

Taking Charge Of Your Career

A Satellite Broadcast from the
National Conservation Training Center

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and Management Training

FY08 Changes to Employee Appraisal Plans

Plans are to be completed and signed by November 30, 2007. New changes include:

1. New forms required

DI-3100S. – Supervisory Employee Performance Appraisal Plan

DI-3100 – Employee Performance Appraisal Plan

2. New mandatory training requirement.

All employees must be provided training on performance management system this year. The new performance plans have a “training tool” attached called “**Understanding Performance Management.**”

Employees may read this document to satisfy the training requirement.

Once the training is complete, employees must sign the performance plan in the designated place (Part A-3 – Employee Training) certifying that they have received training.

3. There is a new mandatory employee involvement requirement.

All employees must be engaged in the process of establishing their performance standards. Managers and employees are required to sign the performance plans stating that the employee had the opportunity to participate in the development of the standards. (Part A-2 – Employee Input into Development of Standards)

4. We can no longer annotate “See attached benchmark” in the standards section to describe “fully successful” performance.

Each element must have specific objectives detailed for the “fully successful” standard. The benchmark may be used as a starting point, but specific information related to that element must be added.

5. Supervisors have a mandatory supervisory element that can not be modified.

Supervisory plans should be documented on form DI-3100S

The following criteria still apply:

- **At least one (and preferably all) critical elements should align and support the Service’s goals and objectives**, as established in each Assistant Director’s performance plan. This is considered a “stepping down” of the programs goals and objectives.
- **Elements and standards should be written to identify results.** While competencies like teamwork and customer service may be included, at least one element must hold the employee accountable for achieving a result that directly supports the Service’s mission.

The Developmental Discussion

Welcome	<p>This is where your supervisor sets the stage for the discussion.</p> <p>“Thanks for stopping by. I wanted to talk with you about your goals and where you see yourself in the future.”</p>
Understand Their Goals	<p>This is where your supervisor tries to understand what is important to you and what interests you.</p> <ul style="list-style-type: none">- Have you thought about what’s next for you?- Where do you see yourself in 3 years? 5 years? 10 years?- What do you enjoy about your current job? What do you dislike?
Identify Strengths and Development Needs	<p>Here your supervisor is trying to get you to look at what you do well and where you have skill or knowledge gaps.</p> <ul style="list-style-type: none">- What skills do you have that will help you get there?- How do you continue to develop these skills?- What skills are needed that you don’t currently have?- Where can you learn them?- What has to happen for your dreams to become reality?- Can they be learned on the job or do they require specialized training?
Plan for Growth	<p>Now that you and your supervisor have some ideas, it’s time for you to select a few things to work on.</p> <ul style="list-style-type: none">- Of those things, are there a couple ideas you’re really interested in pursuing?- How can we do that within our budget and time resources?- If I give you an OK to begin working on that, what’s the benefit to the Service?

Now you’re ready to begin a draft of your Individual Development Plan.

The Performance Plan

Review/Rating Time-frames:

- **60 days** – Performance plan must be in place within 60 days of employee start date in the position or the beginning of the appraisal period
- **90 Days** – Have to be under a performance plan for at least 90 days in order to receive a rating.
- **Mid-Year** -- progress review is required and can be no later than 90 days from the final rating period
- **Annual Rating** - due 30 days from end of appraisal period (Sept 30) or 90 days if under rating extension. **Example: If someone started in August, couldn't be rated until 90 days after receipt of standards.** Rating official has an additional 30 days to return the rating to HR.

Interim appraisals

Should be done when:

- 120+ day detail or temporary promotion is completed
- Supervisor leaves position more than 90 days before end of rating cycle
- Employee changes position
- When the level of competence changes for determination of a Within Grade Increase

Note: This doesn't mean that there can't be other interim reviews. Some supervisors may want to do one each quarter, especially for new people, or if someone has a performance issue.

U.S. DEPARTMENT OF THE INTERIOR Employee Performance Appraisal Plan

Employee Name and Social Security Number: Chris Anderson, 221-11-1111		Title/Series/Grade: Management Asst. GS/0344/08	
Duty Station: Any Office	Appraisal Period: FY2008	From: 10/01/07	To: 09/30/08

Part A-1: Notification of Standards: *Signatures certify that critical elements/standards were discussed.(Part E)*

Employee:	Rating Official:	Reviewing Official (if applicable*):
Date:	Date:	Date:

Part A-2: Employee Input into Development of Standards: *Signatures certify employee involvement was solicited by supervisor:*

Employee:	Date:	Rating Official:	Date:
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Part A-3: Employee Training: *Signatures certify employee was provided training in Performance Management System.*

Employee:	Date:	Rating Official:	Date:
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Part B: Progress Review: *Signatures certify that performance was discussed.*

Employee:	Date:	Rating Official:	Date:
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Part C: Summary Rating Determination: Assign the numerical rating level that accurately reflects the employee's performance for each of the critical elements (Use only whole numbers: **Exceptional = 5 points; Superior = 4 points, Fully Successful = 3 points, Minimally Successful = 2 points, and Unsatisfactory = 0 points.**) *See reverse for complete instructions.*

Element Number	Numerical Rating
1	
2	
3	
4	
5	
Total:	

Total Numerical Rating _____ ÷ Number of Elements _____ = Numeric Summary Rating _____

Part D: Summary Rating: Use conversion chart to determine rating. Check appropriate box:

Exceptional	4.6 – 5.00 AND No critical element rated lower than "Superior".	
Superior	3.6 – 4.59 AND No critical element rated lower than "Fully Successful".	
Fully Successful	3.0 – 3.59 AND No critical element rated lower than "Fully Successful".	
Minimally Successful	2.0 – 2.99 AND No critical element rated lower than "Minimally Successful".	
Unsatisfactory	One or more critical elements rated "Unsatisfactory".	
Employee:	Rating Official:	Reviewing Official: (if applicable):
Date:	Date:	Date:

Check here if Interim Rating: _____

Performance Award: QSI _____ Cash: \$ _____ or _____ % of pay Time Off _____

Instructions for Completing the Employee Performance Appraisal Plan

Establishing Critical Elements and Performance Standards

Critical elements (at least one, but no more than five) must be established for each employee at the start of the performance year. Through these elements, employees are held accountable for work assignments and responsibilities of their position. A critical element is an assignment or responsibility of such importance that Unsatisfactory performance in that element alone would result in a determination that the employee's overall performance is Unsatisfactory. Please see the Performance Appraisal Handbook for more detailed information.

Performance standards are expressions of the performance threshold(s), requirement(s), or expectation(s) that must be met for each element at a particular level of performance. They must be focused on results and include credible measures. You may use the attached Benchmark Performance Standards to describe general parameters of the standards, but must augment those benchmarks with specific, measurable criteria such as quality, quantity, timeliness and/or cost effectiveness, for the "Fully Successful" level for each element. Rating officials are strongly encouraged to develop specific performance standards at additional levels to ensure that the employee has a clear understanding of the levels of performance expected. *At least one, and preferably all, critical elements must show how the element is linked to strategic goals, such as Government Performance Results Act (GPRA) or mission related goals of the organization. These goals should be aligned throughout the organization (i.e., show how the strategic goal cascades from the SES down to the lowest non-supervisory levels.) The employee should be able to clearly understand how the results they are held responsible for are linked to the results that those in their supervisory/managerial chain are held responsible for.*

Employee Involvement: Employees must be involved in the development of their performance plans. Part A-2 of this form requires employee and supervisor signatures certifying that employee input into the development of the plan was solicited.

Progress Reviews

A progress review is required approximately mid-way through the rating period. Part B should be completed after the progress review. Any written feedback or recommended training can be noted on a separate sheet and attached to the employee performance appraisal plan.

Assigning the Summary Rating

A specific rating is required for each critical element to reflect the level of performance demonstrated by the employee throughout the rating period. Only one numerical rating level is assigned for each critical element. Before the rating official assigns a summary rating, he/she should consider all interim summary ratings received for the employee during the annual appraisal period. The summary rating is assigned as follows:

- A. Assess how the employee performed relative to the described performance standards.
- B. Document the employee's performance with a narrative that describes the achievements for the critical elements as compared to the performance standards. A narrative must be written for each critical element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory, to provide examples of the employee's performance that substantiate and explain how the performance falls within the level assigned. There is a block provided for the narrative for each critical element.
- C. In Part C of this form, assign one of the numerical rating levels that accurately reflects the employee's performance for each of the critical elements (Use only whole numbers: Exceptional = 5 points, Superior = 4 points, Fully Successful = 3 points, Minimally Successful = 2 points, and Unsatisfactory = 0 points).
- D. Add up the numerical rating levels to get a total, and then divide the total by the number of critical elements to get an average. (Elements that are "not rated" because an employee has not had a chance to perform them during the rating year are not assigned any points and should not be used to determine the average rating.)
- E. Assign a summary rating based on the table in Part D of this form. Employee and supervisor sign the form certifying that the rating was discussed. Reviewing Official's signature is required for Exceptional, Minimally Successful and Unsatisfactory ratings.

Note: Whenever an employee is rated "**Unsatisfactory**" on one or more critical elements, the overall rating **must** be "**Unsatisfactory**" (regardless of total points). **The rating official should immediately contact the servicing human resources office.** Whenever an employee is rated "**Minimally Successful**" on one or more critical elements, the overall rating may not be higher than "**Minimally Successful**" (regardless of total points).

Part E: Critical Elements and Performance Standards: List below each of the employee's critical elements (at least one, but no more than 5) and their corresponding performance standards. If Benchmark Standards are used, indicate "Benchmark Standards are attached" in the space below, and ensure they are attached to this form. Identify the GPRA/strategic/mission goal that the critical element supports. At a minimum, **measurable criteria must be identified at the Fully Successful and Exceptional levels.**

Critical Element 1:	<p>GPRA/Strategic Goal: MANAGEMENT EXCELLENCE/CUSTOMER VALUE</p> <p>Performance Measure: Works cooperatively with others throughout the station to maximize value provided to both internal and external customers including; other station employees, FWS employees, the Department, NGOs, and others who use the facility.</p>
Performance Standards	
Exceptional	<p>Employee demonstrates particularly excellent performance that is of such high quality that organizational goals have been achieved that would not have been otherwise. The employee demonstrates mastery of technical skills and a thorough understanding of the mission of the organization and has a fundamental impact on the completion of program objectives.</p> <p>The employee exerts a major positive influence on management practices, operating procedures and/or program implementation, which contributes substantially to organizational growth and recognition. The employee plans for the unexpected and uses alternate ways of reaching goals. Difficult assignments are handled intelligently and effectively. The employee has produced an exceptional quantity of work, often ahead of established schedules and with little supervision.</p> <p>The employee's oral and written communications are exceptionally clear and effective. He/she improves cooperation among participants in the workplace and prevents misunderstandings. Complicated or controversial subjects are presented or explained effectively to a variety of audiences so that desired outcomes are achieved.</p> <p>In addition to the benchmark standards, the following measurable criteria apply.</p> <p>Demonstrates special initiative or innovation in at least two of the following:</p> <ul style="list-style-type: none"> • Improves the quality or delivery of a product or service; • develops new ways of doing business that benefit customers; • provides exceptional customer service consistently over and above expectations.
Superior	<p>Employee demonstrates unusually good performance that exceeds expectations in critical areas and exhibits a sustained support of organizational goals. The employee shows a comprehensive understanding of the objectives of the job and the procedures for meeting them.</p> <p>Effective planning by the employee improves the quality of management practices, operating procedures, task assignments and/or program activities. The employee develops and/or implements workable and cost-effective approaches to meeting organizational goals.</p> <p>The employee demonstrates an ability to get the job done well in more than one way while handling difficult and unpredicted problems. The employee produces a high quantity of work, often ahead of established schedules with less than normal supervision.</p> <p>The employee writes and speaks clearly on difficult subjects to a wide range of audiences and works effectively with others to accomplish organizational objectives.</p> <p>In addition to the benchmark standards, the following measurable criteria apply.</p> <p>Employee anticipates customer needs and proactively analyzes source of customer complaints. Cures the 'root cause' so that further complaints are avoided.</p>

Fully Successful	<p>The employee demonstrates good, sound performance that meets organizational goals. All critical activities are generally completed in a timely manner and supervisor is kept informed of work issues, alterations and status. The employee effectively applies technical skills and organizational knowledge to get the job done. The employee successfully carries out regular duties while also handling any difficult special assignments. The employee plans and performs work according to organizational priorities and schedules. The employee communicates clearly and effectively.</p> <p>In addition to the benchmark standards, the following measurable criteria apply.</p> <p>Focuses on the needs of internal and external customers, promptly resolving customer complaints within their authority to do so within one business day.</p>
Minimally Successful	<p>The employee's performance shows serious deficiencies that requires correction. The employee's work frequently needs revision or adjustments to meet a minimally successful level. All assignments are completed, but often require assistance from supervisor and/or peers. Organizational goals and objectives are met only as a result of close supervision. On one or more occasions, important work requires unusually close supervision to meet organizational goals or needs so much revision that deadlines were missed or imperiled.</p> <p>Employee shows a lack of awareness of policy implications or assignments; inappropriate or incomplete use of programs or services; circumvention of established procedures, resulting in unnecessary expenditure of time or money; reluctance to accept responsibility; disorganization in carrying out assignments; incomplete understanding of one or more important areas of the field of work; unreliable methods for completing assignments; lack of clarity in writing and speaking; and/or failure to promote team spirit.</p> <p>In addition to the benchmark standards, the following measurable criteria apply.</p> <p>Fails to address customer needs promptly, resulting in a negative impact on the customer's performance or experience more than twice per year.</p>
Unsatisfactory	<p>The employee's performance is unsatisfactory. The quality and quantity of the employee's work are not adequate for the position. Work products do not meet the minimum requirements expected.</p> <p>The employee demonstrates little or no contribution to organizational goals; failure to meet work objectives; inattention to organizational priorities and administrative requirements; poor work habits resulting in missed deadlines and/or incomplete work products; strained work relationships; failure to respond to client needs; and/or lack of response to supervisor's corrective efforts.</p> <p>In addition to the benchmark standards, the following measurable criteria apply.</p> <p>Routinely unresponsive to customer needs, resulting in a negative impact on the customer's performance or experience and adversely impacting the reputation of the Branch, Division, NCTC, or the Service.</p>

Narrative Summary

Describe the employee's performance for each critical element. A narrative summary must be written for each element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.

Rating for Critical Element 1:

Exceptional-5 Superior-4 Fully Successful-3 Minimally Successful-2 Unsatisfactory-0

Developing a Critical Element

ACTION VERB

Conducts

OBJECT

Investigations

PURPOSE (optional)

in order to Improve Operations

Checklist for Critical Elements

- Purposeful/goal oriented
- Significant component of the job
- Recurring aspects of the job
- Position-based
- Within the authority of the position
- Required to fulfill the role that the organization has specified
- Distinguishable from other job elements
- Represent objective criteria, i.e. job-related behaviors, tasks, outcomes, not personality or traits
- Represents individual responsibility
- Practical to measure
- Specific enough to determine whether results are accomplished

Critical Element Examples

Works cooperatively with others throughout the station to maximize value provided to both internal and external customers including; other station employees, FWS employees, the Department, NGOs, and others who use the facility.

Applies established IT security requirements and procedures (operational, technical, etc.) when utilizing IT systems or accessing electronic data in accordance with the bureau's IT security plan and applicable regulations/policy.

Develops the High Country Refuge Cooperative Management Plan by completing inventories and studies in conformance with the Regional Recreation Management Plan to improve public safety and security and protects public resources from damage.

Serves as the Management Assistant and confidant to the Project Leader and support staff, scheduling appointments and making commitments for the Project Leader, screening calls and visitors and routing requests to appropriate subject matter experts or personally responding to routine requests, and preparing and controlling correspondence which meets USFWS format requirements, ensuring deadlines are met.

Provides proactive intervention to reduce the occurrence of inappropriate bear-visitor interaction which contributes to the protection of the bear population.

Individual Development Plan (IDP)

An Individual Development Plan (FWS Form 3-2020B) is mandatory for all permanent fulltime Service employees ([231 FW 2](#)). An IDP is a guide to help individuals reach career goals within the context of organizational objectives. It is a developmental action plan to move employees from their current place to where they want to go. It provides the systematic steps to improve and to build on strengths as individuals improve job performance and pursue career goals.

An IDP is a partnership between the employee and the rating official in personal development. Preparing an IDP involves open feedback, clarification and discussion about developmental needs, goals, and plans. Periodic communication between the rating official and the employee is the key to the currency and success of an IDP.

An IDP is not a:

- 1. Performance appraisal. It is not used to determine pay, awards or other personnel actions based on performance.*
- 2. Contract for training. Final approval of training opportunities is made based on factors such as timing and budget availability.*
- 3. Position description. It is not used for clarifying discrepancies in the duties as described.*
- 4. Guarantee for promotion or for reassignment to another position. While the developmental experiences identified in an IDP may have some training that might qualify the employee for another position or grade, there is no guarantee of advancement.*

Responsibilities

As in all aspects of the employee/supervisor relationship, direct and open communication is the key to the success of an IDP.

Employee Responsibilities

- Assess personal skills necessary for performing the current position
- Suggest developmental experiences which would enhance the skills necessary for performing the current position and for the desired career goals
- Identify personal career goals and understand what skills are necessary for meeting those goals
- Participate in open discussions with the supervisor on the IDP
- Complete the approved developmental experiences in the IDP and alert the supervisor when the IDP needs review and updating

Supervisor Responsibilities:

- Work with employees to identify their developmental needs:
 - a. Provide constructive feedback to the employee about skills necessary for performing the current position
 - b. Suggest and review employee suggestions for developmental experiences which would enhance the skills necessary for performing the current position
 - c. Counsel the employee about career goals
 - d. Identify developmental experiences which would enhance the skills necessary for performing in the next type of position toward the employee's career goal
 - e. Participate in open discussions with the employee concerning the elements of the IDP in periodic updates and reviews of the IDP
- Approve an IDP ([FWS Form 3-2020B](#)) for each permanent employee no later than 60 days into the performance year giving final approval to specific developmental experiences.
- Budget for approved IDP activities at the beginning of the fiscal year.
- Monitor the employee's progress in completing the developmental experiences agreed upon in the IDP and work with the employee throughout the year to implement the IDP, barring any major funding or workload changes that might prevent implementation.



Individual Development Plan Performance Year 2008

Employee's Name	Position Title/Grade	Office Phone	Office Fax	Email Address
Chris Anderson	Mgmt. Asst, GS-08	X1234	X1235	Chris_anderson@fws.gov
Current Supervisor's Name	Supervisor's Title	Office Phone	Office Fax	Email Address
Gotta Clue	Project Leader	X1223	X1235	Gotta_clue@fws.gov
Goals for Successful Performance in Current Position	Short-term Career Goals (2-3 years)	Long-term Career Goals (3+ years)		
<ol style="list-style-type: none"> 1. Ensure all required training is completed. 2. Lead the customer service standards team. 3. Be proactive in finding new ways to meet position demands. 	<ol style="list-style-type: none"> 1. Move into AO position. 2. Complete BA program. 	<ol style="list-style-type: none"> 1. Begin working on Master's degree 2. Move into a position of increasing responsibility 		
Developmental Objectives: What do you need to do this year to work towards your goals?	Developmental Activities (training, assignments, projects, details, etc.)	Proposed Dates	Estimated Costs	Date Completed
<ol style="list-style-type: none"> 1. Complete all required training and get trained on any new systems/admin programs that are introduced. 2. Learn how to effectively lead a team. 3. Learn how other similar stations operate. 	Attend Data Tracking System Training	Ongoing	0	
	Computer security training	Ongoing	0	
	Any other training the Service sets up	Ongoing	0	
	Attend "Intro to Mgmt. Skills" course at NCTC	July 9-11, 2008	travel of \$750	
	Read the book titled "Effectively Leading a Team When No One is in Charge"	By April 15, 2008	\$17.95	
	Shadow Jeff for a couple days.	Feb. 2008	0	
	Detail for 2 weeks at Chesapeake Bay Field Office	Apr. 23-May 4, 2008	per diem of \$1100	
Notes:		Employee's Signature/ Date		
Pat is the AO at Chesapeake and will be going on vacation the first week of May. By going out there the previous week, I'd get to spend a week learning how things operate there then cover during the vacation time.		Supervisor's Signature/ Date		

Instructions for Use

Mandatory Usage. This form may be modified for developmental or leadership programs as long as the modified form contains all the elements on this form. Examples of modified IDPs include the Biological Sciences Development Program IDP and IDPs developed in the Service's leadership development programs.

This form is required for all permanent full-time employees and should be updated annually. The employee and the supervisor should each retain a copy for his/her records.

IDP Field Descriptions

Goals for Successful Performance in Current Position

The IDP is not just about moving ahead and getting a promotion. It's also about developing skills in the current position so in this field, list a variety of goals that will help in your current position. Examples: learn more about the ESA, become a motivational team leader, enhance my computer skills, etc.

Short-Term Career Goals

This is a statement of what you hope to achieve within the next 3 years. Examples: a promotion, managing a particular project, or even, changing to an entirely different position.

Long-Term Career Goals

This is a statement of what you hope to achieve more than 3 years out.

Developmental Objectives

These are statements defining what you need to do to help you reach your short- and long-term goals. Examples: become a good public speaker, understand the political nature of public service, learn more about fire management, etc.

Developmental Assignments

This is a list of the strategies you will use to achieve the development objective. Examples: "attend a public speaking course" and "join Toastmasters International public speaking group."

Proposed Dates

List of proposed dates when you plan to work on the specific developmental assignments. You could also list the date you plan to complete the activity.

Estimated Costs

List of the approximate costs of each of the activities - be sure to include the tuition or course fees as well as any travel, per diem, and any other costs associated with the activities.

Date Completed

List of the actual dates the developmental assignment was completed.

Notes

Any additional comments appropriate to your IDP.

Signature/Date Block

The IDP should be signed by both the employee and their supervisor when both have agreed that the IDP is complete.