**U.S. DEPARTMENT OF TRANSPORTATION**

**FEDERAL HIGHWAY ADMINISTRATION**

**PERFORMANCE APPRAISAL PLAN**

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| **Section 1 IDENTIFYING INFORMATION** | | | |
| **Name (Last, First, MI)** | | **Position Title/Pay Plan/Series/Grade**  Student Intern / GS 899-4 | |
| **Organization and Location**  DOT-FHWA-WFLHD – Vancouver, WA | | **Supervisory**   **Non-Supervisory** | |
| Appraisal Period 2013 | | From: To: | |
| **Section 1-A PERFORMANCE PLAN DISCUSSION** | | | |
| Signatures certify that the plan was discussed with the employee and the employee was provided a copy of this plan. | | | |
| **Employee Signature (Intern)** | | | **Date** |
| **Rating Official Signature (Project Engineer)** | | | **Date** |
| **Reviewing Official Signature (Construction Operations Engineer)** | | | **Date** |
| Employee Input into Development of Standards (Indicate whether supervisor solicited employee involvement):  Yes  No | | | |
| **Section 1-B MID-POINT REVIEW** | | | |
| Signatures certify that the employee’s progress toward meeting the job performance expectations was discussed with the employee. Section 4 may be used to document the Progress Review. | | | |
| **Employee Signature (Intern)** | | | **Date** |
| **Rating Official Signature (Project Engineer)** | | | **Date** |
| **Section 1-C SUMMARY PERFORMANCE RATING DETERMINATION** | | | |
| To assign the summary performance rating, select the highest level met based on the applicable criteria: *(See OA instructions)* | | | |
| Outstanding | Total Score: 2.7 – 3.0 (No CJE less than Exceeded Expectations) | | |
| Exceeded Expectations | Total Score: 1.7 – 2.69 (No CJE less than Achieved Results) | | |
| Achieved Results | Total Score: 1:00 – 1.69 (No CJE less than Achieved Results) | | |
| Unacceptable | One or more CJEs rated Unacceptable (Requires initiation of a Performance Improvement Plan (PIP) | | |
| Reason for Rating:  Annual Rating of Record  Employee Leaving Agency  Other (Specify) | | | |
| **Section 1-D ACKNOWLEDGEMENT** | | | |
| I acknowledge receipt of this rating; however, my signature on this form does not imply agreement or disagreement with the rating received or that I forfeit any rights of review. | | | |
| **Employee Signature (Intern)** | | | **Date** |
| **Rating Official Signature (Project Engineer)** | | | **Date** |
| **Reviewing Official Signature (Construction Operations Engineer)** | | | **Date** |

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| **Section 2 A** | | | | |
| The employee’s performance plan must include at least one critical element aligned with DOT, OA and/or organization/unit goals or objectives. | | | | |
| Enter appropriate DOT/OA/Organization/Unit strategic goal(s):  **WFL GOAL 1:** Effectively and efficiently, deliver our portfolio of quality projects, products and services. | | | | |
| **Section 2-A Job Element** | | | | |
| JOB ELEMENT 1 OF 4 | | Critical | Non-Critical | Weight : 41% |
| Insert the Primary work assignment or responsibility of the employee that supports the achievement of the goal(s)/objective(s) above per instructions. Additional job elements should be attached using Form DOT-430a. | | | | |
| Project management and administration of construction projects. | | | | |
| **Section 2-B Job Element Performance Standard(s)** | | | | |
| 1. **Customer Satisfaction > 85%** 2. Communicates and acts in a manner consistent with the WFLHD’s and the Project Engineer's decisions or positions. 3. When interacting with the owner and traveling public, acts in a professional manner. 4. **Contract Administration Rating** 5. Understands the plans, specifications, and special contract requirements, and applies them to the assigned element of work.    * 1. First year student interns should only be required to read FAR 52-243-4 Changes      2. As the student gains experience, they should read the remainder of the FAR clauses. 6. Project Documentation. Knows and follows the Construction Manual and Field Note Samples Manual when preparing or reviewing project documentation (contractor daily reports, schedules, pay notes, inspector diaries, and photos). Prepares neat and legible documents. 7. Track internship on-the-job training progress in the checklist below. (The checklist is intended to track progress, and not intended for use to rate performance.)  |  |  |  |  |  | | --- | --- | --- | --- | --- | | **Contract Administration: On-the-Job Training Checklist**  (Place a checkmark in the “Training Acquired” box, no dates are required. Provide comments in the “Remarks” box as needed for clarification.) | | | | | | **Category** | **Skill/Knowledge** | **Training Acquired**  (Mid-Point) | **Training Acquired**  (Final Eval) | **Remarks**  (Furnish meaningful comments about the employees work experience and identify additional training needs) | | **Contract basics** | Read & Understand Standard Specifications |  |  |  | |  | Read & Understand Special Contract Requirements |  |  |  | |  | Review Contract Plans |  |  |  | |  | Read & Understand 52.243-4 Changes (First Year) |  |  |  | |  | Read & Understand FAR Clauses |  |  |  | | **Inspector diary** | Record Discussion With Contractor's Superintendent, Foremen, QC Manager |  |  |  | |  | Record Facts, Not Opinions |  |  |  | |  | Record Safety Problems |  |  |  | |  | Provide Project Photos To Document Work Performed And Changes |  |  |  | | **Contractor dailies & weekly reports** | Review Contractor's Daily Record For Accuracy, Work Performed, Hours Equipment And Labor Worked, Location Of Work |  |  |  | |  | Review Contractor's Daily Quality Control Report |  |  |  | |  | Review Pay Note Quantities |  |  |  | |  | Review TSS Inspection Reports |  |  |  | |  | Review Davis-Bacon Wages/Contractor Payrolls |  |  |  | | **Contract Modification** | Prepare Request For Proposal |  |  |  | |  | Prepare Independent Gov. Estimate (IGE) |  |  |  | |  | Prepare Procurement Request |  |  |  | |  | Prepare Price Negotiation Memo |  |  |  | |  | Prepare SF-30, SF-30a, WFLHD-10 |  |  |  | |  | Prepare Complete CM Package For Submittal To The COE And Contractor |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | | **Contract Administration: On-the-Job Training Checklist**  (Place a checkmark in the “Training Acquired” box, no dates are required. Provide comments in the “Remarks” box as needed for clarification.) | | | | | | **Category** | **Skill/Knowledge** | **Training Acquired**  (Mid-Point) | **Training Acquired**  (Final Eval) | **Remarks**  (Furnish meaningful comments about the employees work experience and identify additional training needs) | | **Progress Estimate** | Provide Summary Of Quantities To Project Engineer |  |  |  | | Input Quantities Into Progress Estimate |  |  | | Generate A Complete Progress Estimate |  |  | | **Correspondence** | Prepare Letters To The Contractor |  |  |  | | Awareness Of Project Correspondence |  |  | | **Construction schedule** | Understand Contract Restrictions/Work Windows |  |  |  | | Review Written Narrative |  |  | | Review CPM/BCM Schedule |  |  | | Check Production Rates, Time Frame For The Work |  |  | | Prepare Acceptance/Rejection Letter |  |  | | **Contractor QC Plan** | Review Contract Items For Acceptance Of Work, Testing, Sampling, Certification |  |  |  | | Verify QC Plan Is In Accordance With Contract Requirements |  |  | | Review Qualifications Of The QC Manager |  |  |  1. **Contractor Relations**    1. Provides clear and thorough responses to contractor's questions and behaves in a professional and ethical manner during interactions with the contractor.  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | | **Job Element 1 – Progress Performance Rating** | | | | | | | |  |  | Outstanding | Exceeded Expectations | Achieved Results | Unacceptable\* | **Remarks**  (Furnish meaningful comments about the employees work experience and identify additional training needs) | | 1 | Overall Contract Administration Understanding / Knowledge |  |  |  |  |  | | 2 | Note or Record Keeping |  |  |  |  |  | | 3 | Interaction with Client/Public |  |  |  |  |  | | 4 | Contractor Relations |  |  |  |  |  |   *\*Individual elements with a rating of “Unacceptable” REQUIRE further explanation in the Remarks section.* | | | | |
| **Section 2-C Job Element Overall Rating** | | | | |
| Outstanding | Exceeded Expectations | | Achieved Results | Unacceptable |
| **Section 2-D Narrative Summary of Performance** | | | | |
| In support of the rating above, describe specific examples of actual performance above or below the Achieved Results Level. If additional space is needed, please provide attachments. | | | | |

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| **Section 2 A** | | | | |
| The employee’s performance plan must include at least one critical element aligned with DOT, OA and/or organization/unit goals or objectives. | | | | |
| Enter appropriate DOT/OA/Organization/Unit strategic goal(s):  **WFL GOAL 2:** Ensure a high performing workforce to meet today’s and tomorrow’s challenges | | | | |
| **Section 2-A Job Element** | | | | |
| JOB ELEMENT 2 OF 4 | | Critical | Non-Critical | Weight : 41% |
| Insert the Primary work assignment or responsibility of the employee that supports the achievement of the goal(s)/objective(s) above per instructions. Additional job elements should be attached using Form DOT-430a. | | | | |
| On the Job Training Elements for Technical, Safety & Environment. | | | | |
| **Section 2-B Job Element Performance Standard(s)** | | | | |
| 1. **Technical Knowledge**    1. Inspects specific work elements, identifies non-complying work, and notifies the Project Engineer.    2. Uses survey equipment (construction level, hand level, tape, etc.) to verify construction staking, and documents data appropriately.    3. For any given operation, identifies the appropriate test methods, sampling procedures, frequency, point of sampling and reporting times. Prepares the verification samples for shipping and completes the "Request for Lab Testing" form.    4. Track internship on-the-job training progress in the checklist below. (The checklist is intended to track progress, and not intended for use to rate performance.)  |  |  |  |  |  | | --- | --- | --- | --- | --- | | **Technical Knowledge: On-the-Job Training Checklist**  (Place a checkmark in the “Training Acquired” box, no dates are required. Provide comments in the “Remarks” box as needed for clarification.) | | | | | | **Category** | **Skill/Knowledge** | **Training Acquired**  (Mid-Point) | **Training Acquired**  (Final Eval) | **Remarks**  (Furnish meaningful comments about the employees work experience and identify additional training needs) | | **Earthwork** | Understand Proctor Test Reports, Unit Weight, Moisture, Maximum Density |  |  |  | | Knows When Compaction Tests Are Required |  |  | | Knows Compaction Equipment Requirements When Testing Cannot Be Done |  |  | | Understand/Observe The Use Of Nuclear Gauges |  |  | | Review Geotech Report For Problem Areas |  |  | | Understand Soil Classifications |  |  | | Check Embankment Construction: Lift Thickness, Shaping, Ditches, Etc. |  |  | | Knowledge Of Equipment Capabilities |  |  | | **Rock blasting** | Understand Blasting Plan |  |  |  | | Knowledge Of Controlled Blasting |  |  | | Knowledge Of Production Blasting |  |  | | **Riprap** | Knowledge Of Riprap Material Specifications |  |  |  | | Check Placed Riprap |  |  | | Check Keyed Riprap |  |  | | **Retaining walls** | Review Plans For Proper Layout, Centerline Offset, Elevation |  |  |  | | Review Backfill Material Requirements, Compaction Requirements, Lift Thickness, Etc. |  |  | | Review Materials Certification Requirements: Wall Material, Geotextile Fabric, Etc. |  |  | | Review Wall Material Connection Requirements, Lapping Requirements, Wall Batter Requirements |  |  | | Review Shop Drawings |  |  | | **Base placement** | Understand Humphres Test Report, Unit Weight, Moisture Content |  |  |  | | Verify That Gradation Samples Are Taken In Accordance With Contract Requirements |  |  | | Knows When Compaction Tests Are Required |  |  | | Compute Yield |  |  | | Check Surface Tolerance |  |  | | Understand Acceptance Requirements (Section 106) |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | | **Technical Knowledge: On-the-Job Training Checklist**  (Place a checkmark in the “Training Acquired” box, no dates are required. Provide comments in the “Remarks” box as needed for clarification.) | | | | | | **Category** | **Skill/Knowledge** | **Training Acquired**  (Mid-Point) | **Training Acquired**  (Final Eval) | **Remarks**  (Furnish meaningful comments about the employees work experience and identify additional training needs) | | **Paving placement** | Understand Mix Design: % Oil, Density Requirement |  |  |  | | Verify That Mix, Core, And Asphalt Cement Samples Are Taken In Accordance With Contract Requirements |  |  | | Knows When Compaction Tests Are Required |  |  | | Compute Yield |  |  | | Understand IRI/Profilograph/Straightedge Specifications |  |  | | Understand Acceptance Requirements (Section 106) |  |  | | **Concrete placement** | Review Mix Design And Admixture Information |  |  |  | | Verify That Compressive Strength, Air Content, And Slump Samples Are Taken In Accordance With Contract Requirements |  |  | | Understand Placement And Consolidation Methods |  |  | | Understand Temperature Restrictions |  |  | | Understand Finishing Methods (Class 1 - 7) |  |  | | Understand Curing Methods |  |  | | Understand Acceptance Requirements (Section 106) |  |  | | **Bridge work** | Knowledge Of Pile Driving Equipment |  |  |  | | Understand Reinforcing Steel Drawings |  |  | | Understand Temporary Works Drawings And Construction |  |  | | Understand Steel Structure Erection |  |  | | Understand Steel/Precast Concrete Girder Installation |  |  | | Understand Elements Of Concrete Placement |  |  | | **Culvert installation** | Review Pipe Certifications |  |  |  | | Knows When Compaction Tests Are Required |  |  | | Review Inlet/Outlet Treatment |  |  | | Check Culvert Installation For: Alignment Of Pipe, Pipe Connection Bands Properly Installed, Backfilled Completely Around Pipe, Lift Thickness, Invert Elevations, Etc. |  |  | | **Guardrail** | Understand Plan Drawings And Manufacturer Drawings |  |  |  | | Understand Installation Tolerances And Industry Practices |  |  | | **Turf establishment** | Understand Contract Requirements |  |  |  | | Review Certifications: Seed, Fertilizer |  |  | | Compute Capacity Of Hydro Seeder, Compute Load Mixture, Compute Quantities Applied |  |  | | **Traffic Control** | Review MUTCD Manual |  |  |  | | Inspect Temporary Traffic Control Placement |  |  | | Understand Permanent Traffic Control Requirements, Sign Placement, Pavement Markings, Etc. |  |  | | **Survey** | Operate Survey/Data Collection/Computation Instruments |  |  |  | | Check Control Points/Relocated Cps By Running Level Loop |  |  | | Set Temporary Benchmarks |  |  | | Check Slope Stakes |  |  | | Check Culvert Design And Staking |  |  | | Check Hubs: Subgrade And Aggregate Base |  |  | | Check Subgrade Profile With Swede Set |  |  | | Check The Layout Of Structures |  |  | | Review Cross-Sections For Added Widening, Turnouts, Breaks In Slope, Etc. |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | | **Technical Knowledge: On-the-Job Training Checklist**  (Place a checkmark in the “Training Acquired” box, no dates are required. Provide comments in the “Remarks” box as needed for clarification.) | | | | | | **Category** | **Skill/Knowledge** | **Training Acquired**  (Mid-Point) | **Training Acquired**  (Final Eval) | **Remarks**  (Furnish meaningful comments about the employees work experience and identify additional training needs) | | **Concrete** | Check Concrete Batch Tickets, W/C Ratio |  |  |  | | Check Test Reports: Air Content, Slump, Compressive Strength |  |  | | Understand Proper Curing Of Samples |  |  | | **QL-Pay** | Setup Files For 106.05 Items |  |  |  | | Enter Test Reports |  |  | | Generate Random Numbers For Sampling |  |  | | Prepare Samples And Request For Test Form For Shipping |  |  | | **Aggregate base** | Check Test Reports: Sieve Analysis, SE |  |  |  | | Check Test Report: Humphres Test |  |  | | Check Compaction Test Reports |  |  | | **Paving** | Check Test Reports: Gradation, Percent Of Oil, SE Reports |  |  |  | | Check Compaction Test Reports |  |  | | Check Certifications For Asphalt Cement |  |  |  1. **Safety**    1. Participates in weekly safety meetings with project staff. Reads the safety chapter of the construction manual.    2. Operates vehicle in a safe and responsible manner. Recognizes potential hazards in the work and wears proper personal protective equipment. Knows where to park, where to stand, and where not to stand.    3. New Employee Orientation. (First-Year Interns must view safety DVD's within two weeks of arriving on the project.)    4. Appropriate use of Cell Phone (Work Zone safety, NO TEXTING, Hands Free Device usage).    5. Track internship on-the-job training progress in the checklist below. (The checklist is intended to track progress, and not intended for use to rate performance.)  |  |  |  |  |  | | --- | --- | --- | --- | --- | | **Safety: On-the-Job Training Checklist**  (Place a checkmark in the “Training Acquired” box, no dates are required. Provide comments in the “Remarks” box as needed for clarification.) | | | | | | **Category** | **Skill/Knowledge** | **Training Acquired**  (Mid-Point) | **Training Acquired**  (Final Eval) | **Remarks**  (Furnish meaningful comments about the employees work experience and identify additional training needs) | | **Orientation** | Read Safety Chapter Of The Construction Manual |  |  |  | | Watch Work Zone Safety Dvds |  |  | | **Personal Protective Equipment** | Understand And Proper Use Of Standard Personal Protective Equipment (Hard Hat, Safety Vest, Earplugs, Safety Glasses) |  |  | | Recognize Unique Hazards That Require Special PPE (Climbing Harnesses, Respirators, Etc) |  |  | | **Accident Plan** | Review Contractor’s Accident Prevention Plan |  |  |  1. **Environment**    1. Reviews erosion control plans. Ensures erosion control devices are installed according to the plans and the SWPPP.    2. Track internship on-the-job training progress in the checklist below. (The checklist is intended to track progress, and not intended for use to rate performance.)  |  |  |  |  |  | | --- | --- | --- | --- | --- | | **Environment: On-the-Job Training Checklist**  (Place a checkmark in the “Training Acquired” box, no dates are required. Provide comments in the “Remarks” box as needed for clarification.) | | | | | | **Category** | **Skill/Knowledge** | **Training Acquired**  (Mid-Point) | **Training Acquired**  (Final Eval) | **Remarks**  (Furnish meaningful comments about the employees work experience and identify additional training needs) | | **Plans, permits, & monitoring** | Review Environmental Permits |  |  |  | | Review Erosion Control Plan |  |  | | Review In-Stream Work Window(S) |  |  | | Conduct inspections and prepare documentation for  SWPPP Binder |  |  | | Understand Best Management Practices |  |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | | **Job Element 2 – Progress Performance Rating** | | | | | | | |  |  | Outstanding | Exceeded Expectations | Achieved Results | Unacceptable\* | **Remarks**  (Furnish meaningful comments about the employees work experience and identify additional improvement opportunities) | | 1 | Technical Knowledge |  |  |  |  |  | | 2 | Safety: Work Zone, Site |  |  |  |  |  | | 3 | Safety: Driving |  |  |  |  |  | | 4 | Environmental Knowledge |  |  |  |  |  | | 5 | Care of Equipment |  |  |  |  |  |   *\*Individual elements with a rating of “Unacceptable” REQUIRE further explanation in the Remarks section.* | | | | |
| **Section 2-C Overall Job Element Rating** | | | | |
| Outstanding | Exceeded Expectations | | Achieved Results | Unacceptable |
| **Section 2-D Narrative Summary of Performance** | | | | |
| In support of the rating above, describe specific examples of actual performance above or below the Achieved Results Level. If additional space is needed, please provide attachments. | | | | |

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| **Section 2 A** | | | | |
| The employee’s performance plan must include at least one critical element aligned with DOT, OA and/or organization/unit goals or objectives. | | | | |
| Enter appropriate DOT/OA/Organization/Unit strategic goal(s):  **WFL Business Plan Values -** We hold ourselves to the highest personal and business standards | | | | |
| **Section 2-A Job Element** | | | | |
| JOB ELEMENT 3 OF 4 | | Critical | Non-Critical | Weight : 9% |
| Insert the Primary work assignment or responsibility of the employee that supports the achievement of the goal(s)/objective(s) above per instructions. Additional job elements should be attached using Form DOT-430a. | | | | |
| **Personal Leadership**  **Accountability** – Is fully committed to the organization and carries through with commitments. Takes ownership of choices and action and resulting outcomes.  **Communications** – Keeps others informed of elements affecting them. Effectively communicates with co-workers.  **Initiative** – Recognizes and takes action to address issues. Seeks solutions to problems. Demonstrates a sense of responsibility for overall success of projects, products, and services. Displays a sense of ownership about the success of the organization. Takes initiative to seek information and answers rather than wait.  **Learning and Growth** – Takes personal responsibility for their own career by identifying skills, knowledge, experience, and learning necessary to advance and excel. | | | | |
| **Section 2-B Job Element Performance Standard(s)** | | | | |
| 1. Commitments are achieved. Shows personal accountability for successes and action for things that need further work. 2. Proactively communicates status of activities. Takes responsibility for assuring work teams and co-workers are aware of issues. 3. Takes care of problems rather than just point them out. Works cordially with others who are contributing to the same result. 4. Initiates and establishes personal growth and career path plans. Includes on-the-job training opportunities, other learning and informal educational opportunities in addition to formal education, and actively pursues stated objectives.  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | | **Job Element 3 – Progress Performance Rating** | | | | | | | |  |  | Outstanding | Exceeded Expectations | Achieved Results | Unacceptable\* | **Remarks**  (Furnish meaningful comments about the employees work experience and identify additional improvement opportunities) | | 1 | Accountability |  |  |  |  |  | | 2 | Communication |  |  |  |  |  | | 3 | Initiative |  |  |  |  |  | | 4 | Learning & Growth |  |  |  |  |  |   *\*Individual elements with a rating of “Unacceptable” REQUIRE further explanation in the Remarks section.* | | | | |
| **Section 2-C Overall Job Element Rating** | | | | |
| Outstanding | Exceeded Expectations | | Achieved Results | Unacceptable |
| **Section 2-D Narrative Summary of Performance** | | | | |
| In support of the rating above, describe specific examples of actual performance above or below the Achieved Results Level. If additional space is needed, please provide attachments. | | | | |

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| **Section 2 A** | | | | |
| The employee’s performance plan must include at least one critical element aligned with DOT, OA and/or organization/unit goals or objectives. | | | | |
| Enter appropriate DOT/OA/Organization/Unit strategic goal(s):  **Portfolio of quality projects, products and services; High-performing workforce; Safety of projects and operations; Sustainable practices; Position WFL for the future** | | | | |
| **Section 2-A Job Element** | | | | |
| JOB ELEMENT 4 OF 4 | | Critical | Non-Critical | Weight : 9% |
| Insert the Primary work assignment or responsibility of the employee that supports the achievement of the goal(s)/objective(s) above per instructions. Additional job elements should be attached using Form DOT-430a. | | | | |
| **Teamwork:** Works together cohesively, creating a great spirit and working atmosphere, and supporting others so that strengths combine to enhance what the employee does. Values an atmosphere of mutual support and trust, working together cohesively, with good inter-group relations. Combines strengths with a shared commitment to performance, it's not just about getting along well together. | | | | |
| **Section 2-B Job Element Performance Standard(s)** | | | | |
| 1. Collaboration: Focuses on free and open information sharing. Expresses ideas and the logic behind them, listens to the ideas of others, and works in good faith toward a synthesis of all team members’ ideas. 2. Communication: Demonstrates good listening skills, and verbalizes ideas convincingly to others, prepares accurate team reports, and uses appropriate business language. Addresses personal conflicts as they arise, and manages them before they become distraction. 3. Commitment to Teamwork: Understands, accepts, and implements team decisions and individual assignments. Makes sacrifices for the success of the team. Demonstrates interest and involvement in the team. Quickly responds to questions raised and in getting answers back to the team. 4. Competence: Accentuates personal competencies for the benefit of the team.   5. Leadership: Acts in the role of coach or facilitator, removes roadblocks for the team, uses planning and organizing skills, and establishes and/or promotes team norms.  6. Goal Focus: Focuses on team goals. Puts team's goal above any individual agenda.  7. Reliability: Trusts team members in a manner that is built on honesty, openness, consistency, and respect. Portrays confidence in team members’ work.   |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | | **Job Element 4 – Progress Performance Rating** | | | | | | | |  |  | Outstanding | Exceeded Expectations | Achieved Results | Unacceptable\* | **Remarks**  (Furnish meaningful comments about the employees work experience and identify additional improvement opportunities) | | 1 | Dependability |  |  |  |  |  | | 2 | Attendance |  |  |  |  |  | | 3 | Leadership |  |  |  |  |  | | 4 | Teamwork Aptitude |  |  |  |  |  | | | | | |
| **Section 2-C Job Element Rating** | | | | |
| Outstanding | Exceeded Expectations | | Achieved Results | Unacceptable |
| **Section 2-D Narrative Summary of Performance** | | | | |
| In support of the rating above, describe specific examples of actual performance above or below the Achieved Results Level. If additional space is needed, please provide attachments. | | | | |

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| **Section 3 TRAINING IDENTIFICATION AND CAREER DEVELOPMENT (Optional)** |
| Identify technical and/or management training that could assist the employee in improving job performance. This may also be an appropriate opportunity to discuss and note developmental assignments, cross training or other career development activities, which would better prepare this employee to meet the needs of the organization. This section is optional based on OA program guidance. |
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| **Section 4 MID-POINT REVIEW DOCUMENTATION** |
| This section may be used by supervisor and employee to document discussions at the mid-point progress review to note changes in the performance plan and to record comments. Please note any areas in which the individual has excelled or needs improvement. |
| **STUDENT INTERN REMARKS**  Mid-Point Review: Furnish comments about the work performed during the evaluation period. Furnish suggestions and comments about the program and duties performed. Identify any goals in this section. Attach additional sheets if necessary.   |  | | --- | |  |   **PROJECT ENGINEER REMARKS**  Mid-Point Review: Furnish meaningful comments on significant factors that relate to the employee's proficiency and performance. Please note any areas in which the individual has excelled or needs improvement (identify improvement opportunities with clear goals to achieve improvement).   |  | | --- | |  | |

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| **Section 5 FINAL EVALUATION** |
| This section will be used by supervisor and employee to document discussions at the final review to note changes in the performance plan and to record comments. Please note any areas in which the individual has excelled or needs improvement. |
| **STUDENT INTERN REMARKS**  The final report: furnish comments about the work performed during the evaluation period. Furnish suggestions and comments about the program and duties performed. State your overall opinion of the assignment. Attach additional sheets if necessary.   |  | | --- | |  |   **PROJECT ENGINEER REMARKS**  Final Review: Furnish meaningful comments on significant factors that relate to the employee's proficiency and performance. This evaluation form is used for future placement and hiring guidance. Attach additional sheets if necessary.   |  | | --- | |  |   **CONSTRUCTION OPERATIONS ENGINEER REMARKS**  Final Review: Furnish meaningful comments on significant factors that relate to the employee's proficiency and performance. This evaluation form is used for future placement and hiring guidance. Attach additional sheets if necessary.   |  | | --- | |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | | **OVERALL –Performance Rating** | | | | | | | |  |  | Outstanding | Exceeded Expectations | Achieved Results | Unacceptable\* | **Remarks**  (Furnish meaningful comments about the employees work experience and identify additional improvement opportunities) | | 1 | Conduct |  |  |  |  |  | | 2 | Capability / Competence |  |  |  |  |  | | 3 | Capacity / Productivity |  |  |  |  |  | | 4 | Commitment / Continued FHWA Interest |  |  |  |  |  |   **PROJECT ENGINEER RECOMMENDATION**  (Check as appropriate) (Final Report Only)   |  |  | | --- | --- | | Re-employment **IS** recommended.  Re-employment recommended upon further management  evaluation.  Re-employment **IS NOT** recommended  (if not, please explain in REMARKS section above). |  | |  | Date Signature of Project Engineer | |

**Instructions for Completion of the DOT Performance Appraisal Plan**

**GENERAL:**

The DOT Performance Appraisal Plan (DPAP) establishes a systemic process for planning, monitoring, developing, and assessing supervisory and non-supervisory performance that contributes to achieving the Department’s Vision, Mission and goals. The DPAP ensures alignment with the Department’s goals, fairness and promotes a performance culture that focuses on two-way communication and accountability for results, and clearly differentiates between high and low performers.

These instructions are provided to assist managers/supervisors and non-supervisory employees understanding the components of the DOT Performance Management Process and complete form correctly. While the Department has implemented a standard performance appraisal plan form, the policy structure provides for flexibility to accommodate OA specific requirements.

A brief summary of the sections that need to be incorporated to performance appraisal plans follows (If any section is not used, document “ This section not used” or place an “X” through the unused section.):

**SECTION 1: IDENTIFYING INFORMATION,**

Documents completion of the actions required to execute the performance appraisal cycle. Enter employee name, position title, grade, series, organization, and appraisal period as indicated in the top portion of the form. The minimum appraisal period is 90 - 120 days, depending on OA program guidance.

***FHWA Policy on minimum appraisal period:*** *Under the Performance Management Program of the Federal Highway Administration, the minimum appraisal period is* ***90 days****.*

**SECTION 1-A: PERFORMANCE PLAN DISCUSSION**

Rating official and employee must sign and date this section when the performance requirements for the appraisal period have been established, discussed, and the plan is in place for execution. The discussion should address specific examples of performance required to meet the standards, as well as the consequences resulting from failing to meeting them. Forward the completed DPAP to the Reviewing Official for approval, if applicable per OA guidance, and provide employee with a copy of the Plan. Maintain original to document progress reviews and final ratings. A Work Plan is optional, but may be included to clarify performance standards and/or identify tasks and projects to be completed during the appraisal period.

***Employee Input into Development of Standards:*** In accordance with DPM Chapter 430, Performance Management, supervisors are responsible for involving employees in determining their responsibilities for achieving outcomes and the measures or indicators that will be used to track their performance. Employees are responsible for discussing work objectives with supervisors and understanding work requirements. This section documents whether the supervisor solicited employee involvement in the development of the performance appraisal plan. NOTE: The Rating and Reviewing Officials have final authority regarding the substance of the performance plan.

**SECTION 1-B: MID-YEAR REVIEW**

A minimum of one progress review must be conducted during the appraisal period, generally at the mid-point of the appraisal period. The Rating Official will discuss the employee’s performance to date; provide feedback on his/her progress in accomplishing the performance requirements described in the performance plan; discuss training and developmental opportunities; and provide, when necessary, advice and assistance on how to improve his/her performance. Rating official and employee must sign and date this section documenting completion of the progress review. The Rating Official and employee will initial and date each individual change to the plan and document changes in Section 4, Mid-year Review Documentation. If applicable, the Reviewing Official should also review and acknowledge the changes made in the plan during the appraisal period. Any written feedback or recommended training may be noted in Sections 3 and 4.

**SECTION 1-C: SUMMARY PERFORMANCE RATING DETERMINATION**

This section pertains to the overall summary performance rating given for the entire appraisal period. Indicate the single, overall level of achievement that best describes the employee’s performance for each element shown in Section 2. Assignment of the Outstanding level or Exceeded Expectations level means that Achieved Results performance standards have been significantly surpassed. Determine the overall summary rating by selecting the appropriate summary rating in accordance with DOT’s Generic Performance Standards described in DPM 430 and your OA program guidance. This rating becomes the final rating of record for the appraisal period. NOTE: OAs must complete this section with appropriate OA performance rating determination guidance.

***FHWA Instructions on Summary Performance Rating Determination:*** *The summary performance rating determination is based on the job element point average, with the additional requirement that the summary rating can be no more than one rating level higher than that of the lowest-rated critical job element. Additionally, if any critical job element is rated Unacceptable, the summary rating for the job as a whole must be Unacceptable.*

*An average value is determined, based on the rating level for each job element, and what percentage of the total plan is rated at that level. A rating score is assigned to each job element, as follows:*

* *Job element is rated Outstanding, rating score =* ***3****;*
* *Job element is rated Exceeded Expectations, rating score =* ***2****;*
* *Job element is rated Achieved Results, rating score =* ***1****;*
* *Job element is rated Unacceptable, rating score =* ***0****. If the job element rated Unacceptable is a* ***critical*** *element, the summary rating is* ***Unacceptable****, regardless of the numerical result. If the job element rated Unacceptable is a* ***non-critical*** *element, the calculation continues with an adjusted score of* ***0*** *for that element.*

*To determine the summary rating, multiply the rating score for each job element by the weight factor of that element shown in Section 2-A. This becomes the adjusted score for that job element. Next, add the adjusted scores for all the job elements to derive a* ***total score****. Compare that total score to the criteria in the table in Section 1-C on page 1 of the Performance Appraisal Plan form. Select the appropriate summary rating that reflects both the score range in which the total score falls, and that no job elements are rated lower than the level indicated for that summary rating level. Select the highest summary rating level that meets both criteria, and check the box for that rating in Section 1-C on the front page of the Performance Appraisal Plan form. A Summary Performance Rating Worksheet is included at the end of these instructions to assist FHWA supervisors with this process.*

***Reason for Rating:*** Typically, performance ratings are required at the end of the appraisal cycle. However, there are various reasons requiring the assignment of a performance rating. Please check the box to designate the appropriate reason. If “Other” is checked, a description must be documented.

**SECTION 1-D: ACKNOWLEGEMENT**

At the end of the appraisal period, the Rating Official must meet with the employee to discuss the employee's accomplishments. The Rating Official must offer the employee an opportunity and strongly encourage the employee to identify specific accomplishments and results. Employee, Rating Official, and Reviewing Official, if applicable, should sign the form acknowledging receipt of the summary performance rating. The employee’s signature confirms that the overall summary rating has been discussed with the Rating Official. The signature does not indicate agreement with rating or the appraisal recommendation. If the employee refuses to sign, the rating official should make a note to file documenting the employee’s refusal to sign. NOTE: The signature of the Reviewing Official is required if the summary rating is “Unacceptable”. The proposed “unacceptable” rating must be discussed with the Reviewing Official before discussion with employee is held.

**SECTION 2: JOB ELEMENT WITH PERFORMANCE STANDARDS**

***Cascaded Organizational Goals/Strategic Alignment:***The performance plan must include at least one critical job element aligned with DOT, OA and/or organization/unit goals. Enter the appropriate strategic goal that will align with the job element. Only use the objective(s) that pertain to your specific organization or program. Alignment should be clear and transparent so that employees can see how their performance plans support organizational goal achievement. Ideally, a person would be able to map the responsibility for specific organizational goals and objectives through the performance plans of the chain of authority (i.e., SES members, to managers, to supervisors) to the front-line employee. Merely including a generic statement in performance plans that employees support organizational goals is not adequate for communicating alignment. To demonstrate the cascaded goal alignment, its source, and specific goal number may be documented in accordance with OA guidance.

**SECTION 2-A: JOB ELEMENT**

***Critical Element:*** Each plan must identify at least one critical element. A critical element is an assignment or responsibility of such importance that unacceptable performance in a single critical element would constitute an overall “Unacceptable” summary performance rating. The required performance elements and any additional element(s) identified at the discretion of the Rating Official may be either critical or non-critical elements as determined by the Rating Official based on the employee's work assignments and responsibilities. A non-critical element is a dimension or aspect of individual, team, or organizational performance, exclusive of a critical element, that is used in assigning a performance summary rating level. Failure on a non-critical element cannot be used as a basis for a performance-based adverse action nor can the employee's performance be summarized as “Unacceptable” overall based on that failure; however, non-critical does not mean not important. Performance standards must be written at the Achieved Results performance level. Enter element numbers sequentially and for each job element designate critical or non-critical, assign a weight, if applicable. Enter the applicable job element name and/or a brief description of the element’s objective. NOTE: Additional job elements should be documented using Section 2 Job Element sheet attachment.

***Critical Element Weight***: Assigning weights are optional, and weighting must be allowed in accordance with your OA Performance Management Program. The Rating Official may assign weights to the job elements in order to establish distinctions in the importance of elements for attaining the desired goals of the organization. The Rating Official must discuss the impact of assigned weights with the employee during all key “milestones” of the performance appraisal process, i.e., during the development and issuance of the performance plan, progress review(s), and annual appraisal. If an element is not weighted, place “N/A” in the weight box.

***FHWA Policy on Job Element Weights:*** *The FHWA Performance Management Program permits the use of both critical and non-critical elements. The use of weights to differentiate the relative value of individual job elements is optional, but weights must be assigned for the purpose of determining the summary rating. Weights are expressed as percentages (or decimals) of the total performance plan, and the total weight of all job elements must equal 100 percent (1.00). Critical job elements must have an assigned weight of at least 10 percent (0.10) each or greater, and a non-critical job element must be assigned a weight of less than 10 percent (0.10). If individualized weights reflecting the relative importance of the job elements are not assigned by the supervisor, then default weight values are determined based upon the number of critical job elements, and the assumption that all critical elements are of equal value (e.g., 4 CJE’s = weight of 25% (0.25) for each CJE; 3 CJE’s = weight of 33.3% (0.333) for each CJE). If non-critical job elements are used, the supervisor must designate weights for all elements in accordance with the guidance in this section.*

**MANDATORY JOB ELEMENTS FOR SUPERVISORY AND MANAGERIAL POSITIONS**

Mandatory job elements for managers, supervisors and team leaders (as appropriate) are: (1) Business Results, (2) Managing Human Capital, (3) Managing Resources, and (4) EEO/Diversity Initiatives. Rating Officials should write mandatory critical job elements using DPM 430 definitions as a guide. (Appendix A, Indicators of Achievement for Managers and Supervisors, includes examples of performance standards).

The DOT Performance Management System requires that performance plans for supervisors take into consideration employee and customer perspective, and hiring reform. Within the above mandatory job elements employee perspective, customer perspective and hiring reform must be addressed. (See DPM 430, Appendix B, for examples of performance standards).

Customer Perspective - Customer perspective measures consider the organization's performance through the eyes of its customers, customer needs, requirements, and satisfaction. To achieve the best in business performance, agencies must incorporate reasonable customer needs and wants consistent with the agency’s mission and must take them into account as part of their performance planning. To maintain consistency, customer perspective must be addressed in the Business Results job element.

Employee Perspective - The employee perspective focuses attention on the performance of the key internal processes that drive the organization, including employee development, improved performance, and retention. Employee perspective must be addressed in the Managing Human Capital job element.

Hiring Reform Standard (applies to supervisors and managers with hiring authority) – The Hiring Reform standard ensures supervisor and manager responsibility and accountability in hiring process. Hiring Reform must be addressed in the Managing Human Capital job element.

***FHWA Guidance on Mandatory Job Elements for Supervisory and Managerial Positions:*** *To meet the requirements of this section, FHWA managers and supervisors are required to use Form FHWA-1552C as a mandatory critical job element and performance standard, and incorporate it into their performance plans as an attachment to Form FHWA-1552.*

**SECTION 2-B: JOB ELEMENT PERFORMANCE STANDARD(S)**

Performance standards are statements of performance thresholds, requirements, or expectations written at the Achieved Results Level. Rating Officials may develop specific performance standards at additional levels to ensure that the employee has a clear understanding of the levels of performance expected. Standards communicate what an employee has to do or achieve to meet the performance element. Enter a standard that holds the employee responsible for achieving measurable results, defined in terms of expected outcomes, products, or accomplishments and is defined by measures in terms of quality, quantity, timeliness and cost-effectiveness.

*Quality* - How well work is performed and/or how accurate or how effective the service or final product is.

*Quantity* - How much work is produced (can be expressed as an error rate, such as a number or percentage of errors allowable per unit of work).

*Timeliness* - How quickly, when, or by what date the work is produced; however, a timeliness measure must not be absolute leaving no margin for error.

*Cost-effectiveness* - Dollar savings to the Government or working within a budget (may include such aspects as maintaining or

reducing costs, reducing time it takes to produce a product or service, or reducing waste).

The four-level DOT Generic Performance Standards, described in DPM 430, are to be applied to the appraisal of each individual performance element at the end of the appraisal period. OA’s may further describe each job element rating level for each job element as long as it is consistent with generic rating level definitions.

**SECTION 2-C: JOB ELEMENT RATING**

A specific rating is required for each job element to reflect the level of performance demonstrated by the employee throughout the appraisal period. Evaluate the performance plan objectives, underlying activities and tasks to assign a rating to each job element. Base these ratings on (1) objectives, activities, and specific tasks associated with each job element that are carried out with expected levels of quantity, quality, timeliness and cost-effectiveness according to performance plan and (2) responsibilities are carried out according to all official guidance, policies, and applicable laws and regulations. Assign the appropriate rating for the individual job element in accordance with DOT’s Generic Performance Standards described in DPM 430 and your OA program guidance. Ratings above or below the Achieved Results Level require specific, written examples of performance.

**SECTION 2-D: NARRATIVE SUMMARY OF PERFORMANCE FOR INDIVIDUAL ELEMENTS**

Narrative summaries of actual performance are encouraged for all levels of performance. If the employee’s performance is higher or lower than the Achieved Results standard, a narrative summary describing specific examples of performance above or below the achieved results level is required. If additional space is needed, provide attachments.

**NOTE: Form DOT-430a must be attached to document additional Job Elements.** *(****Form FHWA-1552-B*** *is identical to DOT-430a, and should be used by FHWA employees.)*

**SECTION 3 TRAINING IDENITIFICATION AND CAREER DEVELOPMENT**

This section may be used to determine employee’s training and professional growth needs, and may be required based on OA program guidance.

**SECTION 4 MID-YEAR REVIEW DOCUMENTATION**

This section may be used by supervisor to provide feedback to the employee, addressing performance strengths, weaknesses, adjustments to the weights and /or measures, and training and development opportunities at mid-year, and may be required based on OA program guidance.

**SECTION 5 RATING OFFICIAL OR EMPLOYEE INPUT FOR PERFORMANCE RATING**

This section may be used by the rating official or employee to provide narrative comments regarding the employee’s performance and accomplishments during the rating cycle as input into the final rating, and may be required based on OA program guidance. Supervisors may offer the employee an opportunity and encourage the employee to identify specific accomplishments and results, process improvements they recommended and/or implemented, letters or emails of commendation they received that have not been forwarded to you, training completed that you may have not recorded, and anything else that they feel is important to share that will gives a complete look at their performance. Employee input does not relieve the Rating Official of his/her responsibility to assessment employee contributions. If more space is needed, attach additional sheets as necessary or attach documents.

**SUMMARY PERFORMANCE RATING WORKSHEET (for FHWA Employees Only)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Scoring Table** | | | | | |
| **Job Element Number** | **Rating Score**  (O = 3; EE = 2; AR= 1; UA= 0) |  | **Weight**  (0.XX; total = 1.00) |  | **Adjusted Score** |
| 1 |  | X |  | = |  |
| 2 |  | X |  | = |  |
| 3 |  | X |  | = |  |
| 4 |  | X |  | = |  |
| 5 |  | X |  | = |  |
| 6 |  | X |  | = |  |
| 7 |  | X |  | = |  |
|  | | | **Total** | |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Conversion Table** | | | |
| **Performance Appraisal Score** | | **Summary Rating** | |
| **2.7 – 3.0** | (No Critical Element less than Exceeded Expectations) |  | **Outstanding** |
| **1.7 – 2.69** | (No Critical Element less than Achieved Results) |  | **Exceeded Expectations** |
| **1.00\* – 1.69** | (No Critical Element less than Achieved Results) |  | **Achieved Results** |
| **Any** | One or more Critical Element(s) rated Unacceptable |  | **Unacceptable** |
| **\***Score for “Achieved Results” can be less than 1.00 if the element(s) rated Unacceptable is/are non-critical. | | | |