|  |
| --- |
| **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:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |