

|                                 |                          |  |                     |
|---------------------------------|--------------------------|--|---------------------|
| Employee Name: EVIN DUNN        |                          | Title/Series/Grade:<br>STUDENT TRAINEE (INFO TECHNOLOGY) / 2299 / 09 |                     |
| Duty Station: FLAGSTAFF,ARIZONA | Appraisal Period: FY2020 | From Date: 10/01/2019  | To Date: 09/30/2020 |

Part A-1: Establishment of Performance Plan: Signatures certify that performance plan (Part E) was discussed with the employee.

|  |  |                                     |
|--|--|-------------------------------------|
| Employee: Electronically signed by EVIN DUNN | Rating Official: Electronically signed by DEVON AMBLER | Reviewing Official (if applicable): |
| Date: 12/17/2019                             | Date: 12/17/2019                                       | Date:                               |

Part A-2: Employee Input into Performance Plan Development: Signatures certify that the rating official solicited the employee’s involvement in developing the performance plan.

|  |                  |  |                  |
|--|------------------|--|------------------|
| Employee: Electronically signed by EVIN DUNN | Date: 12/17/2019 | Rating Official: Electronically signed by DEVON AMBLER | Date: 12/17/2019 |
|--|------------------|--|------------------|

Part A-3: Employee Training: Signatures certify that the employee reviewed the “Understanding Performance Management” guidance or was otherwise provided training on the performance management policy.

|  |                  |  |                  |
|--|------------------|--|------------------|
| Employee: Electronically signed by EVIN DUNN | Date: 12/17/2019 | Rating Official: Electronically signed by DEVON AMBLER | Date: 12/17/2019 |
|--|------------------|--|------------------|

Part A-4: Individual Development Plan: Signatures certify that the employee’s Individual Development Plan was created. (Optional)

|           |       |  |                  |
|-----------|-------|--|------------------|
| Employee: | Date: | Rating Official: Electronically signed by DEVON AMBLER | Date: 12/17/2019 |
|-----------|-------|--|------------------|

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

|  |                  |  |                  |
|--|------------------|--|------------------|
| Employee: Unavailable to Sign/See Section B. Documented by DEVON AMBLER, IT SPECIALIST | Date: 05/28/2020 | Rating Official: Electronically signed by DEVON AMBLER | Date: 05/28/2020 |
|--|------------------|--|------------------|

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: Outstanding = 5 points; Exceeds Expectations = 4 points, Fully Successful = 3 points, and Unacceptable = 0 points.) See next page for complete instructions.

| Element Number | Numerical Rating |
|----------------|------------------|
| 1              | 4                |
| 2              | 4                |
| 3              | 4                |
| 4              |                  |
| 5              |                  |
| Total:         | 12               |

Total Numerical Rating

12

÷

Number of Elements

3

=

Numeric Summary Rating

4.00

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

|   |                      |  |
|---|----------------------|--|
|   | Outstanding          | 4.6 – 5.00 AND No Critical Element rated lower than “Exceeds Expectations” |
| X | Exceeds Expectations | 3.6 – 4.59 AND No Critical Element rated “Unacceptable”                    |
|   | Fully Successful     | 3.0 – 3.59 AND No Critical Element rated “Unacceptable”                    |
|   | Unacceptable         | One or more Critical Elements rated “Unacceptable”                         |

|  |  |   |
|--|--|---|
| Employee: Electronically signed by EVIN DUNN | Rating Official: Electronically signed by DEVON AMBLER | Reviewing Official (if applicable): Electronically signed by ROBIN FERGASON |
| Date: 10/30/2020                             | Date: 10/30/2020                                       | Date: 10/30/2020  |

Check here if Interim Rating: \_\_\_\_\_

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

**Instructions for Completing the Employee Performance Appraisal Plan (EPAP) Form**

**Establishing 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 the appraisal period. 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 Unacceptable performance in that element alone would result in the determination that the employee’s overall performance is Unacceptable. Please see 370 DM 430 or the Performance Management Handbook for more detailed information.

Performance standards are management-approved expressions of the performance threshold(s), requirement(s), or expectation(s) that must be met to be appraised on a critical element at a particular level of performance. They must be focused on results and include credible measures such as quality, quantity, timeliness, cost effectiveness, etc. The attached Benchmark Standards describe general parameters of the standards. **Federal regulations require, at a minimum, that a specific performance standard be established for the Fully Successful level for each critical 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 the strategic goal(s) of the organization. These goals should be aligned throughout the organization (i.e., show how the strategic goal cascades from the senior executive level 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 provided an opportunity to participate in the development of their performance plans. Part A-2 of this form requires employee and rating official signatures certifying that employee input into the development of the plan was solicited.

**Individual Development Plan (IDP) (Optional):** The IDP provides a connection between the employee's career interests and needs to the organizational mission and priorities. The employee and the rating official should develop goals together.

**Progress Reviews:** A progress review discussion is required approximately midway through the appraisal 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 EPAP form.

**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 appraisal 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 appraisals 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 Outstanding or Unacceptable 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: Outstanding = 5 points, Exceeds Expectations= 4 points, Fully Successful = 3 points, and Unacceptable = 0 points.
- D. Add up the numerical rating levels to get a total, and then divide the total by the number of critical elements that were rated to get an average. Elements that are not rated because an employee has not had a chance to perform them during the appraisal period are not assigned any points and should not be used to determine the average.
- E. Assign a summary rating based on the table in Part D of this form. Employee and rating official sign the form certifying that the rating was discussed. Summary ratings of Outstanding or Unacceptable must be reviewed and approved by the reviewing official prior to the rating official’s discussion with the employee.

**Note:** Whenever an employee is rated **Unacceptable** on one or more critical elements, the overall rating **must** be **Unacceptable** (regardless of total points). **The rating official should immediately contact the servicing Human Resources Office for guidance and assistance on addressing Unacceptable performance.**

**Part E: Critical Elements and Performance Standards:** *List each of the 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. At a minimum, measurable criteria must be identified at the Fully Successful level. For at least one critical element, identify the strategic/mission goal that the critical element supports.*

|   |  |
|---|--|
| <b>Critical Element 1</b><br>Title:<br>Project Work   | <b>Critical Element Description: (Describe the results (e.g., product, service, duty) for which the employee is accountable and responsible)</b><br>Performance is measured in terms of successfully completed tasks that are assigned to the employee. The rating is based on the quality, quantity, timeliness, and resources required to accomplish the work, as well as the demonstration of leadership when performing project-related tasks. The employee must accomplish a mix of tasks that demonstrate an effective balance of all stated components for each rating level. See continuation page for additional details.<br><br><b>Strategic Goal Alignment: (List the goal or initiative with which the critical element aligns)</b> DOI Mission area 1: Conserving Our Land and Water, Goal #1: Utilize science in land, water, species and habitat management supporting decisions and activities; and/or DOI Mission area 5: Protecting Our People and the Border, Goal #4: Provide science to safeguard communities from natural hazards; extended to other planetary bodies as well in anticipation of organizational needs for the next 100 years (DOI Mission area 6). |
| <b>Performance Standards</b>  |  |
| <b>Outstanding</b>  | In addition to benchmark standards:<br>Meet exceeds expectations criteria<br>and<br>the employee produces significant unplanned benefits to the project, science center, or broader science community  |
| <b>Exceeds Expectations</b>   | In addition to benchmark standards:<br>Meet fully successful criteria<br>and<br>tasks are consistently completed ahead of schedule, using fewer than expected resources, and/or with higher quality or quantity that expected<br>and<br>the employee consistently demonstrates leadership at a level one or more grades above their current position   |
| <b>Fully Successful</b>   | The attached Benchmark Standards are further defined by the following measurable criteria:<br><br>In addition to benchmark standards:<br>The preponderance of tasks (~80%) are completed fully successfully<br>and<br>the employee consistently demonstrates grade-level appropriate leadership<br>and<br>the employee adheres to DOI, USGS and Astrogeology policy, and the requirements of the funding agency where applicable   |
| <b>Unacceptable</b>   | The fully successful rating is not achieved.   |
| <b>Narrative Summary</b>  |  |
| Describe the employee’s performance for the critical element. A narrative summary must be written for each element assigned a rating of Outstanding or Unacceptable.<br><br>Evin consistently delivers ahead of schedule and work above his grade level independently and interfacing with Web and Dev teams. |  |
| <b>Rating for Critical Element 1: 4</b><br><br><input type="checkbox"/> Outstanding-5 <input checked="" type="checkbox"/> Exceeds Expectations-4 <input type="checkbox"/> Fully Successful-3 <input type="checkbox"/> Unacceptable-0 <input type="checkbox"/> Not Rated                                       |  |

**Part E: Critical Elements and Performance Standards:** *List each of the 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. At a minimum, measurable criteria must be identified at the Fully Successful level. For at least one critical element, identify the strategic/mission goal that the critical element supports.*

|   |  |
|---|--|
| <b>Critical Element 2 Title:</b><br>Project or Technical Lead   | <b>Critical Element Description:</b> (Describe the results (e.g., product, service, duty) for which the employee is accountable and responsible) Performance is measured in terms of successfully executed projects for which the employee is the primary project or technical lead. The rating is based on the timely accomplishment of project goals; successfully leading proposals for funding projects that support the mission and vision of Astrogeology and the USGS; adherence to budgetary constraints and policies of the USGS and the funding source; appropriate management of deliverables; responsiveness to requests of project team, PMO, and management; proactive and effective communication with project team, PMO, and management; and the demonstration of leadership and fostering of team work both internal and external to the project. The employee must accomplish a mix of tasks that demonstrate an effective balance of all stated components for each rating level. See continuation page for additional details. |
|   | <b>Strategic Goal Alignment:</b> (List the goal or initiative with which the critical element aligns) DOI Mission area 1: Conserving Our Land and Water, Goal #1: Utilize science in land, water, species and habitat management supporting decisions and activities; and/or DOI Mission area 5: Protecting Our People and the Border, Goal #4: Provide science to safeguard communities from natural hazards; extended to other planetary bodies as well in anticipation of organizational needs for the next 100 years (DOI Mission area 6).   |
| <b>Performance Standards</b>  |  |
| <b>Outstanding</b>  | In addition to benchmark standards:<br>Meet exceeds expectations criteria<br>and<br>at least one of the projects managed by the employee produces significant unplanned benefits to the project, science center, or broader science community. Benefits may include scientific and technical advances, as well as improvements to the project management process and enhancing the culture of teamwork.  |
| <b>Exceeds Expectations</b>   | In addition to benchmark standards:<br>Meet fully successful criteria<br>and<br>at least one of the projects managed by the employee meets its enhanced goals<br>and<br>the employee consistently demonstrates leadership at a level one or more grades above their current position   |
| <b>Fully Successful</b>   | The attached Benchmark Standards are further defined by the following measurable criteria:<br><br>In addition to benchmark standards:<br>All projects managed by the employee meet baseline goals<br>and<br>the employee completes all of the minimum required project lead activities as described in the continuation sheet<br>and<br>the employee consistently demonstrates grade-level appropriate leadership  |
| <b>Unacceptable</b>   | The fully successful rating is not achieved.   |
| <b>Narrative Summary</b>  |  |
| Describe the employee’s performance for the critical element. A narrative summary must be written for each element assigned a rating of Outstanding or Unacceptable.<br><br>Evin consistently delivers ahead of schedule and works above his grade level independently and interfacing with Web and Dev teams. He shows leadership by running DMZ webservices and K8s infrastructure. |  |
| <b>Rating for Critical Element 2: 4</b><br><br><input type="checkbox"/> Outstanding-5 <input checked="" type="checkbox"/> Exceeds Expectations-4 <input type="checkbox"/> Fully Successful-3 <input type="checkbox"/> Unacceptable-0 <input type="checkbox"/> Not Rated   |  |

**Part E: Critical Elements and Performance Standards:** *List each of the 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. At a minimum, measurable criteria must be identified at the Fully Successful level. For at least one critical element, identify the strategic/mission goal that the critical element supports.*

|   |  |
|---|--|
| <div>Critical Element 3 Title:<br/>Customer Support</div>   | <div>Critical Element Description: (Describe the results (e.g., product, service, duty) for which the employee is accountable and responsible) Employee is responsible for troubleshooting, resolving, and tracking IT related issues to the satisfaction of the customer.??1. Installs available hardware and software components as required by management and customers following Bureau Technical Support Team, DOI, and USGS best practices and policies. ?2. Receives, troubleshoots, and ensures resolution, or escalation to the next support tier, of IT issue.?3. Provides customer support and training on enterprise applications.4. Documents and inputs trouble tickets into the knowledge /tracking database.5. Follows up of customer issues to see if problem is resolved to the satisfaction of the user.6. Sets up IT equipment for conferences and training sessions7. Separately tracks time spent on tasks for WGSC and FSC.</div> <div>Strategic Goal Alignment: (List the goal or initiative with which the critical element aligns) DOI Mission area 6: Modernizing Our Organization and Infrastructure for the Next 100 Years, Goal #1: Align DOI organizational structure and workforce to improve partnership Engagement and mission delivery; extended to other planetary bodies as well in anticipation of organizational needs for the next 100 years (DOI Mission area 6).</div> |
| Performance Standards   |  |
| Outstanding   | <div>In addition to benchmark standards:<br/>Meets exceeds expectations criteria<br/>and<br/>Employee achieves a average Customer Satisfaction Survey rating of 5 based on end of rating cycle survey sent to customers.? and<br/>All trouble tickets entered. Summary reports generated weekly for management review.</div>   |
| Exceeds Expectations  | <div>In addition to benchmark standards:?<br/>Meets fully successful criteria<br/>and?<br/>Employee achieves a average Customer Satisfaction Survey rating of 4 based on end of rating cycle survey sent to customers.??<br/>Employee sets up and tests training/conference rooms setups by requested time/date, with no incidents of incomplete or untested systems in the time required.<br/>and?<br/>the employee consistently demonstrates leadership at a level one or more grades above their current position</div>   |
| Fully Successful  | <div>The attached Benchmark Standards are further defined by the following measurable criteria:<br/><br/>In addition to benchmark standards:<br/>The preponderance of Customer requests (~80%) are responded to within 1 day and resolved within at least 3 days of the request<br/>The preponderance of trouble tickets (~80%) are entered. ?<br/>Employee achieves a average Customer Satisfaction Survey rating of 3 based on end of rating cycle survey sent to customers.<br/><br/>Employee sets up and tests training/conference rooms setups by requested time/date, with no more than 1 incident of incomplete or untested systems in the time required.<br/><br/>The employee consistently demonstrates grade-level appropriate leadership</div>  |
| Unacceptable  | <div>The fully successful rating is not achieved.</div>  |
| Narrative Summary   |  |
| <div>Describe the employee’s performance for the critical element. A narrative summary must be written for each element assigned a rating of Outstanding or Unacceptable.</div> <div>Evin consistently exceeds expectations with customer support.</div>                        |  |
| <div>Rating for Critical Element 3: 4</div> <div><input type="checkbox"/> Outstanding-5 <input checked="" type="checkbox"/> Exceeds Expectations-4 <input type="checkbox"/> Fully Successful-3 <input type="checkbox"/> Unacceptable-0 <input type="checkbox"/> Not Rated</div> |  |

**Part E: Critical Elements and Performance Standards:** *List each of the 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. At a minimum, measurable criteria must be identified at the Fully Successful level. For at least one critical element, identify the strategic/mission goal that the critical element supports.*

|  |   |
|--|---|
| Critical Element<br>4 Title:   | Critical Element Description: (Describe the results (e.g., product, service, duty) for which the employee is accountable and responsible) |
|  | Strategic Goal Alignment: (List the goal or initiative with which the critical element aligns)  |
| Performance Standards  |   |
| Outstanding  |   |
| Exceeds Expectations   |   |
| Fully Successful   | The attached Benchmark Standards are further defined by the following measurable criteria:  |
| Unacceptable   |   |
| Narrative Summary  |   |
| Describe the employee’s performance for the critical element. A narrative summary must be written for each element assigned a rating of Outstanding or Unacceptable.   |   |
| Rating for Critical Element 4:   |   |
| <input type="checkbox"/> Outstanding-5 <input type="checkbox"/> Exceeds Expectations-4 <input type="checkbox"/> Fully Successful-3 <input type="checkbox"/> Unacceptable-0 <input checked="" type="checkbox"/> Not Rated |   |

**Part E: Critical Elements and Performance Standards:** *List each of the 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. At a minimum, measurable criteria must be identified at the Fully Successful level. For at least one critical element, identify the strategic/mission goal that the critical element supports.*

|   |   |
|---|---|
| Critical Element<br>5 Title:  | Critical Element Description: (Describe the results (e.g., product, service, duty) for which the employee is accountable and responsible) |
|   | Strategic Goal Alignment: (List the goal or initiative with which the critical element aligns)  |
| Performance Standards   |   |
| Outstanding   |   |
| Exceeds Expectations  |   |
| Fully Successful  | The attached Benchmark Standards are further defined by the following measurable criteria:  |
| Unacceptable  |   |
| Narrative Summary   |   |
| Describe the employee’s performance for the critical element. A narrative summary must be written for each element assigned a rating of Outstanding or Unacceptable.  |   |
| Rating for Critical Element 5:<br><br><div><input type="checkbox"/> Outstanding-5   <input type="checkbox"/> Exceeds Expectations-4   <input type="checkbox"/> Fully Successful-3   <input type="checkbox"/> Unacceptable-0   <input checked="" type="checkbox"/> Not Rated</div> |   |

**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 the U.S. Merit Systems Protection Board, U.S. Office of Special Counsel, U.S. Equal Employment Opportunity Commission, U.S. Federal Labor Relations Authority, or an arbitrator in connection with administrative proceedings; to the U.S. 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.

If your bureau/office 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 Employee Performance Appraisal Plan (EPAP) form, the rating official has the authority to implement the performance plan and rating without employee agreement. Rating officials should identify in the employee’s signature block that the “Employee refused to sign.”



**Benchmark Employee Performance Standards**

**Outstanding:**

The employee demonstrates exceptional performance in all aspects of the critical element that is of such high quality that organizational goals have been achieved that would not have been otherwise. The employee consistently achieved expectations at the highest level of quality possible and accomplished objectives even when faced with unanticipated challenges.

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. The employee exerts a major positive influence on management practices, operating procedures and/or program implementation, which contribute 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.

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.

Indicators of performance at this level include outcomes/results that consistently exceed the Exceeds Expectations performance standard for the critical element.

**Exceeds Expectations:**

The employee demonstrates a high level of performance that exceeds expectations in significant areas of the critical element 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. 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 improving organizational operations/results.

The employee effectively balances accomplishing work while handling difficult and unpredicted problems. The employee produces a high quantity of work, often ahead of established schedules with less than normal supervision. The employee works productively and strategically with others in non-routine matters, some of which may be complex and sensitive. The employee writes and speaks clearly on difficult subjects to a wide range of audiences.

Indicators of performance at this level include outcomes/results that consistently exceed the Fully Successful performance standard for the critical element.

**Fully Successful:**

The employee demonstrates consistently successful performance that contributes positively to organizational goals. The employee effectively applies technical skills and organizational knowledge to deliver results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed-upon deadlines, keeping the rating official informed of work issues, alterations, and status. The employee successfully carries out regular duties while also handling any special assignments and identifying opportunities to improve organizational operations/results that consider stakeholder perspectives. The employee plans and performs work according to organizational priorities and schedules. The employee communicates clearly and effectively and works effectively with others to accomplish organizational objectives.

**Unacceptable:**

The employee’s performance is unacceptable. The quality and/or quantity of the employee’s work are not adequate for the position. Work products do not meet the requirements expected.

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 rating official’s corrective efforts.

## **Appendix 1: Understanding Performance Management**

**Position Duties** – Your rating official, normally your immediate supervisor, should provide you with a copy of the position description for your job. Your position description is the official record of your primary duties and responsibilities and is used in developing your performance plan. Take some time to read through your position description. Ask your rating official about anything that is not clear to you. Your rating official 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 rating official.

**Employee Performance Appraisal Plan** – The Employee Performance Appraisal Plan (EPAP) form is the authorized form used by the Department to document the work performance of its employees under the four-level appraisal system. When used effectively, the EPAP form 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 Management System policy (370 DM 430) and supplemental guidance provided in the Department's Performance Management Handbook;
2. Establishing critical elements and performance standards that are linked to organizational goals;
3. Monitoring employee performance, communicating with employees about their performance and addressing performance problems; and
4. Approving or reviewing ratings recommended by supervisors or rating officials.

The EPAP form has several important goals:

1. Clarifying how the employee's performance requirements link to the strategic goals of their organization;
2. Increasing individual productivity by giving employees the information they need to do their jobs effectively;
3. Improving individual/organizational productivity by promoting communication between employees and rating officials about job-related matters, so that better and more efficient methods of operation can be developed; and
4. Providing the basis for recognizing 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 rating official 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 rating official will conduct one formal progress review with you. This progress review is another opportunity for you and your rating official to discuss your progress, review your performance plan, identify any training needs or improvements, or to revise your critical elements and performance standards.

**Critical Elements and Performance Standards** – Your rating official 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 rating official will establish critical elements and performance standards for your job. Employees must be afforded an opportunity to provide input into the development of the critical elements and performance standards. You are encouraged to participate in this process.

Critical elements tell you what work assignments and responsibilities need to be accomplished during the appraisal period. All employees must have at least one critical element that is linked to the strategic goals of the organization. Between one and five critical elements can be established for a position. These elements are considered critical because they are of such importance to the position that Unacceptable performance in one element alone would result in a determination that the employee's overall performance is Unacceptable.

Performance standards tell employees how well critical elements must be accomplished by defining achievable rating levels for: Outstanding, Exceeds Expectations, Fully Successful, and Unacceptable. These four rating levels focus on results and include credible measures such as quality, quantity, timeliness, cost effectiveness, etc.

Your overall performance is evaluated by your rating official using these performance standards. A determination that an employee's overall performance is Unacceptable will result in remedial action and may be the basis for removal from Federal service or reduction in grade.

**The Rating Process** – At the end of the appraisal period, your rating official will carefully review the critical elements and performance standards for your position. Based on your actual performance, one of four rating levels may be assigned. The rating will be presented to you during the formal performance discussion between you and your rating official. 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 rating official may consider you for an award based on your performance and rating of record as follows:

- Outstanding – Must be considered for an individual cash award, a Quality Step Increase, Time-Off Award, or other appropriate equivalent recognition.
- Exceeds Expectations – Eligible for an individual cash award, Time-Off Award, or other appropriate equivalent recognition.
- Fully Successful – Eligible for an individual cash award, Time-Off Award, or other appropriate equivalent recognition.
- Unacceptable – Ineligible for any performance-based recognition.

The Department’s performance-based award policy is explained in 370 DM 451.2. Bureaus/Offices may have additional guidance governing the distribution of performance-based awards.

**How to Get the Most Out of the Performance Management Process**

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 rating official throughout the appraisal period. Your rating official wants you to succeed and is available to provide guidance to help you learn how to effectively do your job. Communicating regularly with your rating official gives you the opportunity to understand the job expectations. It also lets your rating official 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 well you are accomplishing the duties and responsibilities of your job. Employees who seek feedback from their rating officials 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 rating official to see if you are on track. At first you may feel uncomfortable asking for feedback, but remember that your rating official wants you to succeed. As you master your job and get to know your rating official, you will soon feel more comfortable asking for and receiving feedback.

2. Preparation for the Appraisal Discussion

a. Before your rating official prepares your appraisal:

1. Prepare a list of key work accomplishments and give it to your rating official for consideration in preparing your rating.
2. If you have specific issues come prepared to discuss them. Give your rating official a "heads up" so that he/she 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 rating official's expectations.
2. Refer to your notes, so that you don't overlook any points that are important to you.
3. Tell your rating official how you feel things are progressing and if you need any additional information or materials.
4. Let your rating official know what your short/long-term career goals are.
5. Ask for feedback.

If you still have questions about the EPAP form, please consult with your rating official.

## **Appendix 2: Supervisor's Guide to Developing Individual Development Plans**

The Individual Development Plan (IDP) is a valuable performance enhancement tool for all federal employees. The IDP can assist those who want to enhance their skills and strengths, learn more about issues relevant to the performance of the agency, and grow personally and professionally. Bureaus/Offices may require the use of an IDP at their discretion. Check with your Human Resources Office for the IDP or other appropriate form used by your Bureau/Office to document employee development needs.

The following is a brief outline of the goals, definition, and steps in creating an IDP.

**Goals:** The employee and the supervisor should develop goals together. The IDP should connect the employee's career interests with the organizational mission and priorities. The most common goals of an IDP are to:

- Learn new skills to improve current job performance
- Maximize performance in support of organizational requirements
- Increase interest level, challenge, and satisfaction in current position
- Establish a career path, identifying the knowledge, skills, and abilities necessary for professional growth

**Definition:** An IDP may identify a broad spectrum of developmental activities, including on-the-job training, distance learning, formal classroom training, details, shadow assignments and self-development. It balances the needs of the organization and of the employee beginning with a focus on maximizing employee performance in the current job.

An IDP is a guide to help employees reach individual career goals within the context of organizational objectives. It is a developmental action plan to grow employees from their current state by providing systematic steps to improve and build on strengths. An IDP is a partnership between the employee and the supervisor for personal and professional development. Preparing an IDP involves open feedback, clarification, and discussion about developmental needs, goals, and plans. Periodic communication between the supervisor and the employee is key to ensure currency and relevance of an IDP.

**An IDP is not a:**

- Performance appraisal. It is not used to determine pay, awards or other personnel actions based on performance.
- Contract for training. Final approval of training opportunities is made based on factors such as timing and budget availability.
- Position description. It is not used for clarifying discrepancies in the job duties.
- Guarantee of promotion or reassignment to another position. While the developmental activities in an IDP may include 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. The following responsibilities address the IDP process specifically.

The **employee** is responsible for:

- Assessing their own skills necessary for performing the current position
- Suggesting developmental experiences which would enhance the skills necessary for performing in the current position and to achieve desired career goals
- Identifying personal career goals
- Understanding what skills are necessary for meeting career goals
- Participating in open discussions with the supervisor concerning the elements of the IDP
- Completing the developmental experiences in the IDP as approved by the supervisor
- Alerting the supervisor when the IDP needs review and updating

The **supervisor** is responsible for:

- Providing constructive feedback to the employee about skills necessary to perform the duties of the current position
- Reviewing employee suggestions for developmental experiences and making additional suggestions which would enhance the skills necessary to perform in the current position
- Coaching the employee about stated career goals
- Identifying developmental experiences which would enhance the skills necessary for performing in subsequent positions aligned with the employee's career goals
- Participating in open discussions with the employee concerning the elements of the IDP, and periodically reviewing and updating the IDP
- Giving final approval for specific developmental experiences
- Monitoring the progress of the employee in completing training and the developmental experiences in the IDP

**Appendix 3: Individual Development Plan (IDP)**

Bureaus/Offices may require the use of an IDP at their discretion. Check with your Human Resources Office for the IDP or other appropriate form to be used by your Bureau/Office for documenting employee developmental needs.

**IDP Performance Year:** \_\_\_\_\_

|  |   |                             |                 |                |
|--|---|-----------------------------|-----------------|----------------|
| Employee's Name  | Position Title/Grade  | Office Phone                | Office Fax      | Email Address  |
| Current Supervisor's Name  | Supervisor's Title  | Office Phone                | Office Fax      | Email Address  |
| Goals for Successful Performance in Current Position                                   | Short-term Career Goals (2-3 years)                                       | Long-term Goals (3+ years)  |                 |                |
| 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 |
| Notes  |   | Employee's Signature/Date   |                 |                |
|  |   | Supervisor's Signature/Date |                 |                |

**Instructions for Completing the IDP**

**Employee Development and Career Goals** – The employee and supervisor work together to complete the goals for successful performance in the employee’s current position and the employee’s short- and long-term career goals.

**Developmental Objectives** – Describe what the employee needs to do this year to work toward his/her goals. Objectives describe what the employee needs to learn or achieve in order to reach his/her goals.

**Method of Training and Time Frame** – Determine what type of training or activity is needed to accomplish the employee’s developmental goals. It could be on-the-job training, a detail, a formal training course or a combination of methods. Identify the proposed dates for the training or activity in the “Proposed Dates” column. Enter the actual or estimated cost of the activity in the “Estimated Costs” column. This column can be used in preparing your office’s annual budget. Once the training is completed, write the date in the “Date Completed” column.

**Methods of Training:**

- On-the-Job Training – Can include coaching by a skilled individual or details into positions that will give the employee the skills and knowledge needed.
- Details – Temporary assignments to another location and/or position to gain specific knowledge and/or experience.
- Courses – Formal training courses, e.g., from your bureau/office, local universities, commercial vendors.
- Webcasts/Computer-Based/Online Learning – A variety of topics are available through your Bureau/Office via webcasts, software packages, and online training.

**Discussing the Development Plan** – Supervisors should discuss the IDP with the employee and make any necessary modifications. The supervisor and employee should sign and date the plan. The IDP should be completed within 45 days from the beginning of the performance year.

**Review and Modifications** – The IDP should be reviewed at each performance review and modified as situations or needs change.