

## **Performance Appraisal**

### **Chapter 1. Legal Requirements and Authorities**

This document implements provisions of the following authorities:

- a. Performance Appraisal, 5 U.S.C. Chapter 43; DAO 202-430
  - b. Official Personnel Folder, 5 CFR Part 293, Subpart C
- .01 The following citations are related to this document:
- a. Agency Administrative Grievance System, 5 CFR Part 771
  - b. Federal Employees' Health and Counseling Programs, 5 CFR Part 792
  - c. Adverse Actions, 5 U.S.C. Chapter 75; 5 CFR Part 752
  - d. Incentive Awards, 5 U.S.C. Chapter 45; Awards, 5 CFR Part 451
  - e. Pay Rates and Systems, 5 U.S.C. Chapter 53; Pay Under the General Schedule, 5 CFR Part 531; Grade and Pay Retention, 5 CFR Part 536; Pay Administration (General), 5 CFR Part 550
  - f. Actions based on unacceptable performance, 5 U.S.C. 4303; and Performance Based Reduction in Grade and Removal Actions, 5 CFR Part 432
  - g. Probationary and Trial periods, DAO 202-315

The Director for Human Resources Management is responsible for any necessary revisions of this Handbook. In developing and implementing performance management systems, the Department of Commerce and its operating units will be mindful of their obligation to labor organizations with exclusive recognition (5 USC 7114) or national consultation rights (5 U.S.C. 7113).

## **Chapter 2. Definitions**

**Acceptable Performance** is performance that meets the acceptable level of performance for the Department's 5-level rating scale.

**Agency** is the Department of Commerce.

**Appraisal** is the act or process of evaluating the performance of an employee against the prescribed performance standard(s).

**Appraisal Cycle** is a one-year period established by the Department's Performance Management System, which an employee's performance will normally be reviewed.

**Approving Official** is normally the supervisor who assigns, controls, and is responsible for the work of the rating official, and is usually the rating official's immediate supervisor. However, operating units or Departmental offices may designate a higher level official in the management chain as the approving official, provided this designation does not conflict with any other provisions of this document. The approving official is responsible for approving the final performance rating.

**Critical Element** is a component of an employee's position consisting of one or more duties and responsibilities which contributes toward accomplishing organizational goals and objectives, and which is of such importance that unacceptable performance on the element would result in unacceptable performance in the position.

**Generic Performance Standards** are performance standards that can be applied to all employees covered by the 5-level performance management system. (See Appendix A for more information)

**Interim Rating** is a rating that should be prepared during the course of a rating period when an employee has spent the minimum appraisal period (120 days) in a covered position and then changes to another position. This may happen more than once during the rating period.

**Major Activity** is a task, duty, or project to be accomplished in support of a critical element.

**Meritorious Step Increase** is an increase in a foreign service employee's rate of basic pay from one step of his or her position to the next higher of the grade. Only an employee who receives a rating of record at Level 5 or equivalent is eligible.

**Minimum Appraisal Period** is the minimum length of time an employee must perform under a performance plan prior to being appraised. The minimum appraisal period is 120 days.

**Opportunity to Demonstrate Acceptable Performance** is a reasonable time period within which an employee, whose performance has been determined to be at Level 1 in one or more critical elements, has an opportunity to demonstrate performance at a level above Level 1.

**Performance** is an employee's accomplishment of assigned work as specified in the critical elements and as measured against standards of the employee's position.

**Performance Award** is a one-time cash payment to recognize the contributions of an employee and is based on the rating of record. A performance award does not increase base pay.

Performance-Based Actions are the reduction in grade or removal of an employee based solely on performance at the unacceptable level.

**Performance Improvement Plans (PIP)** are developed for employees at any point in the appraisal cycle when performance becomes Level 1 (unacceptable) in one or more critical

elements. This plan affords an employee the opportunity to demonstrate acceptable performance and it is developed with specific guidance provided by a servicing human resources office.

**Performance Management** is the integrated process by which an agency involves its employees in improving organizational effectiveness in the accomplishment of agency mission and strategic goals. Performance Management consists of: performance planning, monitoring employee performance, employee development, evaluating employee performance, and recognition.

**Performance Plans** are the documentation of performance expectations communicated to employees from supervisors. Plans define the critical elements and the performance standards by which an employee's performance will be evaluated.

**Performance Standards** are statements of the expectations or requirements established by management for a critical element at a particular rating level. A performance standard may include, but is not limited to, factors such as quality, quantity, timeliness, and manner of performance.

**Pre-appraisal Meeting** is a meeting, although not mandatory, which may be requested by an employee prior to the formal appraisal meeting with the rating official. During this meeting the employee may: (1) present an assessment of his or her accomplishments during the appraisal period; (2) cover aspects of his or her work of which the rating official may not be aware; and (3) identify what he or she would like to include in the next cycle's performance plan.

**Progress Review** is a formal feedback session at which the rating official and employee discuss: the employee's progress toward meeting the elements in his or her performance plan, the need for any changes to the plan, and any performance deficiencies the supervisor has noted.

**Quality Step Increase** is an increase in the General Schedule employee's rate of basic pay from one step of his or her position to the next higher step of the grade. Only an employee who receives a rating of record at Level 5 is eligible.

**Rating** is the written record of the appraisal of the employee's performance in each critical element and the assignment of a summary rating level.

**Rating Official** is the person responsible for informing the employee of the critical elements of his or her position, establishing performance standards, providing feedback, appraising performance, and recommending the performance rating. Normally, this is the employee's immediate supervisor.

**Required Performance Elements** are performance elements that apply to all employees in an organization. Customer Service is a required element for all employees. An additional element, Leadership, is required for all managers and supervisors.

**Summary Rating (or Rating of Record)** is the overall performance rating for the most recent performance year. This rating is established by combining the individual ratings on each element to arrive at an overall evaluation of an employee's performance for an appraisal period.

**Supplemental Standards** define performance in terms of results (what is to be accomplished) and process (how it is to be accomplished). Supplemental standards are expressed in terms of quality, quantity, timeliness, cost-effectiveness, or other relevant measures, rather than tasks or specific duties.

**Unacceptable Performance**—performance that fails to meet the established performance standards in one or more critical elements of an employee’s position. It is referred to as a Level 1 rating on the Department’s 5-Level rating scale.

**Within-Grade Increase (WGI)**—a periodic increase in an employee’s rate of basic pay from one step of the grade of his or her position to the next step of that grade.

### **Chapter 3. Coverage**

The policies contained in this document apply to all Department of Commerce employees except the following:

- employees in the Senior Executive Service;
- Presidential appointees;
- administrative law judges appointed under 5 U.S.C. 3105;
- positions filled by noncareer executive assignments under 5 CFR Part 305;
- positions for which employment is not reasonably expected to exceed 120 calendar days in a consecutive 12-month period;
- employees outside the United States who are paid in accordance with local native prevailing wage rates;
- employees covered under the Demonstration Project;
- employees covered under the Alternative Personnel Management System;
- employees covered by the Foreign Service Act of 1980, as amended;
- NOAA Corps Commissioned Officers;
- individuals occupying positions not in the competitive service excluded from coverage by the Office of Personnel Management (OPM) under the provisions of 5 U.S.C. 4301(2)(G); and
- experts and consultants.

#### **Additional Coverage Guidance**

Details - Coverage is determined for employees who are on a detail by the position of record. Performance on the detail may be evaluated and included in the summary rating if a performance plan for the detail was established and the detail lasted for at least as long as the minimum appraisal period (120 days).

General Schedule - Employees whose service is temporarily interrupted by service in any federally-sponsored program (e.g., Intergovernmental Personnel Act), which calls for the employee's return to the same or like position, continue to be covered by the Performance Management System while on the federally-sponsored assignment.

Schedule C - employees, as authorized by 5 CFR Part 213.3301, are covered by this system except that they are not afforded the rights required by 5 U.S.C. 4302(b)(6) and 4303.

Foreign Service – employees covered by the Foreign Service Act of 1980, as amended, are covered by the Recognition portion of this handbook only.

## **Chapter 4. Roles and Responsibilities**

### **Heads of Operating Units or Departmental Offices:**

- ensure that the operating unit instructions on the Performance Management System are consistent with: current laws, applicable Office of Personnel Management rules and regulations, Departmental policies, this Handbook and valid collective bargaining agreements;
- ensure managers and supervisors receive training covering their duties and responsibilities;
- ensure covered employees are informed of their rights and responsibilities under the system;
- provide managers and supervisors with clear instructions on procedures for developing performance plans;
- communicate, in writing, overall missions, objectives, organizational strategic goals, and plans to all levels within the organization and ensure alignment of individual performance plans with organizational goals;
- ensure the opportunity exists for employee participation in the development of performance plans;
- ensure the maintenance of appropriate records and submit required data and reports on the operation of the Performance Management System;
- ensure that performance appraisal results are used by managers and supervisors in making personnel decisions regarding training, rewarding, reassigning, promoting, reducing in grade, retaining, and removing employees;
- ensure managers and supervisors meet appraisal deadlines and responsibilities;
- encourage employee recognition to reward and motivate employees; and
- monitor and evaluate the effectiveness of the program and take corrective action as warranted.

### **Approving Officials:**

- review critical elements and standards to ensure consistency with organizational strategic goals and plans;
- review, approve, sign, and date performance plans prepared by rating officials;
- facilitate conflict resolution between rating officials and employees over the content of performance plans;
- review performance plans and final ratings to ensure that evaluation criteria are objective and job-related, and that actual accomplishments or deficiencies identified by the rating official support the rating including documenting reasons for changing ratings;
- approve, sign, and date final summary ratings;
- approve or recommend performance-related personnel actions, including awards.

### **Rating Officials:**

- inform employees of the agency's mission and organizational strategic goals, plans, and activities of the work unit, and inform employees of their related duties and responsibilities;
- encourage employee participation in developing performance plans;

- provide employees with written performance plans which identify the critical elements and performance standards related to their specific duties, responsibilities, and expected levels of performance;
- engage in continuous dialogue with employees to ensure performance plan requirements are being met;
- conduct and document at least one formal progress review around the midpoint of the appraisal period and provide written feedback to employees;
- modify performance plans, as necessary;
- participate in the pre-appraisal meeting, if one is requested by the employee;
- complete appraisals which include determining and evaluating employees' actual performance;
- confer with approving officials about their organization's performance and obtain approval on the ratings they plan to assign their employees;
- obtain approving official's approval before discussing ratings with employees;
- document instances of unacceptable performance such as missed deadlines or poor quality work products;
- discuss the approved final appraisal with employees;
- sign and date performance plans, performance appraisals, and ratings;
- provide employees with a copy of the rating of record at the end of the appraisal cycle;
- recommend personnel actions (including awards), performance-based actions, and/or training based on employee performance in relation to performance standards; and
- submit the ratings assigned to each employee within 30 days of the end of the appraisal cycle to the servicing human resources office for entry into the automated employee record.

**Employees:**

- participate with supervisors in developing performance plans;
- perform duties and responsibilities in accordance with performance plans and position descriptions;
- document accomplishments against performance standards for both the progress review(s) and the final appraisals;
- participate in a scheduled progress review and request additional review(s), as necessary;
- schedule a pre-appraisal meeting with the rating official, if desired;
- participate in the appraisal process with the rating official;
- sign and date performance plans, performance appraisals, and ratings to acknowledge receipt;
- prepare written comments if desired; and
- personally identify and request developmental opportunities/training to enhance performance.

**Human Resources Offices:**

- communicate to supervisors, general workforce employees, and appropriate exclusive bargaining unit representatives the purpose and procedures of the appraisal system and its relationship to overall personnel management;

- provide instructions on how to develop critical elements and performance standards;
- ensure that critical elements are linked to organizational goals and objectives;
- provide training or orientation on the performance appraisal system;
- coordinate and submit required reports;
- participate in the development and implementation of a monitoring and evaluation program of the system;
- provide documentation on rating distributions and awards on an annual basis;
- provide rating and approving officials with appropriate advice when employee performance fails to meet performance expectations;
- enter ratings of record into the automated employee record (or database); and
- provide technical assistance to supervisors and managers in taking appropriate performance-based actions under 5 CFR 432 or 5 CFR 752, consulting with the Office of the General Counsel, as appropriate.

## **Chapter 5. Timetable of Performance Management Activities Annual Performance Cycles**

Employees covered by this system are appraised annually under one of the following appraisal periods: October 1 through September 30, June 1 through May 31 (for Office of Inspector General only), or November 1 through October 31 ( National Oceanic and Atmospheric Administration Wage Marine only).

### **Minimum Appraisal Period**

The minimum performance appraisal period is 120 days.

A minimum appraisal period is normally determined using calendar days, except when an adjustment to the minimum appraisal is needed due to an employee who is in a nonpay status for part of the appraisal cycle (e.g., leave without pay, intermittent work schedules, re-employed annuitants). In these cases, workdays are used.

### **New Plans**

Performance plans for all employees must be established and approved within 60 days of the beginning of the appraisal cycle. When an employee enters a position or changes positions after the start of the annual appraisal cycle, a plan must be established and approved within 60 days of the effective date of the appointment to the new position.

- When an employee is detailed or temporarily promoted to a position within the Department and is expected to serve in the position for 120 days or longer, an approved performance plan must be established and approved within 60 days from the beginning of a detail or temporary promotion.

### **Progress Reviews**

At least one progress review, or midterm appraisal, must be completed for each employee during each appraisal cycle. For the typical employee who is in a position on the first day of the appraisal cycle, this progress review should take place at or near the midpoint of the cycle. Both employees and supervisors may request additional progress reviews throughout the appraisal cycle as necessary.

### **Final Appraisals**

Summary ratings/ratings of record must be completed within 30 days of the end of the annual appraisal period, except:

- New employees, who are unratable at the end of the appraisal period because they have not served in a position for at least the minimum appraisal period (120 days) of the operating unit, must be rated within 30 days after they have served for the minimum appraisal period;
- Schedule A employees of the U.S. Census Bureau must receive their ratings within 60 days of the end of the appraisal period; and
- Employees who on the last day of the appraisal period have begun, but have not completed, an opportunity period to improve performance to an acceptable level will have their ratings deferred until the completion of the opportunity period.

There is no minimum required period that a supervisor must be in place before completing an employee's appraisal as long as that supervisor was in place on the last day of the rating cycle.

### **Departing Supervisors**

**When a rating official changes positions or leaves the Department prior to the last 120 days of the appraisal period, he or she should complete interim ratings for his or her employees (who served in their current position 120 days) before leaving the position and/or the Department. In many cases these interim ratings will become the final rating of record for employees who serve in several positions (for less than 120 days) throughout the remainder of the appraisal period.**

When a rating official changes positions or leaves the Department with less than 120 days remaining in the appraisal period, he or she should complete a final summary rating for the employee, which will become the rating of record for the performance year. The time remaining in the appraisal period will be included in the rating for the following performance year.

## **Chapter 6. Performance Management Process**

### **Introduction**

The performance management process is used to communicate organizational strategic goals, reinforce individual employee accountability for meeting those goals, and track and evaluate individual and organizational performance results.

The performance management process involves:

- performance planning;
- monitoring employee performance;
- employee development;
- evaluating employee performance; and
- recognition

Note: At any point in the process, appropriate action should be taken to address performance deficiencies.

### **Performance Planning**

Approximately four weeks before the start of the appraisal period, rating officials (supervisors) and employees should begin developing written performance plans for the next appraisal period. The process should involve both the supervisor and employee.

Performance plans must be recorded on CD-430, Performance Management Record.

Performance plans must be completed and signed by the rating official, approving official, and employee within 60 days of the beginning of the appraisal period.

Expectations of employee performance are established through the critical elements and standards contained in employee performance plans. Critical elements tell employees what they have to do and standards tell them how well they have to do it. Developing elements and standards that are understandable, measurable, attainable, and fair is vital to the effectiveness of the performance management process.

### **Critical Elements**

A critical element is a work assignment, responsibility, or result to be achieved that is of such importance that unacceptable performance in that element would result in a determination that the employee's overall performance is Level 1 (Title 5 USC 4301(3)). The Department requires that each employee have at least three and no more than five critical elements in his or her performance plan. Noncritical elements are not permitted.

### **Critical elements must:**

- be aligned with organizational goals and objectives;
- be the cornerstone of individual accountability in employee performance management;
- be a major component of work;
- describe work assignments and responsibilities that are within the employee's control to accomplish; and
- be weighted at no less than 15 percent.

### **Critical elements may not:**

- describe a group's performance. However, it may be possible to hold a supervisor or manager individually accountable for his or her work unit's products or services by including a critical element and standard in his or her plan to assess

the group's performance. This could only occur when the supervisor or manager has individual management control over the group's production and resources.

**Weighting of Critical Elements**

All critical elements within an employee’s performance plan must be weighted in order to indicate the relative importance of each critical element within the employee’s scope of responsibilities. These weights should not be assigned based on the percentage of time an employee spends working on that element. Rather, the weight for each element should reflect the significance of that task/program/project within the framework of the Department’s or bureau’s organizational goals.

The total weight for all critical elements must equal 100 percent with no element weighted less than 15 percent.

*Example:*

<b>Critical Element</b>	<b>Description of Critical Element</b>	<b>Weight</b>
1	Organizational Effectiveness	35 %
2	Customer Service	20 %
3	Professional Effectiveness	30 %
4	Special Projects	15 %
<b>TOTAL</b>		<b>100 %</b>

**Required Critical Elements**

All performance plans must include required critical elements: a Customer Service element for all employees and a Leadership element for all managers and supervisors. The information listed below is intended to be broad guidance on factors that should be considered when developing the required elements. It should be noted that each element should document specific activities (tailored to the employee’s position) that can be measured against established standards.

**Customer Service Element**

The Customer Service critical element measures responsiveness to internal and external customers, stakeholders, and the public. The activities and qualities of this element include:

- responsiveness to customer objectives and needs to the extent permitted by law and regulation;
- being accessible and timely in dealing with customers;
- handling customer requests promptly and effectively;
- communicating with customers to identify needs and expectations; and
- demonstrating customer focus as a critical part of the organization’s mission.

**Leadership Element**

The Leadership critical element must include the following duties and activities:

- management of plans and resources to accomplish the Agency's strategic goals and organizational objectives;
- effective communication of priorities, organizational goals, and strategic goals to staff;
- delivery of high quality services in compliance with laws, regulations, and policies;
- manage operations using measurable results and identified time frames;
- motivation of employees to achieve high performance through a positive workplace that fosters initiative and teamwork;
- effective management of employee performance and recognition including continuous feedback for performance, timely performance appraisals and awards, and resolution of performance deficiencies;
- providing employees with training and tools to do their jobs with available resources;
- coaching and developing employees to realize their full potential;
- effective personnel management of employee selections, promotions, and resolution of conduct issues and grievances;
- providing a safe work environment for all employees with an ongoing focus on safety and health issues; and
- active and visible support of equal opportunity and diversity principles in all aspects of program and human resources decisions and in compliance with merit system principles.

A manager's/supervisor's failure to meet the performance appraisal deadlines and responsibilities specified in this Handbook will be reflected in his or her own progress review(s) and final appraisal.

### **Difference Between Group/Team and Individual Employee Performance**

In many organizations, employees (as part of a group or team) work together toward the achievement of organizational goals and objectives. The key to distinguishing between group performance and an individual's contribution to the group is that group performance is measured at an aggregate level, not for a single employee. An employee's contribution to the group is measured at the individual level.

Group/team performance, on a whole, cannot be used as a critical element. This does not preclude describing an individual's contribution to the group as a critical element.

### **Performance Standards**

A performance standard is a statement of the expectations or requirements established by management for a critical element at each particular rating level. Performance standards should be attainable, objective, measurable, realistic, and clearly stated in writing. The Department requires the use of Generic Performance Standards. (See Appendix A)

### **Supplemental Performance Standards**

A supplemental performance standard is used to define performance in terms of results (e.g. what is to be accomplished) and the process (e.g. how it is to be accomplished). Supplemental standards are expressed in terms of quality, quantity, timeliness, cost-

effectiveness, or other relevant measures. The Department requires the use of supplemental performance standards for all performance plans.

**Handling Performance Plan Disputes**

If a rating official and employee disagree on the contents of the performance plan, the rating official and employee should attempt to resolve the disagreement informally. However, the approving official must make the final decision regarding the contents of the plan. If the employee refuses to sign the plan, the rating official should annotate the plan to indicate that it was discussed with the employee, the employee received a copy, and the employee refused to sign. The employee's refusal to sign does not preclude the plan's implementation or the employee's obligation to perform under it.

The contents of the performance plan may not be grieved.

## **Chapter 7. Linking Performance Plans to Organizational Goals**

Strategic management of human capital requires that performance management systems link individual, team, and work unit performance to organizational goals and desired results. This requirement is a key provision of the Department of Commerce's (DOC) performance management system, which requires that supervisors link individual employees' performance plans to organizational goals.

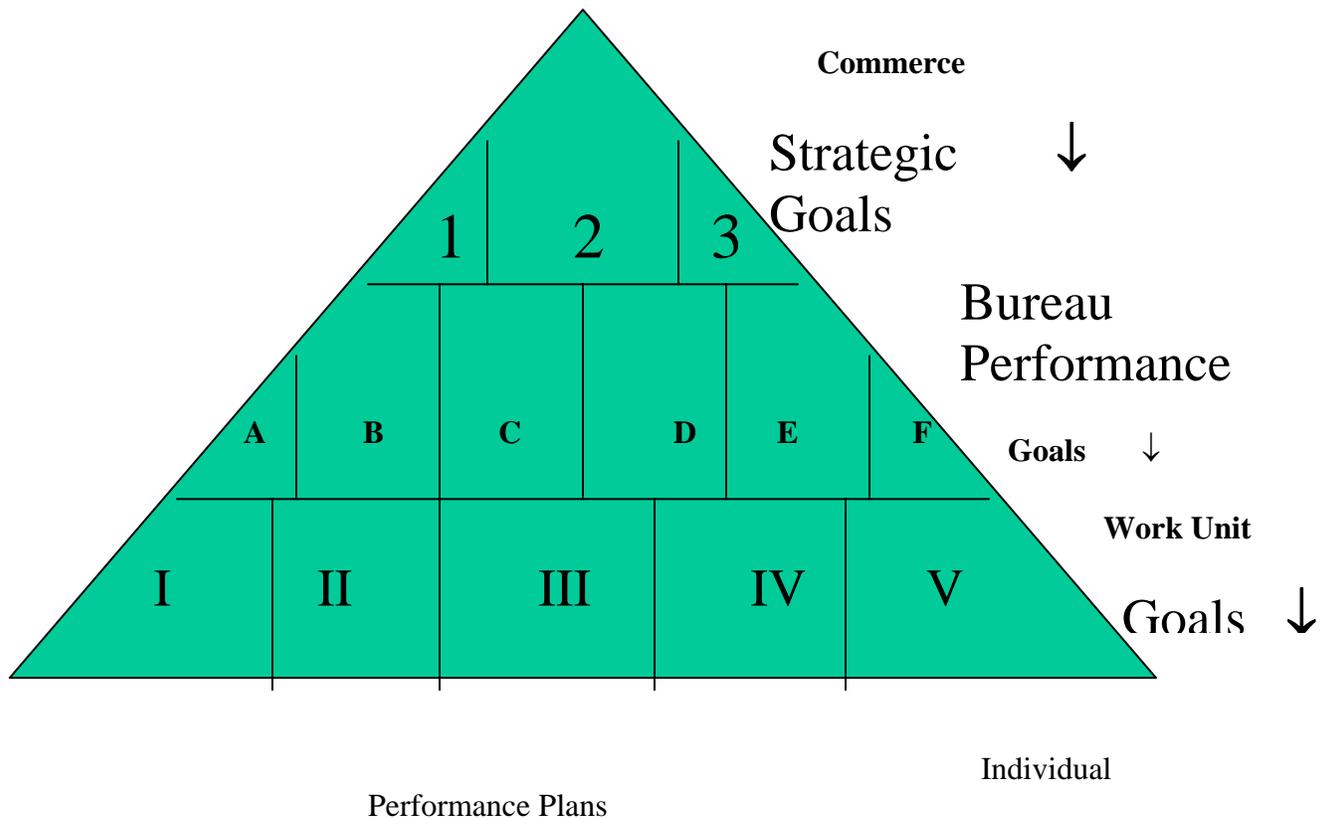
To ensure that employees' plans are properly linked to organizational goals, managers should start by reviewing and becoming familiar with the Department's strategic goals and objectives. They need to understand the "big picture." At a minimum, this requires that managers gather enough information to answer the following questions:

1. ***What are the strategic goals outlined in the Department of Commerce Strategic Plan?*** To achieve its mission, the Department identifies several strategic goals. Each of these goals is supported by objective, quantifiable, and measurable performance goals that cover all of its constituent bureaus, as required by the Government Performance and Results Act (GPRA) of 1993. Reviewing and understanding these strategic goals will provide managers the necessary framework within which to develop work unit goals and create individual performance plans. Each organizational unit of the Department ultimately supports one of the Department's strategic goals, and managers should be able to clearly identify the relationship of the work in their unit to one of the Department's strategic goals.
2. ***What are the specific performance goals established for your program area as outlined in the Department's annual performance plan?*** Goals in the Department's annual performance plan define what will be accomplished during a fiscal year. These goals describe the incremental progress toward achieving the general goals and objectives in the strategic plan. Performance plan goals are usually more specific and may be more output-oriented than the general goals found in the strategic plan. Since performance plan goals should be used by managers as they direct and oversee their programs, these are the goals to which employee performance plans should be linked.
3. ***What performance measures are already in place?*** Managers should be aware of the measurement systems (both internal and external) that can be accessed for information on performance, including measures for determining progress toward achieving GPRA goals and customer satisfaction surveys.

Once the above information is reviewed, managers should focus on identifying the accomplishments that the work unit must achieve. Accomplishments are the products or services resulting from work unit activities. The work unit consists of all of the employees directly supervised by the same first-line supervisor. When the work unit is identified, the supervisor can begin the process of cascading the Department's goals down to the work unit level. To do this, the following steps should be taken:

1. **Review the specific goals and objectives identified in the Department's annual performance plan.** These should have been identified in connection with the supervisor's review of the Department's strategic goals.
2. **Identify which agency performance goal(s) the work unit can affect.** Often, work units may perform work related to one Commerce goal, but in some situations, they may affect more than one broadly-stated goal.
3. **Determine what product or service the work unit produces or provides to support the Department's accomplishment of its goals.** Clearly tying work unit products and services to organizational goals is key to this process. If a work unit is performing services or generating products that do not affect organizational goals, this situation should be reviewed and analyzed. The analysis may result in eliminating the product or service.

When supervisors have completed the actions described above, they can develop performance plans for individual employees by cascading Commerce goals down to their work unit goals, and ultimately, into individual performance plans that describe individual performance expectations that are aligned with Commerce goals as well as work unit goals. This concept is illustrated below.



Following the steps laid out above, managers can establish a clear linkage between the goals of their work units and the strategic goals of the Department. Once the unit's goals have been identified, the manager can proceed to develop individual performance plans with specific requirements and measures that focus on individual accomplishments linked to the goals of the organization.

## Example #1 of Cascading Goals to a Work Unit

### **DOC Strategic Goal 1:**

Provide the information and tools to maximize U.S. competitiveness and enable economic growth for American industries, workers, and consumers.



### **International Trade Administration (ITA) goal:**

Advance U.S. competitiveness in the global marketplace.



### **Manufacturing and Services program unit goal:**

Support U.S. industry's global competitiveness through critical analysis of domestic regulations, legislation, and trade policy.



### **Deputy Assistant Secretary for Industry Analysis sub-unit goal:**

Reduce the impact of proposed and existing policies and regulations on U.S. industry through analysis of regulations and other proposed policies.

## Example #2 of Cascading Goals to a Work Unit

### **DOC Management Integration Goal:**

Achieve organizational management excellence.



### **International Trade Administration Goal**

#### **Chief Financial Officer and Director of Administration Goal:**

Achieve organizational and management excellence.



#### **Office of Human Resources Management Goal:**

Develop programs to enable effective service delivery.

## **Developing Performance Requirements and Measures**

### **Performance Requirements**

Once critical elements have been identified, managers should focus on specific performance requirements. This is done by analyzing the critical elements and identifying specific tasks or functions that contribute to successful performance in a critical element.

### **Measures**

Once the performance element and requirements have been established, supervisors should develop **individual performance measures** for each critical element. Measures are the criteria used to determine how well employees perform in producing the products or services. Measures should be tied to organizational goals and should be expressed in terms of milestones, metrics, or outcomes. Good performance measures are “SMART.” That is, they are:

- **Specific,**
- **Measurable,**
- **Agreed-Upon,**
- **Realistic, and**
- **Time-Framed.**

General measures should be written in terms of quantity, quality, timeliness, or cost-effectiveness.

**QUALITY** addresses how well the employee performed the work and/or the accuracy or effectiveness of the final product. Quality refers to accuracy, appearance, usefulness, and/or effectiveness. Quality measures can include error rates (such as the number of percentage of errors allowable per unit of work) and customer satisfaction rates (determined through a customer survey).

**TIMELINESS** addresses how quickly, when, or by what date the employees or work unit produced the work.

**COST-EFFECTIVENESS** addresses dollar savings or cost control. You should develop measures that address cost-effectiveness on specific resource levels (money, personnel, or time) that you can generally document and measure in agency annual fiscal year budgets. Cost-effectiveness measures may include such aspects of performance as maintaining or reducing unit costs, reducing the time it takes to produce or provide a product or service, or reducing waste.

### **SPECIFIC MEASURES**

To develop specific measures, you first must determine the general measure(s) that are important for each element (i.e. quantity, quality, timeliness, and/or cost-effectiveness). Then, determine how to measure the quantity, quality, timeliness, and/or cost-effectiveness of the work covered by each element. If you can measure an accomplishment with numbers, record the form of measurement. If you can only describe performance (i.e., observe and verify), clarify who will appraise the performance and the factors they will appraise. The kinds of questions you should ask in this process include the following.

**FIRST:** For each element, decide which general measures apply:

- Is quality important? Does the stakeholder or customer care how well the work is done?
- Is quantity important? Does the stakeholder or customer care how many products are produced?
- Is it important to accomplish certain tasks by a certain time or date?
- Is it important to accomplish the element within a certain time or date?
- What measures are already available?

**SECOND:** For each general measure, ask:

- How could quality, timeliness, and/or cost-effectiveness be measured?
- Is there some number or percent that could be tracked?

If the element does not lend itself to being measured with numbers and can only be described, ask:

- Who could judge that the element was done well?
- What factors would they look for?

**FINALLY:** Write down or otherwise record the specific measures. If the measure is numeric, list the units that you will track. If the measure is descriptive, identify the judge and list the factors that the judge will look for to observe and verify performance.

In summary, the following steps should be followed to develop individual performance plans that are aligned with organizational goals:

- Review strategic goals;  
↓
- Review annual performance plan goals;  
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- Identify critical elements;  
↓
- Identify performance requirements; and



- Develop performance measures.

For additional information, please refer to the Department's Strategic Plan and the Department's Annual Performance Plan.

Reference: OPM's Handbook for Measuring Employee Performance, September 2001

### **Chapter 8. Monitoring Employee Performance**

In an effective organization, assignments and projects are monitored continually. Monitoring well means consistently measuring performance and providing ongoing feedback to employees and work groups on their progress toward reaching their goals.

#### **Progress Review**

At a minimum, rating officials must conduct one formal progress review with each of their employees at approximately the midpoint of the appraisal period. Employees may also request (or supervisors may schedule) additional progress reviews. At the bureau's discretion, additional progress reviews may be required.

#### **Employee Responsibilities**

Prior to the progress review meeting with his or her rating official, the employee is strongly encouraged to submit written documentation of his or her accomplishments since the last formal performance meeting with his or her rating official.

#### **Discussion**

At each progress review, the following occurs:

- A discussion about the employee's progress toward meeting elements included in his or her performance plan and how that progress is measured against the achievement of the organizational goals;
- the identification of any performance deficiencies and recommendations on how to improve;
- a review of the plan to determine the need for changes in the plan based on changes in responsibilities;
- a discussion of the developmental/training goals or objectives; and
- the rating official documents any changes to the original performance plan, signs and dates the revision, and provide a copy of the revised plan to the employee.

Both the supervisor and employee should date and initial the performance plan to indicate the progress review took place.

A progress review must also be initiated by the rating official if an employee's performance on one or more critical elements falls below Level 3. A Level 1 rating requires a written Performance Improvement Plan (PIP). While a Level 2 rating does not require a PIP, it is recommended that the rating official develop a written plan to assist the employee in improving performance to Level 3. In such a case, the rating official must discuss the instances of deficient performance and outline in writing what is required of the employee to bring his or her performance to Level 3. Rating officials should consult with their servicing human resources office to determine if this review should serve as the beginning of the formal opportunity period to improve performance required by 5 U.S.C. 4302(b)(6).

#### **Employee Development**

In an effective organization, employee developmental needs are evaluated and addressed. Developing in this instance means increasing the capacity to perform through training, giving assignments that introduce new skills or higher levels of responsibility, improving work processes, or other methods. Providing employees with training and developmental opportunities encourages good performance, strengthens job-related skills and competencies, and helps employees keep up with changes in the workplace, such as the introduction of new technology.

**Carrying out the processes of performance management provides an excellent opportunity to identify developmental needs. During planning and monitoring of work, deficiencies in performance become evident and can be addressed. Areas for improving good performance also stand out, and action can be taken to help successful employees improve even further.**

## **Chapter 9. Evaluating Employee Performance**

Approximately 30 days before the end of the performance appraisal cycle, rating officials and employees should begin to prepare for the appraisal process. Rating officials will ask employees to submit written documentation of accomplishments. An employee who is ratable as of the end of the rating cycle (September 30, October 31, or May 31) must receive an annual performance summary rating.

An employee is ratable if:

- he or she occupies a covered position on the last day of the performance cycle; and
- he or she worked at least 120 days in one or more covered positions during the appraisal cycle.

An employee is unratable if one of the following applies:

- the employee did not work at least 120 days in one or more covered positions during the rating cycle; or
- the employee has been placed on a Performance Improvement Plan (PIP) because the rating official has determined that the employee's performance at Level 1 on one or more critical elements. A PIP is only developed when an employee's performance is at Level 1.

If an employee is unratable because he or she was on a PIP, the rating period will be extended for the duration of the PIP and the employee will be rated upon completion of the PIP.

Performance appraisal discussions are conducted in two stages. The rating official is required to conduct a 1) pre-appraisal meeting only if the employee requests one and 2) performance appraisal meeting with each employee.

### **Pre-appraisal Meeting**

The purpose of the pre-appraisal meeting is to provide the employee an opportunity to meet with the rating official prior to the formal appraisal meeting. At the pre-appraisal meeting the employee may:

- present an assessment of his or her performance achieved during the appraisal cycle;
- inform the rating official of aspects of his or her work of which the rating official may not be aware; and
- identify objectives he or she would like to include in the performance plan for the next appraisal period.

During the pre-appraisal meeting, the rating official clarifies his or her understanding of the employee's performance, and discusses the employee's accomplishments. The rating official may not discuss overall scores, ratings, or awards.

## **Performance Appraisal Meeting**

A rating official must confer with the approving official about the organization's performance and gain approval of (including the approving official's signature on CD-430, Performance Management Record) the rating they recommend for their employees before discussing those ratings with employees. Following approval of the performance summary ratings by the approving official, the rating official is responsible for conducting a performance appraisal meeting to present the final rating to the employee.

If an employee receives Level 1 on any critical element rating in his or her position of record, or in an interim rating that becomes a final rating of record, the employee's summary rating must be Level 1.

As provided in Executive Order 5396, the performance appraisal and resulting rating of a disabled veteran may not be lowered because the veteran has been absent from work to seek medical treatment.

## **Signatures**

The employee signs and dates the summary rating to indicate that it has been discussed. If the employee refuses to sign, the rating official should note this in the employee signature block of the summary rating.

Signature by the approving official places both the performance plan and summary rating in effect. A copy of the summary rating must be given to the employee.

## **Written Documentation Requirements**

Rating officials must provide either an overall narrative justification of the summary rating or a written justification for each element rating. They must do one or the other, and may do both. A written justification is required for any element rated below Level 3.

## **Ratings of Record**

The following summary performance ratings constitute a rating of record:

- the annual performance appraisal rating as discussed above;
- an interim rating given by a departing supervisor or to a departing employee when no opportunity to serve the minimum appraisal period (120 days) in the current cycle remains; or

- a rating rendered following completion of a PIP.

### Summary Rating Derivation

To derive a final, or summary, performance rating at the end of the appraisal cycle, each critical element must be assessed against the generic (and any supplemental) performance standards established at the beginning of the cycle or as modified and documented during a progress review. Each element is evaluated and translated into a score using the following scale:

Level 5 (the highest level of performance)	= 5 points
Level 4	= 4 points
Level 3	= 3 points
Level 2	= 2 points
Level 1 (unacceptable performance)	= 1 point

After each critical element has been rated, multiply the score for each element by the weight assigned to it. No fractional scores or weights may be used.

*Example:*

Critical Element 1 is 30% of plan points	Rated at Level 4	30 x 4 = 120
Critical Element 2 is 30% of plan points	Rated at Level 3	30 x 3 = 90
Critical Element 3 is 20% of plan points	Rated at Level 5	20 x 5 = 100
Critical Element 4 is 20% of plan points	Rated at Level 4	20 x 4 = 80
<b>TOTAL</b>		<b>390 points</b>

Total the individual scores to determine the overall score. In the example above, the sum of  $120 + 90 + 100 + 80 = 390$ .

Using the ranges below, determine what range the overall score (example 390) falls within.

<b>Overall Score</b>	<b>Summary Rating</b>
470 – 500 points	Level 5
380 – 469 points	Level 4
290 – 379 points	Level 3
200 --289 points	Level 2
100 – 199 points	Level 1

This becomes the employee's summary rating for that performance appraisal cycle. In the example cited, the final summary rating would be a Level 4 since the score of 390 falls within the range for Level 4.

Note: If one critical element is rated Level 1, the summary rating must be Level 1.

## **Unratable Employees**

If an employee has served for the entire rating cycle on detail to another agency, on an approved federally-sponsored program or long-term training, and an appraisal of performance cannot be obtained despite reasonable efforts, the employee must be considered unratable.

Other unratable situations may include:

- the employee's supervisor leaving the Agency when no other supervisor or acting supervisor can reasonably appraise the employee's performance; or
- approved absences creditable under 5 CFR 531.406 (LWOP, Military Service, etc.).

## **Reconsideration**

An employee may request reconsideration of his or her rating. Such reconsideration requests must be processed under the appropriate negotiated grievance procedures or under the Department's administrative grievance procedure, whichever is applicable.

## **Oversight**

The Department does not prescribe a distribution of ratings and does not permit a distribution to be prescribed. The Department assures that only employees whose performance exceeds normal expectations are rated at the level above Level 3, by sampling plans and ratings by servicing human resources offices, by Departmental oversight reviews, and by other reviews required by regulation.

## **Chapter 10. Interim Ratings**

### **Overview**

Interim ratings are prepared during the course of a rating period when an employee has spent the minimum appraisal period (120 days) in a covered position and then changes to another position. This may happen more than once during the rating period. These ratings must be completed within 30 days of the change of position and are prepared in the same manner as a summary rating. In fact, the interim rating may become a summary rating when an employee changes positions toward the end of the rating period (i.e., where the time remaining in the appraisal cycle is less than 120 days).

### **When an Interim Rating Should be Completed:**

- after a detail which lasts at least 120 days;
- after a temporary promotion/assignment which lasts at least 120 days;
- when an employee changes positions after serving at least 120 days;
- when a supervisor leaves his or her position and an employee has been in a covered position for 120 days;
- when an employee transfers from the Department to another federal agency after serving in a position for at least 120 days; or
- after an assignment in a federally-sponsored program, such as an Intergovernmental Personnel Act (IPA) assignment.

### **Benefits of Interim Ratings:**

- to provide input from a departing supervisor to assist a new supervisor who is preparing a final rating of record;
- to provide a final rating of record to an employee who changes positions during the last 120 days of the rating period;
- to provide a final rating of record to an employee who moves more than once during the rating period or is on a detail; and
- to provide appropriate performance credit for work performed on a detail or temporary promotion/assignment.

### **Consideration of Interim Ratings When Completing Final Appraisals**

An interim rating that was completed for an employee for service in another position should be considered when you prepare the final summary rating for the position of record.

**Ratings at Different Levels:** When an interim rating(s) and the rating for the current position are different, the current rating official must prepare a written narrative that explains/justifies the assignment of the summary rating level.

- When an employee receives an interim rating of Level 1 without further action and then receives a Level 3 or above on a rating for another position in the same performance period, the summary rating is not reduced by the interim rating; instead, the summary rating is assigned in accordance with this Handbook based solely on the individual critical element ratings for the current position.
- When an employee receives an interim rating of Level 3 or above and then receives a rating of Level

1 for another position in the same performance period, the summary rating is not raised by the interim rating. Instead, the summary rating is assigned in accordance with this Handbook and based on the individual element for the current position.

- When an employee has received an interim rating that is less than Level 3, but the rating for service in the current position is Level 3 or higher, the final rating cannot be less than Level 3.
- When an employee changes positions toward the end of the rating period (*i.e.*, where the time remaining in the appraisal cycle is less than the minimum appraisal period), the interim rating prepared becomes the rating of record for that appraisal period. The time remaining in the rating cycle is added on to the next rating cycle.

#### **Transfers from Other Federal Agencies**

- If an employee has served in a position for more than the minimum appraisal period in another federal agency, that agency should provide an interim summary rating and forward it to the Department's employing office with the employee's Official Personnel Folder.
- If the employee transfers to the Department toward the end of the rating period (*i.e.*, where the time remaining in the appraisal cycle is less than the minimum appraisal period), the employee's interim rating (prepared when he or she transferred) will become his or her rating of record for the appraisal period.
- If no interim rating can be obtained from the employee's former agency, the employee's last rating of record becomes his or her current rating of record. If no rating can be obtained, then the employee will be considered unratable.

## **Chapter 11. Relationship of Performance Appraisal to Other Personnel Actions**

### **Introduction**

Performance appraisal results may be used as a basis for making personnel decisions on training, rewarding, reassigning, promoting, reducing in grade, retaining and removing employees, and granting within-grade increases.

### **Performance Awards**

Performance awards, when granted, must be based on an employee's performance rating of record for the appraisal period for which the award is granted. This does not preclude management from giving other recognition whenever warranted in accordance with the criteria specified in this Handbook.

### **Quality Step Increase**

A quality step increase (QSI) may be granted only to an employee who receives a Level 5 summary performance rating.

### **Within-Grade Increase (WGI)**

- **Federal Wage System.** An employee who is otherwise eligible receives a within-grade increase if his or her performance is Level 3 or above, as provided in 5 U.S.C. 5343; i.e. the employee's most recent rating of record is Level 3 or higher.
- **General Schedule.** An employee who is otherwise eligible receives a within-grade increase when his or her performance is at Level 3 (acceptable level of competence). This means that during the period of time since that rating the employee has continued to perform his or her responsibilities in a manner warranting an increase in basic pay. -

### **Impact of Ratings of Record on Within-Grade Increase Determination**

Rating examples for purposes of WGI determination:

- an employee with less than a Level 3 rating at the end of the appraisal cycle has improved performance up to or higher than a Level 3 by the within-grade due date. *Outcome: The improvement is documented in accordance with the cycle for review provided in the denial notification and the WGI is granted.*
- an employee with a Level 3 or higher rating at the end of the appraisal cycle whose performance has dropped below the Level 3 by the within-grade due date. *Outcome: After a performance review with employee documenting deficiencies, WGI is denied.*
- an employee does not have a rating of record as recent as the completion of the latest appraisal cycle. *Outcome: WGI granted.*
- an employee whose performance improves to a Level 3 or higher following the delay of a within-grade increase determination as provided by 5 CFR 531.409(c). *Outcome: WGI granted.*
- a rating given after the minimum appraisal period when an employee is unratable at the end of the appraisal cycle. *Outcome: WGI granted.*

### **Promotion Actions**

- **Competitive Promotions.** Selecting officials may give consideration to the performance appraisals of job applicants in making selection decisions under the Merit Assignment Program.

- **Career Ladder Promotions.** To receive a career ladder promotion, an employee's most recent performance rating of record must be Level 3 or higher.

**Probationary Periods (See DAO 202-315, Probationary and Trial Periods)**

- **Initial Appointments.** Supervisors of probationary employees serving initial appointments must determine if the probationers' performance warrants retention in the position beyond the probationary period. Supervisors must evaluate probationers' performance with reference to the critical elements and standards of the position.
- **Initial Appointments to Supervisory/Managerial Positions.** An evaluation of Level 3 or higher on all critical elements of the performance plan is required for retention in the supervisory position beyond the probationary period.

**Actions Based on Level 1 (Unacceptable) Performance**

Employees whose performance is Level 1 (unacceptable) may be reassigned, changed to a lower grade, or removed, only after they have been provided with a performance improvement period.

## **Chapter 12. Deficient Performance**

The purpose of this Chapter is to provide basic information on performance appraisal as it relates to deficient performance. Contact your servicing human resources office for assistance and specific guidance on deficient performance.

### **Level 1 (Unacceptable Performance)**

If at any time during the performance cycle an employee's performance becomes Level 1 (unacceptable) in one or more critical elements, document the specific performance deficiencies on the performance plan and afford the employee an opportunity to demonstrate acceptable performance. This is done in the form of a Performance Improvement Plan (PIP).

Performance-based actions cannot be taken for Level 1 work performed on a detail. Supervisors/managers should consult with their servicing human resources office for specific guidance prior to the issuance of a PIP.

### **What the PIP Should Contain**

Description of the critical element in which performance is deficient and specific instances of Level 1 (unacceptable) performance:

- what the employee must do in order to demonstrate acceptable performance;
- representative sample of performance deficiencies;
- time allowed for the opportunity to improve period;
- suggestions for improving performance;
- offer of assistance to the employee to improve performance including training, if applicable; and
- statement of the possible consequences of failure to raise performance to an acceptable level during the opportunity period.

The servicing human resources office will provide ongoing guidance and technical assistance to the supervisor/manager throughout the duration of the PIP, including any subsequent performance-based actions.

### **Chapter 13. Reduction-in-Force**

The purpose of this Chapter is to provide basic information on reduction-in-force as it relates to performance management. Contact your servicing human resources office for assistance and specific guidance on this subject.

#### **Ratings of Record**

For reduction-in-force (RIF) purposes, ratings of record include those given at the end of the:

- appraisal period;
- minimum appraisal period; or
- opportunity period to demonstrate acceptable performance (if an improved rating is given).

In a RIF, an employee will receive service credit based on an average of the employee's three most recent ratings of record received during the four-year period (See Note below) prior to the date of the issuance of a specific RIF notice (or an officially designated performance credit cut-off date).

Service credit is computed as follows:

- Level 5 - 20 years
- Level 4 - 16 years
- Level 3 - 12 years
- Level 2 - 0 years
- Level 1 - 0 years

An employee who does not have a rating of record will be assigned a modal rating. A modal rating is the summary rating level assigned most frequently among the actual ratings of record given that are:

- assigned under the same summary pattern that applies to the employee's position of record on the date of the reduction-in-force;
- given within the same competitive area or, at the agency's option, within a larger subdivision of the agency or agency-wide; and
- on record for the most recently completed appraisal period prior to the date of issuance of reduction-in-force notices, or the cut-off date the agency specifies prior to the issuance of reduction-in-force notices after which no new ratings will be put on record.

NOTE: Employees formerly covered under a 2-level system will receive service credit as follows:

- Meets or Exceeds Expectations – 12 years
- Does Not Meet Expectations – 0 years

## **Chapter 14. Recordkeeping**

The recordkeeping requirements for creating and maintaining the Employee Performance File (EPF) are listed below:

- Performance appraisals and related documents (*i.e.* probationary certification, WGI determination) will be maintained in accordance with provisions of the Privacy Act, Freedom of Information Act, other legislative and regulatory requirements, and negotiated agreements.
- Performance ratings of record and the performance plans on which those ratings were based must be retained for 4 years. The Employee Performance File is maintained by the servicing human resources office. This authority may be redelegated to the rating official.
- Performance records that are superseded, e.g., through an administrative or judicial procedure, must be destroyed in accordance with the administrative/judicial order or settlement agreement.
- Records may be retained longer than 4 years only for the purpose of statistical analysis. The data may not be used in any action affecting the employee when the manual record has been or should have been destroyed.
- When an employee transfers from one operating unit into another within the Department, or to another federal agency, the following performance records must be transferred with the employee's EPF: (1) performance ratings of record that are 4 years old or less; (2) the plan on which the most recent rating of record is based; and (3) the interim rating (if required by operating unit program) prepared when the employee changes positions.
- Appraisals of Level 1 (unacceptable) performance, where a notice of proposed demotion or removal is issued but not effected, must be destroyed after the employee has completed 1 year of acceptable performance following notice of the proposed removal or reduction in grade.
- Disclosure of performance-related information must be made available only as permitted by the Privacy Act: to the employee, employee's representative (with a signed release statement), or other officials of the organization who need documents in performance of their duties, or a duly credentialed official investigator (e.g. Equal Employment Opportunity Commission, Human Resources, Office of General Counsel).
- Records kept in automated systems are subject to the same requirements as outlined above.

## APPENDIX A. [Generic Performance Standards](#) (click on link)

### APPENDIX B. Feedback

#### Overview

Feedback is an integral component of the performance management process. Feedback is a means of helping an employee understand how he or she is performing against the critical elements and performance standards in the performance plan.

There are two types of feedback in performance management:

- *Informal* feedback may happen in a variety of settings, (*e.g.*, hallway, telephone, office, e-mail, etc.) and should be given as soon as possible to the actual situation in order to have the maximum benefit.
- *Formal* feedback typically happens at the time of a progress review or appraisal, or at any time during the performance appraisal period that the employee's performance becomes less than acceptable.

#### Feedback

For feedback to be effective, it needs to be helpful and given in a manner that allows an employee to understand if his or her performance is having the intended effect. All types of feedback should be constructive:

- For example, some feedback helps an employee understand that what he or she is doing is working well. The more specific the feedback, the more likely the employee will understand and be able to replicate the desired performance.
- Other feedback helps an employee understand that what he or she is doing is not working well. The more specific the feedback, the more likely the employee will understand and be able to improve performance.

#### How to Give Constructive Feedback

The most beneficial feedback has the following components:

- identifies specifics, such as the where and when of the action/situation;
- provides a statement regarding the impact of the action on others, or the accomplishment of work under the performance plan; and
- provides specific suggestions for improvement, if applicable.

#### Helpful Hints in Giving Feedback

You can maximize the benefits of feedback by:

- giving feedback in a private setting;
- maintaining a neutral tone;
- not labeling or categorizing the action (*e.g.*, incomplete staff work or "poor product");
- not labeling or categorizing the employee (*e.g.*, failure, poor performer);
- avoiding generalizations such as "You always do X" or "You never do Y";
- narrowing the scope of the feedback (*e.g.*, do not overload the employee with a mountain of comments, also called "dumping");
- providing the specific performance expectations and examples of not meeting the expectations;
- allowing the employee to react and give his/her perception(s) on the issue; and
- not engaging in "diagnostic" approaches or supposing to know the employee's poor performance.

**Soliciting Relevant Feedback**

You need to let the stakeholders (*e.g.*, internal and external clients) know what you are working on so that they can provide constructive feedback. When soliciting feedback, you need to pay close attention to the section on "How to Give Constructive Feedback." For example, you asked a stakeholder for feedback on a specific project and his or her response was, " It was fine." This response does not provide you with any specifics nor is it very helpful. In these situations, you want to go back to the stakeholder and ask for specific details on what an employee did and the impact of his or her work.

**Sources of Feedback**

Rating officials are responsible for, wherever possible, obtaining and using feedback from the employee (self-assessment), internal and external customers, team leaders and members, co-workers, and others, as appropriate, to assess employee performance.

## **APPENDIX C. Performance Management Training**

### **The Benefits**

Training in the concepts and practical use of performance management is important to supervisors, managers, and employees because it:

- provides an understanding of a system which impacts them on a daily basis;
- equips them with tools and skills to be more effective in their respective performance management responsibilities;
- enhances constructive performance communication between management and employees throughout the organization; and
- outlines requirements which, if followed, may increase productivity, improve morale and also, reduce grievances, appeals, and unfair labor practices.

### **Frequency**

Managers and employees are encouraged to take training in performance management periodically to keep abreast of changes in Departmental policy, performance management approaches, and operating unit programs. Operating Units (i.e., bureaus) should provide performance management training for employees to increase their understanding of the process, management's authority, and the roles and responsibilities of all individuals in the process. At a minimum, the training must include the important aspects of DAO 202-430. On an annual basis, operating units must provide refresher training, briefings, and information on all aspects of the performance management system.

### **Where to Get Training**

There are a variety of sources for training in performance management:

- servicing human resources offices;
- agency-sponsored workshops;
- educational providers (e.g., USDA Graduate School, community colleges, correspondence schools);
- other training materials (e.g., video tapes, computer-based instruction, etc.); and
- Learning Management System.