

# DEPARTMENT OF THE INTERIOR DEPARTMENTAL MANUAL

Personnel

Part 370 DM Addition to FPM

Chapter 430 Performance Appraisal System

370 DM 430.1.1

## Subchapter 1. General Provisions

1.1 Purpose. This chapter contains the policy and procedures of the Performance Management Program of the Department of the Interior.

1.2 Effective Date. Implementation of this two-level performance management program will be accomplished by January 1, 1996, or upon expiration of existing labor management contracts containing performance management provisions in conflict with this program, whichever is later. Existing three- and five-level performance management programs shall constitute approved performance management programs until this two-level program is implemented. No provision of the policies and procedures in this chapter shall be applied in such a way as to affect any administrative proceeding related to any action that is pending prior to implementation of this two-level program.

### 1.3 Coverage.

A. This program applies to all bureaus and offices of the Department. Bureaus will not issue supplemental performance management policy. Areas of bureau discretion (i.e., rating period and higher level review/approval of performance plan and summary rating) will be documented in Appendix A.

B. The provisions of this program apply to all employees except Presidential appointees, Senior Executive Service (SES) members, employees outside the United States who are paid in accordance with local native prevailing wage rates, administrative law judges appointed under 5 U.S.C. 3105, and employees occupying positions excluded by Office of Personnel Management regulations (e.g., excepted service employees whose employment is not reasonably expected to exceed 90 days in a consecutive 12-month period).

C. In carrying out the implementation of this program, management must be aware of any obligations and/or conflicts in collective bargaining agreements, as appropriate.

1.4 Policy. It is the policy of the Department of the Interior that, within the framework provided by this program, individual and organizational goals will be communicated to employees, individual responsibility for accomplishing team and organizational goals will be identified, performance will be evaluated and improved, and the results of performance management will be used as a basis for appropriate personnel actions. All participants in this process should expect to be held accountable

11-1-45 FPM-418

Replaces 3-14-88 FPM-372 and 5-4-92 FPM-393

DEPARTMENT OF THE INTERIOR  
DEPARTMENTAL MANUAL

Personnel

Part 370 DM Addition to FPM

Chapter 430 Performance Appraisal System

370 DM 430.1.4

for accomplishment of their performance management responsibilities as described in Paragraph 1.6 below.

1.5 Authority. This program implements the law (5 U.S.C. Chapter 43) and regulations (5 CFR Part 430) concerning performance management.

1.6 Definitions.

A. Critical Result (critical element as defined in 5 CFR 430.203) means a mission-based outcome or end product that is essential to overall success in the position.

B. Performance Indicator (performance standard as defined in 5 CFR 430.203) means a statement of the performance expectations or requirements necessary for achieving the critical results of the position. Performance indicators include quality, teamwork, and customer service measures.

C. Performance Plan means the employee's critical results and performance indicators.

D. Progress Review means a discussion between rating official and employee held during the appraisal period to review the employee's progress toward achieving critical results, make any necessary revisions in critical results, and consider any developmental needs or performance improvement required.

E. Rating Official means the individual responsible for working with an employee to determine critical results and identify performance indicators. The rating official conducts progress reviews and, at the end of the rating period, evaluates employee performance and prepares the rating of record.

F. Rating Period means the period of time during which the employee's performance is observed for the purpose of assigning a rating of record. The official rating period for the Department is 1 year as determined by each bureau and documented in Appendix A. Bureaus may extend when special circumstances (such as organizational realignments) dictate.

G. Reviewing Official means the individual who is responsible for reviewing and approving performance plans and/or ratings of record prepared by rating officials, where a higher level review is required. (See Appendix A.)

11/1/95 FPM-418

Replaces 3/1/88 FPM-372 and 5/4/92 FPM-393

DEPARTMENT OF THE INTERIOR  
DEPARTMENTAL MANUAL

Personnel

Part 370 DM Addition to FPM

Chapter 430 Performance Appraisal System

370 DM 430.1.6H

H. Summary Rating means the rating ("Results Achieved" or "Results Not Achieved") assigned to describe the employee's overall performance.

I. Unacceptable Performance means failure to attain a rating of "Results Achieved" in one or more critical results.

J. Rating of Record means the official rating signed and approved at the end of the rating period.

1.7 Responsibilities.

A. Employees are responsible for:

(1) participating with their rating official in determining critical results and related performance indicators and revising them as necessary during the rating period;

(2) assuring that they have a clear understanding of their rating official's expectations and requesting clarification if necessary;

(3) managing their performance to achieve critical results and bringing to their rating official's attention circumstances that may affect achievement of critical results;

(4) wherever possible, seeking performance feedback from their rating official and internal and external customers;

(5) participating in discussions of their performance;  
and

(6) taking action to improve aspects of performance identified as needing improvement.

B. Rating Officials are responsible for:

(1) determining critical results and performance indicators with employee input and documenting them on the performance plan;

(2) monitoring employee performance during the rating period and communicating with employees on an ongoing basis about their performance;

(3) conducting at least two progress reviews for each employee between the initial annual planning session and the end of the rating period;

DEPARTMENT OF THE INTERIOR  
DEPARTMENTAL MANUAL

Personnel

Part 370 DM Addition to FPM

Chapter 430 Performance Appraisal System

370 DM 430.1.7B(4)

- (4) wherever possible, obtaining and using feedback from internal and external customers, team members, coworkers, suppliers, or others as appropriate, concerning employee performance;
- (5) assisting employees throughout the rating period in improving aspects of performance identified as needing improvement;
- (6) preparing the rating of record and meeting with employees to discuss the rating and employee developmental needs;
- (7) recognizing employees who demonstrate high-quality performance and assuring that there is equity and consistency of consideration for Quality Step Increases in the organization for which they are responsible; and
- (8) taking remedial action, in accordance with 5 CFR 432, for employees who do not achieve one or more individual critical results.

C. Reviewing Officials are responsible for:

- (1) reviewing and approving "Results Not Achieved" ratings of record; and, where required,
- (2) reviewing and concurring in performance plans developed by rating officials and employees;
- (3) reviewing and approving "Results Achieved" ratings of record prepared by rating officials; and
- (4) resolving with rating officials any differences of opinion concerning employee ratings and adjusting ratings, if necessary.

D. Heads of Bureaus and Offices are responsible for implementing, supporting, and communicating to employees about the Departmental performance management program.

E. Director, Office of Personnel is responsible for:

- (1) developing Departmental performance management policy;
- (2) monitoring, evaluating, and revising the performance management program as necessary;

DEPARTMENT OF THE INTERIOR  
DEPARTMENTAL MANUAL

Personnel Part 370 DM Addition to FPM

Chapter 430 Performance Appraisal System 370 DM 430.1.7E(3)

(3) providing advice and assistance to bureaus in administering the program; and

(4) evaluating the Departmental performance management program.

1.8 Eligibility for Rating. To be eligible for a summary rating and rating of record, an employee must have worked under a performance plan for at least 90 days.

1.9 Rating Period. The official rating period for the Department is 1 year as determined by each bureau and documented in Appendix A.

DEPARTMENT OF THE INTERIOR  
DEPARTMENTAL MANUAL

Personnel Part 370 DM Addition to FPM

Chapter 430 Performance Appraisal System 370 DM 430.2.1

Subchapter 2. Performance Plan and Rating

2.1 Performance Plan.

A. Critical Results. At the beginning of the rating period, the rating official will meet with the employee to identify one (1) to five (5) critical results that the employee is expected to achieve during the rating period. These critical results may address the individual results that an employee is expected to accomplish as well as an employee's individual participation in accomplishing team and organizational goals. The rating official will document the critical results in Part I of the Employee Performance Plan and Results Report (Form DI-2002) within 60 days after the beginning of the rating period or when the employee has a significant change in critical results. A copy of the DI-2002 is contained in Appendix B.

B. Performance Indicators. The rating official will indicate in Part I of DI-2002 the quality, teamwork, and customer service performance indicators that apply to each critical result. Definitions of the performance indicators are provided on the form and in the instructions for the form. A copy of the instructions is provided in Appendix C. Rating officials will obtain feedback concerning the employee's performance from the employee, internal and external customers, coworkers, team members, suppliers, or other individuals who have knowledge of the employee's performance.

C. The employee and rating official will sign and date the performance plan in Part IV of DI-2002. The employee's signature indicates that the performance plan has been discussed with the employee. It does not certify that the employee concurs with the plan. If the employee refuses to sign the performance plan, the rating official will note in Part IV of the form that the plan has been discussed with the employee.

D. After the performance plan has been signed by the employee and rating official, it will be reviewed, signed, and dated by the reviewing official, in those bureaus where a reviewing official is required. If the rating and reviewing officials do not concur, the reviewing official will make the final determination. The new plan will be provided to the employee for signature.

# DEPARTMENT OF THE INTERIOR DEPARTMENTAL MANUAL

Personnel

Part 370 DM Addition to FPM

Chapter 430 Performance Appraisal System

370 DM 430.2.1E

E. The rating official will provide a copy of the signed performance plan and performance indicator definitions to the employee. The performance plan can be modified by the rating official and employee at any time during the rating period and during a progress review, as described in Paragraph 2.2 below.

## 2.2 Progress Reviews.

A. Rating officials must conduct at least two (2) progress reviews with each employee between the initial annual planning session and the end of the rating period. At the conclusion of each progress review, the rating official and employee will initial and date Part II of DI-2002.

B. During each progress review, the rating official and employee will discuss the employee's progress toward achieving critical results, any necessary revisions in critical results, and any performance improvement or developmental needs.

C. For employees who are achieving their critical results, progress review discussions may be summarized in Part II. For employees who are not achieving results, the rating official should document the specific problem areas and describe how performance must be improved in order to obtain a "Results Achieved" rating.

## 2.3 Summary Rating.

A. Within 60 days following the end of the rating period, the rating official will consider the employee's performance during the rating period, including any feedback received, and assign a rating in each critical result area. In the event that the employee does not have an opportunity to perform a critical result, no rating should be assigned, and the words "Not Rated" should be written on the form.

B. An employee must have achieved all critical results based on individual performance in order to be assigned a summary rating of "Results Achieved." An employee who does not achieve one or more critical results based on individual performance will receive a summary rating of "Results Not Achieved."

DEPARTMENT OF THE INTERIOR  
DEPARTMENTAL MANUAL

Personnel

Part 370 DM Addition to FPM

Chapter 430 Performance Appraisal System

370 DM 430.2.3C

C. For employees assigned a summary rating of "Results Achieved," the rating official may include narrative comments in Part III of DI-2002. For employees assigned a rating of record of "Results Not Achieved," the rating official must provide a written explanation describing the specific areas in which the employee has failed to achieve critical results. (For information concerning performance improvement plan, see 5 CFR 432.)

For Bureau of Indian Affairs (BIA) contract education personnel paid under the BIA Contract Education Pay System in accordance with 62 BIAM 11, the Summary Rating should include a justification for a 1 or 2-level incremental pay raise, if appropriate. This brief justification should reflect performance accomplishments that justify the 1 or 2-level incremental pay raise.

D. A "Results Not Achieved" rating of record, assigned by the rating official, must be approved by the reviewing official. Ratings of "Results Achieved" are reviewable at bureau discretion. (See Appendix A.) If the rating and reviewing officials do not concur, the reviewing official will make the final determination.

E. An employee who did not work under a performance plan for 90 days during the rating period will have the rating period extended to allow the employee to work under a performance plan for 90 days. The rating official will rate the employee's performance at the end of the rating period extension.

F. When an employee changes positions during the rating period, the rating official in the employee's former position should prepare a summary rating, provided the employee has worked under a performance plan for at least 90 days. This rating will be taken into consideration in preparing the employee's rating of record at the end of the rating period.

G. When an employee completes a detail during the rating period, the rating official on the detail should prepare a summary rating, provided the employee has worked under a performance plan for at least 90 days. This rating will be taken into consideration in preparing the employee's rating of record at the end of the rating period.

H. Prescribed or forced distribution of summary ratings is prohibited.



DEPARTMENT OF THE INTERIOR  
DEPARTMENTAL MANUAL

Personnel

Part 370 DM Addition to FPM

Chapter 430 Performance Appraisal System

370 DM 430.2.4

**2.4 Rating Discussion.**

A. Following approval of the rating of record, the rating official will discuss the rating and any developmental needs with the employee.

B. Following the discussion, the rating official will ask the employee to sign the rating to indicate that the rating has been discussed. If the employee declines to sign the rating, the rating official will so note on the form and include any written comments provided by the employee.

C. The rating official will ensure that the original of the rating of record, including any written comments provided by the employee, is included in the employee's Employee Performance File. The rating official will also ensure that a copy of the rating of record, with employee comments, is provided to the employee.

**2.5 Reconsideration.**

A. Employees not Covered by Collective Bargaining Agreements. An employee who is dissatisfied with a rating of record may request reconsideration of the rating by a higher level or other appropriate management official who was not directly involved in the rating. The employee's reconsideration request must be in writing, must state the basis for the request, and must be submitted to the appropriate management official within 15 calendar days following the employee's receipt of the rating. The decision by the appropriate management official is final and binding, and there is no further right of review in the performance management process.

B. Employees Covered by Collective Bargaining Agreements. Where reconsideration rights are provided in a Collective Bargaining Agreement, employees must use that procedure. Where reconsideration rights are not provided in a Collective Bargaining Agreement, employees may use the provisions of paragraph 2.5A above.

C. Equal employment opportunity and prohibited personnel practice complaint procedures apply to ratings of records in the same manner as they apply to other matters.

11/1/95 FPM-418

Replaces 3/14/88 FPM-372 and 5/4/92 FPM-393

DEPARTMENT OF THE INTERIOR  
DEPARTMENTAL MANUAL

Personnel Part 370 DM Addition to FPM

Chapter 430 Performance Appraisal System 370 DM 430.2.6

2.6 Ratings of Record.

A. Ratings of Record (DI-2002) will be maintained in accordance with 5 CFR 293, Subpart D. Summary ratings will be retained for 4 years.

B. When an employee transfers to another agency, the employee's ratings of record for the last 4 years will be transferred to the gaining agency.

DEPARTMENT OF THE INTERIOR  
DEPARTMENTAL MANUAL

Personnel

Part 370 DM Addition to FPM

Chapter 430 Performance Appraisal System

370 DM 430.3.1

Subchapter 3. Linkage of Summary Rating to Other Personnel Actions

3.1 Within-Grade Increase (WGI). An employee must have a current rating of record of "Results Achieved" in order to be granted a WGI. An employee who has a current rating of record of "Results Not Achieved" will not be granted a WGI until performance improves to the "Results Achieved" level. Additional information concerning WGIs is contained in 5 CFR 531.

3.2 Quality Step Increase (QSI). A QSI is an exceptional performance pay increase which provides faster than normal step increases for permanent general schedule employees who achieved all critical results in their Employee Performance Plan. Additional information concerning QSIs is contained in the Department of the Interior Human Resources Management Handbook. No other awards are directly linked to the performance appraisal process; however, awards may be based on achieving critical results outlined in an Employee's Performance Plan.

3.3 Promotion. In order to receive a career ladder promotion, an employee must have a current rating of record of "Results Achieved."

3.4 Training and Development. The performance plan, progress reviews, and summary rating provide a basis and an opportunity to determine whether an employee's performance could be improved/enhanced by training or other developmental activities. Therefore, the rating official may use the rating of record as a basis for discussing the employee's developmental needs.

3.5 Reduction-in-Force (RIF). In a RIF, employees will receive service credit based on an average of the employee's three most recent ratings of record received during the 4-year period prior to the date of issuance of a specific RIF notice or an earlier cutoff date established by the bureau. DOI employees will receive service credit of 12 years for a "Results Achieved" rating of record. DOI employees will receive 0 years of service credit for a "Results Not Achieved" rating of record. Employees who do not have a rating of record will be assigned service credit in accordance with 5 CFR 351. Employees who transfer into DOI from other agencies will receive service credit in accordance with 5 CFR 351. Additional information concerning RIF is contained in 5 CFR 351.

11/1/95 FPM-418

Replaces 3/14/88 FPM-372 and 5/4/92 FPM-393

# DEPARTMENT OF THE INTERIOR DEPARTMENTAL MANUAL

Personnel Part 370 DM Addition to FPM

Chapter 430 Performance Appraisal System 370 DM 430.3.6

**3.6 Actions Based on Unacceptable Performance.** If at any time during the rating period an employee's performance is determined to be unacceptable ("Results Not Achieved") in one or more individual critical results, the employee will be given a performance improvement plan and an opportunity to demonstrate acceptable ("Results Achieved") performance. If the employee's performance does not improve to the "Results Achieved" level during the opportunity period, action will be initiated to reduce in grade, reassign, or remove the employee. Additional information concerning actions based on unacceptable performance is contained in 5 CFR 432 and in the Department of the Interior Human Resources Management Handbook.

11/1/95 FPM-418

Replaces 3/14/88 FPM-372 and 5/4/92 FPM-393

<b>RATING PERIOD AND LEVEL OF REVIEW REQUIRED</b>			
<b>Bureau/Office</b>	<b>Rating Period</b>	<b>Reviewing Official Required</b>	
		<b>Performance Plan</b>	<b>Summary Rating</b>
Office of the Secretary	Oct 1 - Sept 30	No	No
Office of the Solicitor	Oct 1 - Sept 30	Yes	Yes
Office of Inspector General	Oct 1 - Sept 30	Yes	Yes
National Park Service	Oct 1 - Sept 30	No	No
National Biological Service	Oct 1 - Sept 30	No	No
U.S. Fish and Wildlife Service	Oct 1 - Sept 30	No	No
Bureau of Indian Affairs	Oct 1 - Sept 30	No	No
Bureau of Land Management	Oct 1 - Sept 30	No	No
Office of Surface Mining Reclamation and Enforcement	Jul 1 - Jun 30	No	No
Minerals Management Service	Oct 1 - Sept 30	No	No
U.S. Geological Survey	Oct 1 - Sept 30	Yes	Yes
Bureau of Reclamation	Jan 1 - Dec 31	No	No

\* "Results Not Achieved" summary rating requires Reviewing Official approval



**U.S. DEPARTMENT OF THE INTERIOR  
 EMPLOYEE PERFORMANCE PLAN AND RESULTS REPORT**

Form DI-2002  
 September 1995

Employee's Name: _____	Rating Period: _____
Title/Series/Grade: _____	Bureau/Office: _____
Duty Location: _____	Social Security No.: _____

**PART I PERFORMANCE PLAN**

**CRITICAL RESULTS** (*List no more than five*)

**RESULTS** (Enter:  
*Achieved or Not Achieved*)

A.	
B.	
C.	
D.	
E.	

**PERFORMANCE INDICATORS.** *Circle or underline the applicable critical result letter(s).*

**QUALITY**

**Apply to Critical Result(s):**

Knowledge of Field or Profession: Maintains and demonstrates technical competence and/or expertise in areas of assigned responsibility.	All A B C D E
Accuracy and Thoroughness of Work: Plans, organizes, executes, work logically. Anticipates and analyzes problems clearly and determines appropriate solutions. Work is correct and complete.	All A B C D E
Soundness of Judgment and Decisions: Assesses tasks objectively and researches and documents assignments carefully. Weighs alternative courses of action, considering long- and short-term implications. Makes and executes timely decisions.	All A B C D E
Effectiveness of Written Documents: Written work is clear, relevant, concise, well-organized, grammatically correct, and appropriate to audience.	All A B C D E
Effectiveness of Communications: Presentation meets objectives, is persuasive, tactful, and appropriate to audience. Demonstrates attention, courtesy, and respect for other points of view.	All A B C D E
Timeliness in Meeting Deadlines: Completes work in accordance with established deadlines.	All A B C D E
Effectiveness of Supervision: Directs and coordinates activities of unit, assuring deadlines are met. Coaches, counsels, develops, and utilizes staff effectively, demonstrating a commitment to the workforce.	All A B C D E
Other (specify):	All A B C D E
Other (specify):	All A B C D E

PERFORMANCE INDICATORS (cont )	
TEAMWORK	Apply to Critical Result(s)
Participation: Willingly participates in group activities, performing in a thorough and complete fashion. Communicates regularly with team members. Seeks team consensus.	All A B C D E
Leadership: Provides encouragement, guidance, and direction to team members as needed. Adjusts style to fit situation.	All A B C D E
Cooperation: Support team initiatives. Demonstrates respect for team members, accepts the views of others, and actively support team decisions.	All A B C D E
Other (specify):	All A B C D E
CUSTOMER SERVICE	Apply to Critical Result(s):
Quality of Service: Delivers high quality products and service to both external and internal customers. Initiates and responds to suggestions for improving service.	All A B C D E
Timeliness of Service: Delivers quality products and services in accordance with time schedules agreed upon with customer.	All A B C D E
Courtesy: Treats external and internal customers with courtesy and respect. Customer satisfaction is high priority.	All A B C D E
Other (specify):	All A B C D E

**PART II. PROGRESS REVIEWS:** Date of review and initials of employee and Rating Official (R.O.) must also be provided for each review. A summary of comments is optional unless results are not being achieved.

Date: \_\_\_\_\_  
Emp. initials: \_\_\_\_\_  
R.O. initials: \_\_\_\_\_

---

Date: \_\_\_\_\_  
Emp. initials: \_\_\_\_\_  
R.O. initials: \_\_\_\_\_

**PART III. SUMMARY RATING:** (Enter: Achieved or Not Achieved on this line) **RESULTS** \_\_\_\_\_

Space is provided to summarize the basis for rating given. A "Results Not Achieved" rating requires explanation; if more space is needed, provide additional comments as an attachment.

**PART IV. CERTIFICATION:** (Employee's signature certifies review and discussion with the Rating Official. It does not necessarily mean that the employee concurs with the information on this form).

Performance Plan: (Sign when plan is established)		Summary Rating: (Sign when rating is completed)	
Employee _____	Date _____	Rating Official _____	Date _____
Rating Official _____	Date _____	Reviewing Official (required for summary of "Results Not Achieved") _____	Date _____
Reviewing Official (when required by Bureau Office) _____	Date _____	Employee _____	Date _____

Privacy Act Notice: Submission of information is mandatory. Failure to provide information will prohibit data collection required by the Office of Personnel Management.

8/31/95

## DEPARTMENT OF THE INTERIOR

### PERFORMANCE MANAGEMENT INSTRUCTIONS

**INTRODUCTION:** The purpose of these instructions is to provide information and guidance on the use of the Employee Performance Plan and Results Report form (DI-2002). This one-page form is used to record the performance plan, progress reviews, and summary rating. The top portion of the form contains specific information unique to each employee. The following instructions provide information and guidance on the individual parts of the form.

#### **Part I. PERFORMANCE PLAN**

**Critical Results:** A critical result (critical element) is a mission-based outcome or end product that is essential to overall success in the position.

At the beginning of the rating period, the rating official will meet with the employee to identify one (1) to five (5) critical results that the employee is expected to accomplish during the rating period (a minimum of 90 days). Critical results may address the individual results that an employee is expected to accomplish as well as an employees individual participation in accomplishing team and organizational goals.

At the end of the rating period, the rating official will determine whether the critical results have been accomplished and rate the employee's performance as either "Achieved" or "Not Achieved" for each critical result. In the event the employee does not have an opportunity to perform a critical result, no rating should be assigned, and the words "Not Rated" should be written on the appropriate line.

**Performance Indicators:** Performance indicators are generic quality, teamwork, and customer service performance measures. Performance indicators tell the rating official and employee what is important to successful performance in each critical result. Attachment 1 provides an explanation of all performance indicators at the "Results Achieved" level.

At the beginning of the rating period, the rating official and the employee jointly identify the performance indicators that apply to each critical result. (Performance indicators may apply to more than one or all critical results.) Additional performance indicators with explanations may be added in the space provided.



It is recommended that each organization develop a process to receive performance indicator feedback, especially in the two areas of Teamwork and Customer Service. At the end of the rating period, the rating official must evaluate how well the employee performed in all three areas (quality, teamwork, and customer service) and incorporate that information into the overall rating for each critical result.

**Part II. PROGRESS REVIEWS:**

One of the primary objectives of the performance management system is to improve communications between the rating official and the employee concerning performance expectations and results. This portion of the form is to be used to record comments and document that performance discussions between the supervisor and the employee have been held on a periodic basis during the rating period. These progress reviews are in addition to the initial meeting to develop the performance plan and the annual rating discussion.

The form provides space for two required progress reviews within a 12-month rating period, but this is not intended to be a limit. If more are held, they may be recorded in an attachment to this form.

**Part III. SUMMARY RATING:**

At the end of the rating period, the rating official assigns a summary rating level of "Results Achieved" or "Results Not Achieved." A summary rating of "Results Achieved" means that the employee has met the performance expectations for each critical result. Narrative comments are not required for a "Results Achieved" rating, but may be included in the space provided on the form.

A summary rating of "Results Not Achieved" means that the employee has not met the performance expectations for one or more critical result(s). Summary ratings of "Results Not Achieved" require written explanation specifically describing the performance deficiencies, and procedures set forth in 5 CFR 432 must be followed to initiate performance improvement efforts.

For Bureau of Indian Affairs (BIA) contract education personnel paid under the BIA Contract Education Pay System in accordance with 62 BIAM 11, the Summary Rating should include a justification for a 1 or 2-level incremental pay raise, if appropriate. This brief justification should reflect performance accomplishments that justify the 1 or 2-level incremental pay raise.

**Part IV. CERTIFICATION:**

The left side of the certification must be signed and dated at the beginning of the rating period by the employee, the rating official, and (when required by the Bureau) the reviewing official to indicate that the performance plan has been discussed with the employee. If the employee declines to sign the performance plan, the fact will be noted in the signature block by the rating official.

The right side of the certification must be signed and dated at the conclusion of the rating period when the summary rating is determined and discussed with the employee. Except in the case of a "Results Not Achieved" summary rating, it is the Bureau's option to decide whether a Reviewing Official will approve and sign a summary rating certification. If a Bureau does decide to require a reviewing official's concurrence on all summary ratings, the reviewing official must sign the rating prior to the communication of the summary rating to the employee.

It should also be noted that the employee's signature does not indicate concurrence with the summary rating. The employee still has the opportunity to request reconsideration of the summary rating. (See 370 DM 430, Subchapter 2.5 for reconsideration procedures.) Also, if an employee declines to sign and date a summary rating, that fact will be noted in the signature block by the rating official, and any written comments provided by the employee will be included.

## PERFORMANCE INDICATORS

### Quality

Knowledge of Field or Profession: Maintains and demonstrates technical competence and/or expertise in areas of assigned responsibility.

Accuracy and Thoroughness of Work: Plans, organizes, executes, work logically. Anticipates and analyzes problems clearly and determines appropriate solutions. Work is correct and complete.

Soundness of Judgement and Decisions: Assesses tasks objectively and researches and documents assignments carefully. Weighs alternative courses of action, considering long- and short-term implications. Makes and executes timely decisions.

Effectiveness of Written Documents: Written work is clear, relevant, concise, well-organized, grammatically correct, and appropriate to audience.

Effectiveness of Communications: Presentation meets objectives, is persuasive, tactful, and appropriate to audience. Demonstrates attention, courtesy, and respect for other points of view.

Timeliness of Meeting Deadlines: Completes work in accordance with established deadlines.

Effectiveness of Supervision: Directs and coordinates activities of unit, assuring deadlines are met. Coaches, counsels, develops, and utilizes staff effectively, demonstrating a commitment to the workforce.

### Teamwork

Participation: Willingly participates in group activities, performing in a thorough and complete fashion. Communicates regularly with team members. Seeks team consensus.

Leadership: Provides encouragement, guidance, and direction to team members as needed. Adjusts style to fit situation.

Cooperation: Supports team initiatives. Demonstrates respect for team members, accepts the views of others, and actively supports team decisions.

### Customer Service

Quality of Service: Delivers high quality products and service to both external and internal customers. Initiates and responds to suggestions for improving services.

Timeliness of Service: Delivers quality products and services in accordance with time schedules agreed upon with customer.

Courtesy: Treats external and internal customers with courtesy and respect. Customer satisfaction is high priority.