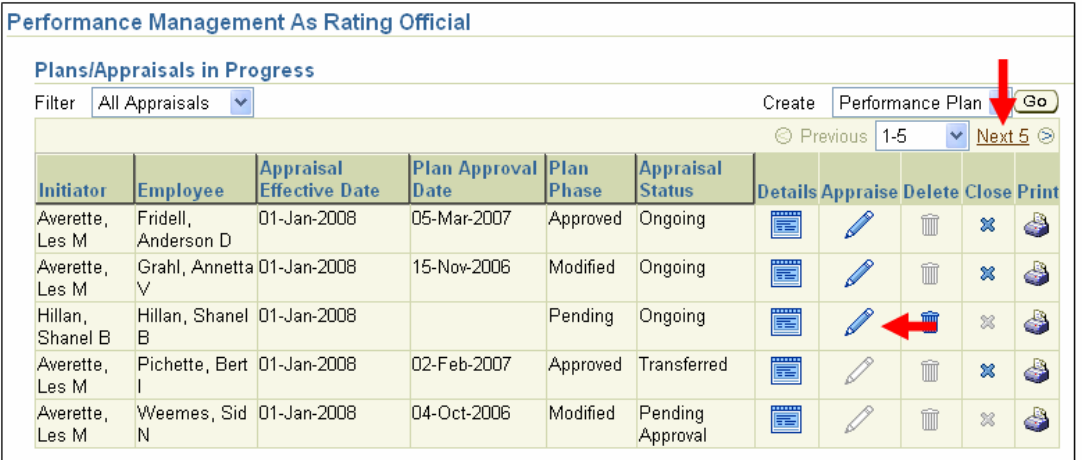
Approve the Objectives

Follow these steps to approve the objectives:

Step	Action
1	<p>Click the <<i>Update Plan / Appraisal</i>> button to enter update mode. Note, if this button is not available, you are already in update mode and you can proceed to the next step.</p> 
2	<p>Scroll down to the objectives area, click the <<i>Select All</i>> button to select all the objectives, then click the <<i>Approve</i>> button:</p> 
2	<p>The objectives should now all be in “Approved” status.</p> <p>Errors: Any error messages will display at the top of the screen. Correct errors before continuing. Common errors include not having the objective text in the right block (for instance, the objective text may have been pasted in the “Working Version Job Objective” block in error), or the percentages of the objectives not adding up to 100% (you can change the percentages using the drop-down lists). If you make a change to an objective, you may have to re-approve that objective.</p> <p>Once all objectives are “Approved,” click the <<i>Apply</i>> button.</p>

Transfer Plan to Higher Level Reviewer

Once the objectives have been approved, you transfer the plan to the higher level reviewer (HLR) for review and approval. This approval must be obtained before you can approve the overall performance plan. Follow these steps to transfer the plan to the higher level reviewer:

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1	<p>Log into My Biz, then select “My Workplace” and “NSPS Appraisals (My Workplace)”:</p> 																																																																		
2	<p>On the “Performance Management as Rating Official” screen, page through the performance plans (displayed 5 per page) until you locate the one you want, then click the blue pencil for that plan. (If the pencil is grayed out, you do not have possession of the performance plan.)</p>  <table border="1" data-bbox="358 1402 1385 1703"> <thead> <tr> <th>Initiator</th> <th>Employee</th> <th>Appraisal Effective Date</th> <th>Plan Approval Date</th> <th>Plan Phase</th> <th>Appraisal Status</th> <th>Details</th> <th>Appraise</th> <th>Delete</th> <th>Close</th> <th>Print</th> </tr> </thead> <tbody> <tr> <td>Awerette, Les M</td> <td>Fridell, Anderson D</td> <td>01-Jan-2008</td> <td>05-Mar-2007</td> <td>Approved</td> <td>Ongoing</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Awerette, Les M</td> <td>Grahl, Annetta V</td> <td>01-Jan-2008</td> <td>15-Nov-2006</td> <td>Modified</td> <td>Ongoing</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Hillan, Shanel B</td> <td>Hillan, Shanel B</td> <td>01-Jan-2008</td> <td></td> <td>Pending</td> <td>Ongoing</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Awerette, Les M</td> <td>Pichette, Bert I</td> <td>01-Jan-2008</td> <td>02-Feb-2007</td> <td>Approved</td> <td>Transferred</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Awerette, Les M</td> <td>Weemes, Sid N</td> <td>01-Jan-2008</td> <td>04-Oct-2006</td> <td>Modified</td> <td>Pending Approval</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Initiator	Employee	Appraisal Effective Date	Plan Approval Date	Plan Phase	Appraisal Status	Details	Appraise	Delete	Close	Print	Awerette, Les M	Fridell, Anderson D	01-Jan-2008	05-Mar-2007	Approved	Ongoing						Awerette, Les M	Grahl, Annetta V	01-Jan-2008	15-Nov-2006	Modified	Ongoing						Hillan, Shanel B	Hillan, Shanel B	01-Jan-2008		Pending	Ongoing						Awerette, Les M	Pichette, Bert I	01-Jan-2008	02-Feb-2007	Approved	Transferred						Awerette, Les M	Weemes, Sid N	01-Jan-2008	04-Oct-2006	Modified	Pending Approval					
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3

Scroll down to the “Approvals and Acknowledgements” area at the very bottom of the screen. At this point, the **<Approve>** button is grayed out (the higher level reviewer approval is required before you can approve the plan).

Click the **<Request>** button to begin the process of sending the plan to the Higher Level Reviewer:

Approvals and Acknowledgements

Performance Plan

HLR Approval	HLR Approval Date	HLR Approval Status	RO Approval	Emp Ack	Emp Ack Date	Communication Date Method	Other Communication Method
<input type="button" value="Request"/>			<input type="button" value="Approve"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>

[Return to Performance Management As Rating Official](#)

4

The HLR submission screen shows your name as the first approver, and your default higher level reviewer from the self-service hierarchy on Line No. 2.

If this is the correct HLR, go to step 9. If not, click the **triangle** button next to “Add Adhoc Approver” and continue with step 5 below.

Submit to Higher Level Approver for Performance Plan Review

* Indicates required field

Line No	Approver	Approver Group	Category	Status	Delete
1	Averette, Les M		Approver	PENDING	<input type="button" value="Delete"/>
2	Vanhecke, Gus K		Approver	PENDING	<input type="button" value="Delete"/>

Notification Message to Higher Level Reviewer

Your message, and click Submit

- 5 The “Add Adhoc Approver” section displays. Type in the name of the new HLR, followed by the wild card (%), then click the flashlight icon. Format for searching is Last Name (comma) First Name (or initial) (wildcard %). In this example, I am searching for Troy Cressman:

Approvers

Line No	Approver	Approver Group	Category	Status	Delete
1	Averette, Les M		Approver	PENDING	
2	Vanhecke, Gus K		Approver	PENDING	

▼ Add Adhoc Approver

Approver Type: HR People

Approver: Cressman, T%

Category: Approver

Insertion Point: Averette, Les M

1. Type last name, first initial of HLR followed by %

2. Click search icon

- 6 A list of matching names will display. When you locate the correct name on the matching list, click the “Quick Select” icon. (If the name is not there, try modifying your search criteria (e.g., leave off the first initial, just search on the last name followed by the wild card.)

Search and Select: Approver

Search

Enter a value in the text field, then select the Go button. You may use the "%" as a wildcard.

Search By: Name Cressman, T%

Results

Select	Quick Select	Name	Job Title	Organization	Business Group	Email
<input type="radio"/>		Cressman, Tracey G	0525.Accounting Technician (0525)	ROME OPLOC DD35N70000 01	CIVDODHR	
<input type="radio"/>		Cressman, Troy G	0201.Human Resources Specialist (NSPS)	USA CIV PERSONNEL OPS CTR, SOUTH CENT ARSEW6D6AA 01	CIVDODHR	

- 7 The new name will display in the Approver block. Click the <Add> button to proceed:

Approvers

Line No	Approver	Approver Group	Category	Status	Delete
1	Averette, Les M		Approver	PENDING	
2	Vanhecke, Gus K		Approver	PENDING	

▼ Add Adhoc Approver

Approver Type: HR People

Approver: Cressman, Troy G

Category: Approver

Insertion Point: Averette, Les M

New Higher Level Reviewer's name

New HLR will appear after the Insertion Point name

Click <Add> button

8

The new higher level reviewer's name has now replaced the former HLR:

Approvers					
Line No	Approver	Approver Group	Category	Status	Delete
1	Averette, Les M		Approver	PENDING	
2	Cressman, Troy G			PENDING	

New HLR replaces former HLR

[Add Adhoc Approver](#)

9

Click the <Submit> button to transfer the performance plan to the listed higher level reviewer (note, in this illustration I have restored the original higher level reviewer):

Submit to Higher Level Approver for Performance Plan Review

* Indicates required field

Approvers					
Line No	Approver	Approver Group	Category	Status	Delete
1	Averette, Les M		Approver	PENDING	
2	Vanhecke, Gus K		Approver	PENDING	

[Add Adhoc Approver](#)

Notification Message to Higher Level Reviewer

Enter your message, and click Submit

10

Click <Yes> on the "warning" screen:

Warning

Do you wish to submit the performance plan to the higher level reviewer?

11

Now the performance plan status shows "Pending HRL Approval," and the pencil is grayed out:

Plans/Appraisals in Progress

Filter: All Appraisals




Create: Performance Plan

Previous 1-5 Next 5

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Higher Level Reviewer

The Higher Level Reviewer performs the following steps when a Performance Plan has been transferred from the rating official:

Step	Action																																																																		
1	<p>Log into My Biz, then select “My Workplace,” and “NSPS Appraisals (My Workplace)”:</p> 																																																																		
2	<p>On the Performance Management as Rating Official screen, locate the performance plan that you are going to review. If you have more than 5, use the “Next 5” link to page through the list.</p>  <p>You will notice that performance plans that are awaiting your review will be in the status of “Pending HLR Approval.” Click the blue pencil icon to display the plan:</p>  <table border="1" data-bbox="285 1098 1515 1388"> <thead> <tr> <th colspan="11">Performance Management As Rating Official</th> </tr> <tr> <th colspan="11">Plans/Appraisals in Progress</th> </tr> <tr> <td colspan="6">Filter: All Appraisals</td> <td colspan="5">Create: Performance Plan <input type="button" value="Go"/></td> </tr> <tr> <th>Initiator</th> <th>Employee</th> <th>Appraisal Effective Date</th> <th>Plan Approval Date</th> <th>Plan Phase</th> <th>Appraisal Status</th> <th>Details</th> <th>Appraise</th> <th>Delete</th> <th>Close</th> <th>Print</th> </tr> </thead> <tbody> <tr> <td>Hillan, Shanel B</td> <td>Hillan, Shanel B</td> <td>01-Jan-2008</td> <td></td> <td>Pending HLR Approval</td> <td>Ongoing</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Averette, Les M</td> <td>Fluegel, Piedad Z</td> <td>01-Jan-2007</td> <td>06-Nov-2006</td> <td>Approved</td> <td>Pending Approval</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Performance Management As Rating Official											Plans/Appraisals in Progress											Filter: All Appraisals						Create: Performance Plan <input type="button" value="Go"/>					Initiator	Employee	Appraisal Effective Date	Plan Approval Date	Plan Phase	Appraisal Status	Details	Appraise	Delete	Close	Print	Hillan, Shanel B	Hillan, Shanel B	01-Jan-2008		Pending HLR Approval	Ongoing						Averette, Les M	Fluegel, Piedad Z	01-Jan-2007	06-Nov-2006	Approved	Pending Approval					
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3 When the performance plan displays, you can review the job objectives using the “Show All Details” link (to display all the objectives at once), or the individual “Show” links next to each objective:

Job Objectives

Show All Details | Hide All Details

Details	Job Objective Title	Status	Optional Weight (%)	Adjusted Weight (%)	Job Objective Rating	Contributing Factor Impact	Adjusted Rating	Weighted Rating
Show	Obj 1 Special Projects	APPROVED	35					
Show	Obj 2 Training Delivery	APPROVED	15					
Show	Obj 3 - Develop training	APPROVED	30					
Show	Obj 4 Advisory Services	APPROVED	20					

4 You have two options after reviewing the plan: Approve the plan, or return it to the rating official:

Two options: approve or return

Details: Higher Level Approver Review for Performance Plan

5 The same screen displays regardless of the option selected:

HLR Notification Message to Rating Official

Enter your message, and click Submit

If you are returning the plan for correction, enter your comments here - or use other means to notify the rating official as to why you are returning the plan

Click the <Submit> button

6 If you are approving the plan, click <Yes> on the warning screen:

Warning

Do you wish to approve the Performance Plan of Record?

7 The plan has now been transferred back to the rating official.

Transfer to Employee for Acknowledgement

Once the Higher Level Reviewer has approved the plan, you need to transfer it to the employee to get their acknowledgement:

1 On the Performance Management as Rating Official screen, locate the performance plan that has been approved by the Higher Level Reviewer, and click the blue pencil to open it:

Performance Management As Rating Official

Plans/Appraisals in Progress

Filter: All Appraisals [v] Create: Performance Plan [v] Go

Previous 1-5 Next 5 >

Initiator	Employee	Appraisal Effective Date	Plan Approval Date	Plan Phase	Appraisal Status	Details	Appraise	Delete	Close	Print
Averette, Les M	Fridell, Anderson D	01-Jan-2008	05-Mar-2007	Approved	Ongoing	[Details]	[Pencil]	[Trash]	[X]	[Print]
Averette, Les M	Grahl, Annetta V	01-Jan-2008	15-Nov-2006	Modified	Ongoing	[Details]	[Pencil]	[Trash]	[X]	[Print]
Hillan, Shanel B	Hillan, Shanel B	01-Jan-2008		Approved by HLR	Ongoing	[Details]	[Pencil]	[Trash]	[X]	[Print]

2 Click the *<Transfer to Employee>* button:

Cancel Save and Continue **Transfer to Employee** Continue

3 Click the *<Submit>* button (either one):

Share Appraisal Details with Employee [Cancel] [Submit]

Details to be Shared with Employee
 Select appraisal components completed by the rating official to share with the employee.
 Objective Ratings and Comments

Employee Permissions
 Indicate whether the employee can update plan/appraisal.
 Update Plan/Appraisal

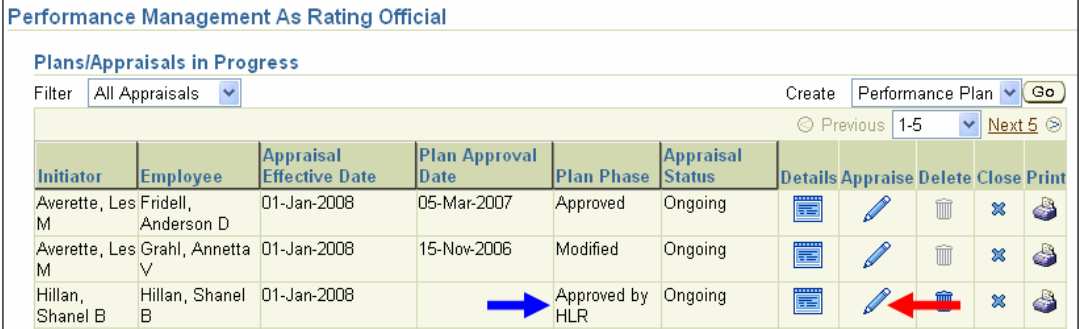
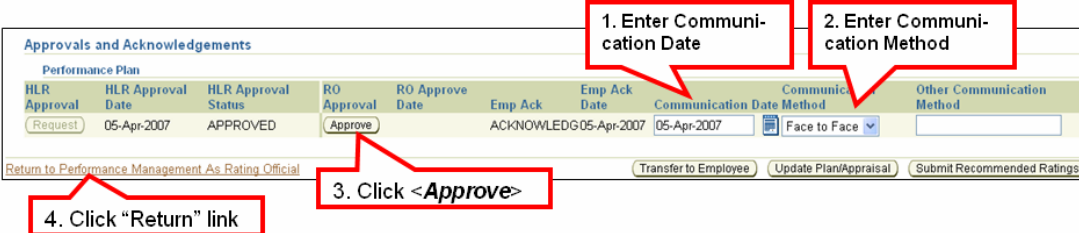
Notification Message to Employee
 Enter your message, and click Submit to share the appraisal with the employee.

[Text Area]

[Cancel] **Submit**

Approve the Performance Plan

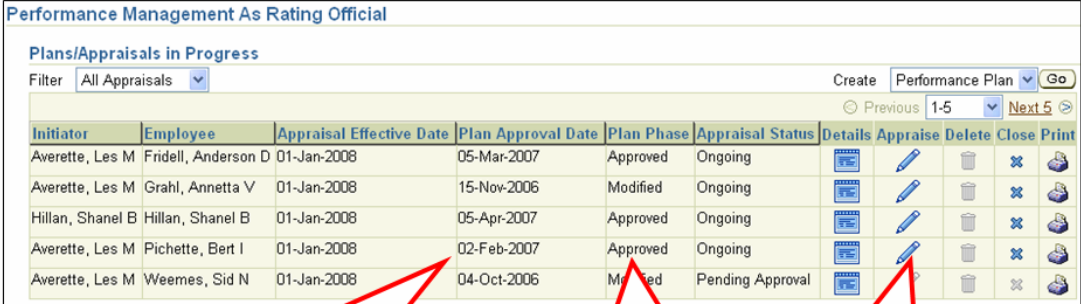
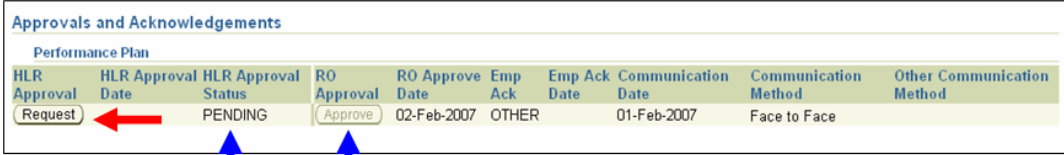
Once the employee has acknowledged the plan and transferred it back to you, you document the date and manner of communication, and approve the overall plan. Follow these steps:

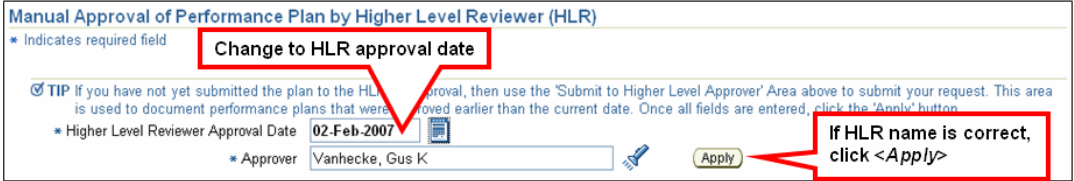

Step	Action																																												
1	<p>On the Performance Management as Rating Official screen, locate the performance plan that has been approved by the Higher Level Reviewer and acknowledged by the employee, and click the blue pencil to open it:</p>  <p>Performance Management As Rating Official</p> <p>Plans/Appraisals in Progress</p> <p>Filter: All Appraisals <input type="button" value="Create"/> Performance Plan <input type="button" value="Go"/></p> <p>Previous 1-5 Next 5</p> <table border="1"> <thead> <tr> <th>Initiator</th> <th>Employee</th> <th>Appraisal Effective Date</th> <th>Plan Approval Date</th> <th>Plan Phase</th> <th>Appraisal Status</th> <th>Details</th> <th>Appraise</th> <th>Delete</th> <th>Close</th> <th>Print</th> </tr> </thead> <tbody> <tr> <td>Averette, Les M</td> <td>Fridell, Anderson D</td> <td>01-Jan-2008</td> <td>05-Mar-2007</td> <td>Approved</td> <td>Ongoing</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Averette, Les M</td> <td>Grahl, Annetta V</td> <td>01-Jan-2008</td> <td>15-Nov-2006</td> <td>Modified</td> <td>Ongoing</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Hillan, Shanel B</td> <td>Hillan, Shanel B</td> <td>01-Jan-2008</td> <td></td> <td>Approved by HLR</td> <td>Ongoing</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Initiator	Employee	Appraisal Effective Date	Plan Approval Date	Plan Phase	Appraisal Status	Details	Appraise	Delete	Close	Print	Averette, Les M	Fridell, Anderson D	01-Jan-2008	05-Mar-2007	Approved	Ongoing						Averette, Les M	Grahl, Annetta V	01-Jan-2008	15-Nov-2006	Modified	Ongoing						Hillan, Shanel B	Hillan, Shanel B	01-Jan-2008		Approved by HLR	Ongoing					
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2	<p>Scroll to the Approvals and Acknowledgements section at the bottom of the screen. Enter the Communication Date (the date you talked with the employee) and the method (usually face-to-face). Then click the <Approve> button. Important: Make sure you complete these two items <u>before</u> clicking the <Approve> button.</p> <p>Note: The date you enter in the Communication Date field becomes the Performance Plan Approval Date. A performance plan is considered to be approved after the higher level review is completed and the rating official has communicated the plan to the employee in writing.</p>  <p>Approvals and Acknowledgements</p> <p>Performance Plan</p> <table border="1"> <thead> <tr> <th>HLR Approval</th> <th>HLR Approval Date</th> <th>HLR Approval Status</th> <th>RO Approval</th> <th>RO Approve Date</th> <th>Emp Ack</th> <th>Emp Ack Date</th> <th>Communication Date</th> <th>Communication Method</th> <th>Other Communication Method</th> </tr> </thead> <tbody> <tr> <td><input type="button" value="Request"/></td> <td>05-Apr-2007</td> <td>APPROVED</td> <td><input type="button" value="Approve"/></td> <td></td> <td>ACKNOWLEDG</td> <td>05-Apr-2007</td> <td>05-Apr-2007</td> <td>Face to Face</td> <td></td> </tr> </tbody> </table> <p>Return to Performance Management As Rating Official <input type="button" value="Transfer to Employee"/> <input type="button" value="Update Plan/Appraisal"/> <input type="button" value="Submit Recommended Ratings"/></p>	HLR Approval	HLR Approval Date	HLR Approval Status	RO Approval	RO Approve Date	Emp Ack	Emp Ack Date	Communication Date	Communication Method	Other Communication Method	<input type="button" value="Request"/>	05-Apr-2007	APPROVED	<input type="button" value="Approve"/>		ACKNOWLEDG	05-Apr-2007	05-Apr-2007	Face to Face																									
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3	<p>Click the “Return to Performance Management as Rating Official” link to return to the list of plans. The employee’s performance plan will now be in “Approved” status.</p>																																												

Documenting Higher Level Review (Approved Performance Plans)


This section is only for performance plans that were approved prior to the addition of the Higher Level Reviewer functionality.

If you have performance plans that were created and approved prior to the addition of the Higher Level Reviewer functionality in the Performance Appraisal Application (i.e., prior to Apr 2007), you need to document that the higher level reviewer has approved the performance plan, and the date of this approval. Once the plan is in “approved” status, you cannot route it to the higher level reviewer. Follow these steps to document the higher level review:

Step	Action
1	<p>On the Performance Management as Rating Official screen, locate the performance plan that was already in “approved” status and for which you need to document the higher level review. Click the blue pencil to open it:</p>  <p>Approval Date is prior to Apr 2007 Phase is “Approved” Click to open plan</p>
2	<p>Scroll to the Approvals and Acknowledgements area toward the bottom of the screen. The <Approve> button will be grayed out (because the plan has already been approved), and HLR Approval Status will be “Pending.” Click the <Request> button:</p> 

3	<p>On the “Manual Approval of Performance Plan by Higher Level Reviewer (HLR), change the approval date to whatever date the HLR actually approved the plan.</p> <p>If the Approver’s name is correct as shown (this name comes from the Self-Service Hierarchy), click the <Apply> button. If the name is not correct, see “Changing the HLR,” below.</p> 
4	<p>Select <Yes> on the warning screen:</p>  <p>You will then be returned to the Performance Management as Rating Official screen.</p>

Changing the Higher Level Reviewer

Step	Action
1	<p>To change the HLR to a different person, type in part of the name of the person using Last Name (comma) First Name followed by the % sign. In this example I am searching for Troy Cressman:</p> 

2	<p>A list of matching names will display. When you locate the correct name on the matching list, click the “Quick Select” icon. If the name is not there, try modifying your search criteria (e.g., leave off the first initial, just search on the last name followed by the wild card).</p> <div data-bbox="326 380 1401 800"> <p>Search and Select: Approver Cancel Select</p> <p>Search</p> <p>Enter a value in the text field, then select the Go button. You may use the "%" as a wildcard.</p> <p>Search By <input type="text" value="Name"/> <input type="text" value="Cressman, T%"/> <input type="button" value="Go"/></p> <p>Results</p> <table border="1"> <thead> <tr> <th>Select</th> <th>Quick Select</th> <th>Name</th> <th>Job Title</th> <th>Organization</th> <th>Business Group</th> <th>Email</th> </tr> </thead> <tbody> <tr> <td><input type="radio"/></td> <td></td> <td>Cressman, Tracey G</td> <td>0525.Accounting Technician (0525)</td> <td>ROME OPLOC DD35N70000 01</td> <td>CIVDODHR</td> <td></td> </tr> <tr> <td><input type="radio"/></td> <td></td> <td>Cressman, Troy G</td> <td>0201.Human Resources Specialist (NSPS)</td> <td>USA CIV PERSONNEL OPS CTR, SOUTH CENT ARSEW6D6AA 01</td> <td>CIVDODHR</td> <td></td> </tr> </tbody> </table> <p style="text-align: right;">Cancel Select</p> </div>	Select	Quick Select	Name	Job Title	Organization	Business Group	Email	<input type="radio"/>		Cressman, Tracey G	0525.Accounting Technician (0525)	ROME OPLOC DD35N70000 01	CIVDODHR		<input type="radio"/>		Cressman, Troy G	0201.Human Resources Specialist (NSPS)	USA CIV PERSONNEL OPS CTR, SOUTH CENT ARSEW6D6AA 01	CIVDODHR	
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3	<p>The new name will be displayed; click the <Apply> button:</p> <div data-bbox="326 890 1391 1106"> <p>Manual Approval of Performance Plan by Higher Level Reviewer (HLR)</p> <p>* Indicates required field</p> <p> TIP If you have not yet submitted the plan to the HLR for approval, then use the 'Submit to Higher Level Approver' Area above to submit your request. This area is used to document performance plans that were approved earlier than the current date. Once all fields are entered, click the 'Apply' button.</p> <p>* Higher Level Reviewer Approval Date <input type="text" value="02-Feb-2007"/> </p> <p>* Approver <input type="text" value="Cressman, Troy G"/> <input type="button" value="Apply"/></p> </div>																					
4	<p>Select <Yes> on the warning screen:</p> <div data-bbox="326 1163 1401 1266"> <p> Warning</p> <p>Do you wish to approve the Performance Plan of Record?</p> <p style="text-align: right;"><input type="button" value="No"/> <input type="button" value="Yes"/></p> </div> <p>You will then be returned to the Performance Management as Rating Official screen.</p>																					

Special Characters

Certain “special characters” are present in some assessments that were prepared and copied into the PAA from Microsoft Word. These include smart quotes, long dashes, and apostrophes among others. In the PAA, other characters are substituted for these characters whenever an appraisal is saved. For the most part, these are “cosmetic” issues that don’t affect the substance of the assessments, but in some cases, it may change the meaning of the text.

If you have special characters in the appraisal and want to remove them and replace them with their “non-special” equivalents (a hyphen for a long dash, regular straight quotes for “smart quotes,” etc.), you can search the text blocks for any of the characters shown below. The PAA will replace special characters with either �, or with a small box.

Region HRD newsletter. This publicatio
realm.

- From here on down I�m just :

-As one of two utilizrs of HTML in C
training schedule and edited a large port

Word

**�
(replaced apostrophe)**

This is an example of a – (dash) and a “quote” and how they’re returned
after saving.

**Perf Appr Appl after saving
Dash, quotes, apostrophe replaced**

|This is an example of a □ (dash) and a □quote□ and how they□re returned after saving.