|  |  |
| --- | --- |
| **Employee:** | |
| **Title, PP/Series/Grade:** | |
| **Organization:** | |
| **Performance Rating:** | **Date of Rating:** |
| **Award(s) Received: \_\_\_Yes \_\_\_No\_\_\_** | **Award Type:** |

**Reference:** [5 U.S.C. Chapter 43](https://www.law.cornell.edu/uscode/text/5/part-III/subpart-C/chapter-43), [5 CFR 430](https://www.law.cornell.edu/cfr/text/5/part-430), [Guide to Processing Personnel Actions](https://www.opm.gov/policy-data-oversight/data-analysis-documentation/personnel-documentation/#url=Processing-Personnel-Actions), [Guide to Personnel Recordkeeping](https://www.opm.gov/policy-data-oversight/data-analysis-documentation/personnel-documentation/personnel-recordkeeping/gpr-update-13-final.pdf), [New Performance Management FAQ - OPM.gov](https://www.opm.gov/frequently-asked-questions/new-performance-management-faq/)

\***Agency policies/SOPs/memos, etc.**

**Instructions:** Use this checklist when reviewing employee performance plans. The sections in this checklist are organized to include review items based on the flow of performance ratings: [development of standards](#Plan), [issuance and midyear progress](#issuance), and [annual evaluation](#EOY).

***\*Note: When answering no to review items, please provide additional details and specific information to help identify trends in findings that can be further explored through interview feedback.***

[**Quick Link to "Case File Summary/Comments:"**](#_Case_File_Summary/Comments:)

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| 1. **PERFORMANCE PLAN** | | | | | | |
| **Y** | | | **N** | **Review Item** | **Comments** | |
|  | |  | Performance standards meet regulatory definition: the management-approved expression of the performance threshold(s), requirement(s), or expectation(s) that must be met to be appraised at a particular level of performance. A performance standard may include, but is not limited to, quality, quantity, timeliness, and manner of performance. [[5 CFR 430.203](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-B/section-430.203)] |  | |
|  | |  | Employee has a current written or otherwise recorded, performance plan based on work assignments and responsibilities. [[5 CFR 430.206(b)(3)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-B/section-430.206) and [5 CFR 430.204(b)(1)(i)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-B/section-430.204)] |  | |
|  | |  | Performance plans shall include all elements which are used in deriving and assigning a summary level and includes at least one critical element that addresses individual performance, and any non-critical element(s). [[5 CFR 430.206(b)(4)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-B/section-430.206)] |  | |
|  | |  | Each performance plan may include one or more additional performance elements, which are not used in deriving and assigning a summary level and are used to support performance management processes. [[5 CFR 430.206(b)(5)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-B/section-430.206)] |  | |
|  | |  | Performance standards are objective, measurable, linked to employee duties and responsibilities, and provide appropriate distinctions between levels. |  | |
|  | |  | At a minimum, standards are established at the “Fully Successful” level. [[5 CFR 430.206(b)(8)(i)(B)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-B/section-430.206)] |  | |
| 1. **ISSUANCE AND MID-YEAR** | | | | | |
| **Y** | **N** | | **Review Item** | **Comments** | |
|  | |  | Agencies shall encourage employee participation in establishing performance plans. [[5 CFR 430.206(b)(1)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-B/section-430.206)]  **\*Note: This can be assessed through the presence of timely employee signatures or assessment through qualitative data, surveys, interviews, etc.** |  | |
|  | |  | Performance Plan was provided to employee at the beginning of the rating period (normally within 30 days). [[5 CFR 430.206(b)(2)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-B/section-430.206)] |  | |
|  | |  | One or more progress review was conducted during the appraisal period. [[5 CFR 430.207(b)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-B/section-430.207)]  **\*Note: If not, probe further during interviews to determine why.** |  | |
| 1. **ANNUAL EVALUATION** | | | | | |
| **Y** | | **N** | **Review Item** | **Comments** | |
|  | |  | At a minimum, performance rating is based on the minimum period of performance established by the agency. [[5 CFR 430.207(a)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-B/section-430.207)] |  | |
|  | |  | Rating of Record properly completed as soon as practicable after the end of the appraisal period based on agency guides. [[5 CFR 430.208(a)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-B/section-430.208)]  **\*Note: If not, please identify when the Rating of Record was completed.** |  | |
|  | |  | Summary rating level properly derived and assigned. [[5 CFR 430.208(b)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-B/section-430.208)] |  | |
|  | |  | When performance is rated as “unacceptable”:  1) employee is assisted with improving performance during the appraisal period that performance is determined to be unacceptable in one or more critical elements.  2) action is taken based on unacceptable performance. |  | |
|  | |  | Rating of record of "unacceptable" (Level 1) was reviewed and approved by a higher-level management official. [[5 CFR 430.208(e)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-B/section-430.208)]  \***Note: Consider how unacceptable performance is managed.** |  | |
|  | |  | Employee Performance File (EPF) contains current and accurate performance appraisal documentation. [[5 CFR 293.402(a)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-293/subpart-D/section-293.402) and [5 CFR 293.403](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-293/subpart-D/section-293.403)] |  | |
|  | |  | EPF contains last four years of performance ratings of record, including performance plans on which they are based. [[5 CFR 293.404(a)(1)(i)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-293/subpart-D/section-293.404)] |  | |
|  | |  | Agency reported the rating of record in EHRI [[5 CFR 430.209(e)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-B/section-430.209)] |  | |
| Case File Summary/Comments: | | | | | |
| **Reviewer/Title:**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | | | | | Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |