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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| U.S. DEPARTMENT OF THE INTERIOR**Supervisory Employee Performance Appraisal Plan**

|  |  |
| --- | --- |
| Employee Name and Social Security Number: | Title/Series/Grade: |
| Duty Station: | Appraisal Period: | From: | To: |

**Part A: 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: |

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

|  |  |  |  |
| --- | --- | --- | --- |
| Employee: | Date: | Rating Official: | Date: |

**Part B: Progress Review:** *Signatures certify that performance was discussed.*

|  |  |  |  |
| --- | --- | --- | --- |
| Employee: | Date: | Rating Official: | Date: |

**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** | **5** | **=** | **Numeric Summary Rating** |  |

**Part D: Overall Summary Rating:** Use conversion chart below to determine Summary 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 \_\_\_\_\_\_Establishing Critical Elements and Performance Standards: Critical elements (at least one, but no more than five) must beestablished for each employee at the start of each 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.* *If possible, 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 strategic and/or mission goals of the organization.***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 RatingA 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:1. Assess how the employee performed relative to the described performance standards.
2. 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.
3. 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).
4. 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.)
5. 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. Critical Element 1 is the mandatory element for Supervisors/Managers and must be used as provided herein. Benchmark Standards, which are attached, must be used...*

|  |  |
| --- | --- |
| **Critical Element 1:** | **GPRA/Strategic Goal**: Managing for Excellence; Strategic Management of Human Capital. Performance Measure: Supervisory/managerial duties are effectively carried out in order to support the Department’s capacity to manage its programs in a results-oriented, customer-focused and efficient manner.***Supervisory/Managerial Element:*** *Performance of supervisory/managerial duties will be carried out in accordance with regulatory requirements and other Bureau/Office policies governing the following areas:** + - *Diversity/EEO obligations;*
		- *Internal management controls;*
		- *Merit Systems Principles;*
		- *Safety and Occupational Health obligations;*
		- *Effective performance management; and*
		- *Effective management of ethics, conduct & discipline issues.*
 |
| Performance Standards |
| Exceptional | See attached benchmark standards. |
| **Superior** | See attached benchmark standards. |

 |
| Instructions for Completing the Supervisory Employee Performance Appraisal PlanEstablishing Critical Elements and Performance Standards: Critical elements (at least one, but not more than five) must be established for each employee at the start of each 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.* *If possible, 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 strategic and/or mission goals of the organization.***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 RatingA 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.1. 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).1. 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.)1. 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 each of the Supervisory employee’s Critical elements (at least one, but not more than five) 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 level.***

|  |  |
| --- | --- |
| **Critical Element 1** | **GPRA/Strategic Goal: Serving Communities****Performance Measure: Supervisory/Managerial** duties are effectively carried out in order to support the Department’s capacity to manage its programs in results oriented, customer-focused, and efficient manner. S*upervisory/Managerial Element: Performance of supervisory/managerial duties will be carried out in accordance with regulatory requirements and other Bureau/Office policies governing the following area:** *Diversity/EEO obligations;*
* *Internal Management controls;*
* *Merit Systems Principles;*
* *Safety and Occupational Health obligations;*
* *Effective Performance Management; and*
* *Effective Management of ethics, conduct & discipline issues.*
* *Hiring Reform*
 |
| Performance Standards |
| Exceptional | See attached Benchmark standards, and the following criteriaAchieves all elements in Superior and:* Engine module supervisor participates in the preparation of documents such as :
	+ WFDASS
	+ Prescribed Fire Plans
 |
| **Superior** | See attached Benchmark standards, and the following criteriaAchieves all elements in Fully Successful and:* Engine module Leader has prepared an “End of Season Report”.

When an evaluation of new equipment is appropriate, a report of suitability is submitted to the UCR equipment committee by 10/15. |
| **Fully Successful** | See attached Benchmark standards, and the following criteria * The employee’s work with others shows an understanding of the importance of fair treatment and equal opportunity and meets all management commitments related to providing a safe working environment, merit systems obligations, performance management, and internal controls, and management of conduct and discipline issues.
* All evaluations for assigned crew have been completed and sent to the servicing personal office.
* Engine Module Supervisor and assigned crew meets minimum experience and training requirements as described in both the RED-BOOK and the UCR training charter for current position.
* IDP’s have been established at the start of the season and revisited by 10/15.
* A module training needs analysis has been established for the next training season through the use of IDP’s and has been sent to the zone training representative by 11/01.
* Nominations for off unit training courses have been submitted to the zone training representative as outlined in the UCR training charter by 10/15.
* Monthly vehicle utilization reports are timely and accurate.
* Credit card statements are processed in a timely manner.
* Module’s training records follow Red-Book guidelines for format.

Module’s training records are complete for qualifications on red-cards. |
| **Minimally Successful** | See attached Benchmark standards |
| **Unsatisfactory** | See attached Benchmark standards |
| Narrative SummaryDescribe 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** |

 |

|  |  |
| --- | --- |
| **Minimally Successful** | See attached benchmark standards, and the following criteria* The employee’s supervisory performance shows serious deficiencies that require correction.
* The employee’s work with others fails to show a consistent understanding of the importance of fair treatment and equal opportunity.

The employee does not meet all management obligations related to internal controls, merit system obligations, performance management, and/or management of conduct and discipline issues. |
| **Unsatisfactory** | See attached benchmark standards, and the following criteria* The employee’s supervisory performance is unsatisfactory.

Employee frequently fails to meet other management obligations related to internal controls, merit systems obligations, performance management, and/or management of conduct and discipline issues. |
| 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 3:****[ ] Exceptional-5 [ ] Superior-4 [ ] Fully Successful-3 [ ] Minimally Successful-2 [ ] Unsatisfactory-0** |

P**art E: Critical Elements and Performance Standards:** *List each of the Supervisory employee’s Critical elements (at least one, but not more than five) 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 level.***

|  |  |
| --- | --- |
| **Critical Element 2:** | **GPRA/Strategic Goal**: **Serving Communities****Performance Measure: Safety:** Improve protection of lives, property and assets, advance the use of scientific knowledge, and improve the quality of life for communities we serve. |
| Performance Standards |
| Exceptional | See attached Benchmark standards, and the following criteria* The superior level is fully met.
* No avoidable accidents occurred for crew during the rating period.

  |
| **Superior** | * The fully successful level is fully met.
* The Leader develops and implements a comprehensive physical training program that is healthful and successful in establishing fitness.

After analyzing hazardous conditions (risk assessment), the hazards are mitigated to the lowest possible level and documented, and that documentation is provided to supervisor.  |
| **Fully Successful** | In addition to attached Benchmark standards, and the following criteria * The employee’s work with others shows an understanding of the importance of fair treatment and equal opportunity and meets all management commitments related to providing a safe working environment, merit systems obligations, performance management, and internal controls, and management of conduct and discipline issues.
* All evaluations for assigned crew have been completed and sent to the servicing personal office.
* Engine Module Supervisor and assigned crew meets minimum experience and training requirements as described in both the RED-BOOK and the UCR training charter for current position.
* IDP’s have been established at the start of the season and revisited by 10/15.
* A module training needs analysis has been established for the next training season through the use of IDP’s and has been sent to the zone training representative by 11/01.
* Nominations for off unit training courses have been submitted to the zone training representative as outlined in the UCR training charter by 10/15.
* Monthly vehicle utilization reports are timely and accurate.
* Credit card statements are processed in a timely manner.
* Module’s training records follow Red-Book guidelines for format.

Module’s training records are complete for qualifications on red-cards. |
| **Minimally Successful** | See attached Benchmark standards, and the following criteria* The employee’s supervisory performance shows serious deficiencies that require correction.
* The employee’s work with others fails to show a consistent understanding of the importance of fair treatment and equal opportunity.

The employee does not meet all management obligations related to internal controls, merit system obligations, performance management, and/or management of conduct and discipline issues. |
| **Unsatisfactory** | See attached Benchmark standards, and the following criteria* There is little indication based on a review of the crew’s overall safety record that safety issues have been addressed by the leader.
* There is minimal or no record indicating that required safety training has been conducted.

 There has been little or no significant follow-up after an avoidable accident has occurred. |
| 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 2:****[ ] Exceptional-5 [ ] Superior-4 [ ] Fully Successful-3 [ ] Minimally Successful-2 [ ] Unsatisfactory-0** |

**Part E: Critical Elements and Performance Standards:** *List each of the Supervisory employee’s Critical elements (at least one, but not more than five) 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 level.***

|  |  |
| --- | --- |
| **Critical Element 3:** | **GPRA/Strategic Goal**: **Serving Communities****Performance Measure: Leadership:** Improve protection of lives, property and assets, advance the use of scientific knowledge, and improve the quality of life for communities we serve. |
| Performance Standards |
| Exceptional | See attached Benchmark standards, and the following criteriaAchieves all elements in Superior and: * The employee is open to and solicits the views of others, and promotes cooperation among peers and subordinates, while guiding, motivating and stimulating positive responses

The Fire Engine Module Leader is recognized for extraordinary leadership skills by their crew, peers and supervisors (identifying such traits as inspiring trust, a desire to develop the skills of others, etc.)Reads 2 leadership books each year. |
| **Superior** | See attached Benchmark standards, and the following criteriaAchieves all elements in Fully Successful and:* The employee demonstrates good leadership skills and establishes sound working relationships.
* The employee almost always handles difficult situations with subordinates with professionalism and effectiveness.
* The employee shows good judgment in dealing with others and considering their views.
* The employee has a strong sense of mission and seeks out responsibility.
* Read one leadership book each year.
 |
| **Fully Successful** | See attached Benchmark standards, and the following criteria * Engine module passes the annual readiness review.
* Crew ready room and personal work stations are kept clean and maintained for safety and appearance.
* The employee is a capable leader who works successfully with others and listens to suggestions.
* The employee generally handles difficult situations with subordinates with professionalism and effectiveness.

The employee also works well as a team member, supporting the group’s efforts and showing an ability to handle a variety of interpersonal situations |
| **Minimally Successful** | See attached benchmark standards, and the following criteria * The employee sometimes fails to motivate subordinates and promote team spirit; provide clear assignments and performance requirements or sufficient instructions to subordinates; provide sufficient explanation of organizational goals to subordinates; satisfy customer needs and/or meet customer service objectives; and/or meet production or mission goals in a timely and quality manner.
 |
| **Unsatisfactory** | * The employee usually fails to motivate subordinates and promote team spirit; often provides unclear assignments and performance requirements or insufficient instructions to subordinates; frequently fails to provide sufficient explanation of organizational goals to subordinates; generally fails to satisfy customer needs and/or meet customer service objectives; and/or frequently fails to meet production or mission goals in a timely and quality manner.

The employee’s work with others consistently fails to show an understanding of the importance of fair treatment and equal opportunity.  |
| 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 3:****[ ] Exceptional-5 [ ] Superior-4 [ ] Fully Successful-3 [ ] Minimally Successful-2 [ ] Unsatisfactory-0** |

**Part E: Critical Elements and Performance Standards:** *List each of the Supervisory employee’s Critical elements (at least one, but not more than five) 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 level.***

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| --- | --- |
| **Critical Element 4:** | **GPRA/Strategic Goal**: **Serving Communities****Performance Measure: Fire Suppression and Preparedness:** Improve protection of lives, property and assets, advance the use of scientific knowledge, and improve the quality of life for communities we serve. |
| Performance Standards |
| Exceptional | See attached Benchmark standards, and the following criteria* Achieves all elements in Superior and:
* Is recognized (outside of their organization) as an expert in the field of wild land fire suppression, fire behavior, or an area of expertise that is of equivalent importance.
* Ensures no preventable, fire suppression related, or safety infractions occurred.
* Always anticipates and provides information and possible solutions that maximized crew efficiency.
* **OR**

Creates or provides new, innovative, and useful methodology or equipment that benefits the fire community beyond the local unit. |
| **Superior** | See attached Benchmark standards, and the following criteria* Achieves all elements in Fully Successful and:
* Demonstrates cost efficiency beyond fully successful level by establishing budgetary savings without compromising safe and effective fire suppression and fire “preparedness.”
* Self, crew, and equipment consistently exceed standardized fire readiness.
* The Fire Engine Module Leader typically prepares clear, concise and well written reports of activities.
* The Fire Engine Module Leader presents training that is praised by participants as an important learning experience.
* The Fire Engine Module Leader assessment of logistical needs is invariably correct to the situation at hand.
 |
| **Fully Successful** | See attached Benchmark standards, and the following criteria* Routinely assures that suppression duties are completed in a timely and cost effective manner. (*The definitions of “timely and cost effective” must be established by the supervisor and understood by the employee. Ideally it should be incorporated in this statement*.)
* Initial “size-ups” are invariably correct to the situation at hand.
* Consistently evaluates, assesses, and determines appropriate suppression methods based on current and expected fire behavior
* Communicates the suppression methods to be used in a given situation to all necessary participants.
* Routinely maintains crew and equipment at a specified degree of fire readiness.
* Fire reports are prepared and turned in within 7 days of the fire being declared out.
 |
| **Minimally Successful** | See attached Benchmark standards, and the following criteria* Occasionally deviates from standard suppression procedures.
* Occasionally lapses in clear or adequate communication.
* Written reports are sometimes written without sufficient detail or clarity.
* Self, crew, and equipment often are not maintained in the specified degree of fire readiness.

Equipment has been found to be poorly maintained 3 - 4 times within a rating period.  |
| **Unsatisfactory** | See attached Benchmark standards, and the following criteria* Consistently deviates from established policy and guidelines.
* Either fails to prepare reports or prepares reports that are deficient.
* Actions or inactions have resulted in a lack of fire readiness.
* Equipment is found to be poorly maintained more than 5 times within a rating period.

Equipment has been found to be damaged 2 or more times in a rating period because of poor maintenance or failure to follow operating procedures. |
| 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 4:****[ ] Exceptional-5 [ ] Superior-4 [ ] Fully Successful-3 [ ] Minimally Successful-2 [ ] Unsatisfactory-0** |

**Part E: Critical Elements and Performance Standards:** *List each of the Supervisory employee’s Critical elements (at least one, but not more than five) 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 level.***

|  |  |
| --- | --- |
| **Critical Element 5:** | **GPRA/Strategic Goal**: **Serving Communities****Performance Measure: Project Work:** Improve protection of lives, property and assets, advance the use of scientific knowledge, and improve the quality of life for communities we serve. |
| Performance Standards |
| Exceptional | Meets all established criteria for the Superior level. |
| **Superior** | * In addition to assigned project work, the employee is proactive in all non-season project work from fence building to prescribed fire and fuels treatment projects. (Proactive is defined as finding appropriate areas where a project is needed and takes a lead in development, implementation and completion of the project following all proper procedures.)
* Based on a spot check review, the employee has documented and filed well written and properly formatted completion reports 100% of the time.
 |
| **Fully Successful** | I* Participates and contributes in prescribed fire and fuels treatment.
* Determines tools and personnel that will be needed to accomplish required tasks providing all necessary project participants with relevant information.
* Generally completes project work 90% of the time outside of fire season.
* Module actively participates in project work.
* Project work is done in a timely and effective manner as the plan allows.
 |
| **Minimally Successful** | * Complete less than 80% of assigned projects.

 * No documentation of accomplishments.
 |
| **Unsatisfactory** | Completed less than 20% of assigned project work |
| 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 5:****[ ] Exceptional-5 [ ] Superior-4 [ ] Fully Successful-3 [ ] Minimally Successful-2 [ ] Unsatisfactory-0** |

**Privacy Act Notice:** Chapter 43 of Title 5, U.S.C., authorizes collection of this information. The primary use of this information is by management and your servicing human resources office to issue and record your performance rating. Additional disclosures of this information may be: To MSPB, Office of Special Counsel, EEOC, the FLRA, or an arbitrator in connection with administrative proceedings; to the Department of Justice or other Federal agency, courts, or party to litigation when the Government is a party to or has an interest in the judicial or administrative proceeding; to a congressional office in response to an inquiry made on behalf of an individual; to the appropriate Federal, State, or local government agency investigating potential violations of civil or criminal law or regulation; and to Federal State, local and professional licensing boards in determining qualifications of individuals seeking to be licensed.

Collection of your Social Security Number is authorized by Executive Order 9397. Furnishing your Social Security Number is mandatory, failure to provide this information will prohibit data collection required by the Office of Personnel Management.

If your agency used the information furnished on this form for purposes other than those indicated above, it may provide you with an additional statement reflecting those purposes.

**Refusal to sign**: In cases where the employee refuses to sign the EPAP, the supervisor has the authority to implement the performance standards and rating without employee agreement. Supervisor’s should identify in the employee’s signature block that the “Employee Refused to sign.”

Benchmark **Supervisory Employee** Performance Standards

**Exceptional:**

**Supervisory**: The employee demonstrates excellent leadership skills and with only rare exceptions develops effective working relationships with others; immediately handles difficult situations with subordinates with professionalism and effectiveness, and demonstrates foresight in correcting situations that may cause future problems before they arise; encourages independence and risk-taking among subordinates, yet takes responsibility for their actions; is open to and solicits the views of others, and promotes cooperation among peers and subordinates, while guiding, motivating and stimulating positive responses.

The employee demonstrates a strong commitment to fair treatment, equal opportunity and the affirmative action objectives of the organization, and has a significant positive impact on achievement of goals in this area. In addition, the employee demonstrates innovation and specific positive achievements in meeting other management obligations such as safety, internal management controls, merit systems principles, performance management, and management of ethics, conduct and discipline issues as well as hiring reform. The employee systematically monitors quality, delivery, and customer satisfaction levels and makes adjustments accordingly; and works with staff to proactively implement solutions to prevent problems and avoid gaps in customer expectations.

Effective Performance Management: Uses employee preferences and performance information to identify both immediate and long-term developmental needs, helps staff to identify their own developmental needs and provides challenging assignments to address those needs; promotes cooperation among peers and subordinates, while guiding, motivating and stimulating positive responses to accomplishments; and provides continuing constructive performance feedback, working with employees to identify ways to improve their strengths.

**Superior:**

**Supervisory:** The employee demonstrates good leadership skills and establishes sound working relationships; almost always handles difficult situations with subordinates with professionalism and effectiveness; shows good judgment in dealing with others and considering their views; has a strong sense of mission and seeks out responsibility; demonstrates a commitment to fair treatment, equal opportunity and the affirmative action objectives of the organization, and has a positive impact on achievement of goals in this area. In addition, the employee promotes a safe working environment and solutions to problems encountered in meeting other management obligations including internal management controls, merit systems obligations, managing performance, and management of ethics, conduct and discipline issues, hiring reform; and anticipates customer needs and resolves or avoids potential problems, resulting in high customer satisfaction. Employee tailors methods of reward and recognition to the individual to the extent possible, resulting in increased motivation in staff; and solicits employee input and takes initiative to seek out and arrange for a variety of developmental opportunities beyond standard training.

Effective Performance Management: Using effective planning works with employees to exceed expectations in critical areas and shows sustained support of organizational goals; establishes sound working relationships with subordinates and shows good judgment in dealing with them, considering their views; works with employees to develop plans and timeframes to improve performance.

**Fully Successful:**

**Supervisory:** The employee is a capable leader who works successfully with others and listens to suggestions. The employee generally handles difficult situations with subordinates with professionalism and effectiveness. The employee also works well as a team member, supporting the group’s efforts and showing an ability to handle a variety of interpersonal situations and fully participates in hiring reform process to meet the needs of the bureau/office. The employee’s work with others shows an understanding of the importance of fair treatment and equal opportunity and meets all management commitments related to providing a safe working environment, merit systems obligations, performance management, and internal controls, and management of ethics, conduct and discipline issues and hiring reform. The employee maintains contact with customers (internal and/or external), and is effective in understanding their needs and using feedback to address customer requirements. The Supervisory employee provides timely, flexible, and responsive products and/or services to customers, resulting in value to the mission. Solicits employee input to improve work products and/or services and to develop employee skills. Recognizes and rewards employee contributions in a fair and consistent manner.

Effective Performance Management: The employee identifies and ensures alignment of unit goals with agency goals, seeks input of employees in the development of performance criteria, effectively translates and communicates project or work unit goals into concrete work assignments for staff; provides feedback and conducts reviews according to DOI established timeframes; ensures performance distinctions are made among individuals and awards are reflective of employee contributions toward organizational performance; and addresses poor performance in a fair and timely manner.

**Minimally Successful:**

**Supervisory:** The employee’s supervisory performance shows serious deficiencies that require correction. The employee must motivate subordinates and promote team spirit; provide clear assignments and performance requirements or sufficient instructions to subordinates; provide sufficient explanation of organizational goals to subordinates; satisfy customer needs and/or meet customer service objectives; and/or meet production or mission goals in a timely and quality manner. Their work with others must show a consistent understanding of the importance of fair treatment and equal opportunity and hiring reform. The employee must meet all management obligations related to internal controls, merit system obligations, performance management, and/or management of ethics, conduct and discipline issues.

**Unsatisfactory:**

**Supervisory:** The employee’s supervisory performance is unsatisfactory. The employee usually fails to motivate subordinates and promote team spirit; often provides unclear assignments and performance requirements or insufficient instructions to subordinates; frequently fails to provide sufficient explanation of organizational goals to subordinates; generally fails to satisfy customer needs and/or meet customer service objectives; and/or frequently fails to meet production or mission goals in a timely and quality manner. The employee’s work with others consistently fails to show an understanding of the importance of fair treatment and equal opportunity. Employee frequently fails to meet other management obligations related to internal controls, merit systems obligations, performance management, and/or management of ethics, conduct and discipline issues.

**Understanding Performance Management**

**An Employee’s Duties –** Your supervisor should provide you with a copy of the position description for your job. Your position description is the official record of your main duties and responsibilities and is used in developing performance appraisal criteria. Take some time to read through your position description. Ask your supervisor about anything that is not clear to you. Your supervisor should review your position description with you at least once a year to ensure that it accurately reflects your main duties and responsibilities. Keep a copy of your position description and refer to it from time to time. You may want to make notes on your copy when your job changes, so that you can discuss the changes with your supervisor.

**Employee Performance Appraisal Plan (EPAP)** – The Employee Performance Appraisal Plan (EPAP) is the form used by the Department to evaluate the work performance of its employees under the 5-level appraisal system. When used effectively, the EPAP is a valuable communication tool for both employee development and organizational accomplishments.

Managers and supervisors are responsible for the following:

1. Complying with provisions of the U.S. Department of the Interior's Performance Appraisal

 Departmental Manual and Handbook (370 DM 430).
 2. Establishing performance elements and performance standards that are linked to

 organizational goals, hiring reform and position descriptions.
 3. Monitoring employee performance, communicating with employees about their performance

 and resolving performance problems.
 4. Approving or reviewing ratings recommended by supervisors or rating officials.

The EPAP has several important goals:

1. Clarifying how the employee’s performance requirements link to the strategic mission of their

 organization;

1. Increasing individual productivity by giving employees the information they need to do their jobs effectively;
2. Improving individual/organizational productivity by promoting communication between employees and supervisors about job-related matters, so that better and more efficient methods of operation can be developed; and,
3. Providing a process to recognize employees for good performance and their contributions to the organization.

**Appraisal Period –** The appraisal period begins October 1 and ends September 30 of each year, except where specific exceptions have been granted. The minimum period on which an appraisal may be based is 90 calendar days. During the appraisal period, your supervisor may periodically discuss your work with you and let you know how you are doing. In addition, before the end of the appraisal period, the supervisor will conduct one formal progress review with you. This progress review is another opportunity for you and your supervisor to discuss your progress, review your position description, identify any training needs or improvements, or to revise your critical performance elements and performance standards.

**Performance Elements and Performance Standards –** Your supervisor will explain your duties and responsibilities to you and discuss what is expected of you in order to achieve satisfactory performance. To further define your performance expectations, your supervisor will establish performance elements and performance standards for your job. Employee input into this process is required.

Performance elements tell you what work assignments and responsibilities need to be accomplished during the appraisal period. All employees must have one performance element that is linked to the strategic mission or Government Performance Results Act goals of the organization. Between one and five performance elements can be established for a position. These elements are all considered critical elements. They are of such importance to the position that unsatisfactory performance in one element alone would result in a determination that the employee's overall performance is unsatisfactory.

Performance standards tell employees how well performance elements must be done by defining achievable rating levels for: Exceptional, Superior, Fully Successful, Minimally Successful, and Unsatisfactory performance. These five rating levels focus on results and include credible measures such as quality, quantity, timeliness, cost effectiveness, etc.

Your overall performance is evaluated by your supervisor or rating official using these performance standards. A determination that an employee's overall performance is unsatisfactory could result in remedial action and unsatisfactory performance may be the basis for removal or reduction in grade. Minimally successful performance may result in the denial of a within-grade increase.

**The Rating Process –** At the end of the appraisal period, your supervisor will carefully review the performance elements and standards for your position. Based on your actual performance, one of five rating levels may be assigned. The rating will be presented to you during the formal performance discussion between you and your supervisor. The appraisal will be completed with your signature and a

copy provided to you. This rating is documented on the EPAP form and is considered as your Rating of Record. Your rating of record is directly linked to your eligibility for certain types of pay increases and awards.

**Rewarding Performance –** Rewarding performance means recognizing good performance and providing incentives to employees for their work efforts and contributions to the organization. At the end of the appraisal period, your supervisor may consider you for an award based on your performance and rating of record as follows:

* Exceptional – Eligible for an individual cash award up to 5% of base pay; a Quality Step Increase; Time-Off Award; or other appropriate equivalent recognition.
* Superior – Eligible for an individual cash award up to 3% of base pay; Time-Off Award, non-monetary award, or other appropriate equivalent recognition.
* Fully Successful – Not eligible for any performance award, but may receive monetary, non-monetary, Time-off, or other appropriate incentive awards for specific accomplishments throughout the year.
* Minimally Successful and Unsatisfactory – Ineligible for any performance recognition.

**How to get the most out of your Employee Performance Appraisal Plan**

**1.** **Ask for Feedback throughout the appraisal period**.

How do you know if you are learning how to do your job and meeting your performance expectations? Talk to your supervisor throughout the appraisal period. Your supervisor wants you to succeed and is available to provide guidance to help you learn how to effectively do your job. Communicating regularly with your supervisor gives you the opportunity to understand the job expectations. It also lets your supervisor know what type of assistance or resources you need to perform your work, and it is a good way to get feedback.

Feedback is information that helps you know how you are progressing in learning the duties and responsibilities of your job. Employees who seek feedback from their supervisors learn their jobs more quickly and with fewer wrong turns than employees who shy away from feedback. Employees who seek feedback spend less time redoing work and turn in work with fewer mistakes. As a result, they improve their work performance.

Getting and using feedback is one of the most important keys to learning your job. As you do your work, ask for feedback from your supervisor to see if you are on track. At first you may feel uncomfortable asking for feedback. But, remember that your supervisor wants you to succeed. As you master your job and get to know your supervisor, you will soon feel more comfortable asking for and receiving feedback.

**2. Preparation**

a. Before your supervisor prepares your appraisal:

1. Prepare a list of key work accomplishments and give it to your supervisor for consideration in preparing your rating.
2. If you have specific issues come prepared to discuss them. Give your supervisor a "heads up" so that they can also prepare

 to discuss the issues.
3. Write down any key points and questions you may have.

b. During your performance discussion:

1. Don't be shy about asking for clarification, especially about your supervisor's expectations.
2. Refer to your notes, so that you don't overlook any points that are important to you.
3. Tell your supervisor how you feel things are progressing and if you need any additional information or materials.
4. Let your supervisor know what your short/long-term career goals are.
5. Ask for feedback.

If you still have questions about the Employee Performance Appraisal Plan after carefully reviewing this handbook, please discuss your questions with your supervisor.