



Smithsonian
Institution

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NON-SENIOR-LEVEL PERFORMANCE APPRAISAL PROGRAM

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Purpose

This chapter establishes the Institution's performance appraisal program for non-senior-level federal employees.

Policy

The Smithsonian's performance appraisal policy supports a results-oriented performance culture through the planning, communication, monitoring, and evaluation of employee and organizational performance. The policy contains principles and procedures that support the following goals:

1. Employee performance plans:
 - a) align with and support the Smithsonian's mission and organizational goals;
 - b) hold employees responsible for results appropriate for their position;
 - c) include measures or standards that are credible, balanced, and fair; and
 - d) clearly distinguish between levels of performance.

Policy (continued)

2. Employee performance appraisals are used as a basis for identifying developmental needs, recognizing and rewarding top performers, and identifying and addressing deficiencies in performance.
3. Employees are involved in the development of their performance plans.
4. The performance appraisal process provides for formal and informal communication between employees and supervisors throughout the year.
5. Employees, supervisors, and managers receive regular and recurring training on the performance appraisal program.
6. Unit performance expectations are communicated through performance plans and employee ratings reflect overall unit performance.
7. Management exercises accountability and oversight for individual and organizational performance.

References: (a) Title 5, *United States Code* (U.S.C.), Chapter 43 (Performance Appraisal) and (b) Title 5, *Code of Federal Regulations* (CFR): Part 430 (Performance Management).

Coverage

The provisions of this policy apply to all Smithsonian federal employees unless specifically excluded below.

Exclusions

The following federal employees are excluded from the provisions of this policy:

- Employees in positions for which employment in a pay status is not reasonably expected to exceed 120 calendar days in a consecutive 12-month period
- Employees who are in Senior-Level (SL) positions. These positions are covered in Smithsonian

Exclusions
(continued)

Directive (SD) 212, Chapter 431, Senior-Level Performance Appraisal Program

- Employees of the Smithsonian Tropical Research Institute (STRI) who are subject to the employment laws of the Republic of Panama
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Definitions

A. **Acceptable**

The level of performance that is assigned when one or more of an employee's elements meet or exceed the minimum threshold of "Successful" performance.

B. **Advisory Rating**

A rating an employee receives for work performed outside of the normal rating cycle or outside his or her position of record for a period of 120 days or more. This is appropriate when a Rating Official leaves or an employee is placed on detail. The advisory rating does not become part of the official performance file but it should be considered when the annual rating of record is prepared. It may also be referred to as an interim rating.

C. **Appraisal**

The evaluation of an employee's performance against the described performance standards.

D. **Appraisal Period** (or performance period)

The period of time during which performance is reviewed and evaluated. The appraisal period is generally one year. The Smithsonian's appraisal period begins October 1 and ends on September 30 of the following year. All employees must be on a performance plan for a minimum of 120 calendar days to warrant an evaluation. The Rating Official of employees who are newly appointed or assigned to a position must initiate a performance plan within 60 calendar days of the employee's appointment or placement.

E. **Element**

A major task or responsibility of such importance

Definitions
(continued)

that unacceptable performance would result in a performance rating of “Unacceptable.” As such, all elements are by definition critical. Several performance standards typically comprise a critical element.

F. Customer Perspective

A factor in measuring performance that considers organizational performance through the eyes of its customers, so that the organization retains a careful focus on customer needs and satisfaction. To do this, performance standards not only describe customers and what type and level of service is provided, but what those customers expect from the organization in the context of the Institution's business purpose and mission.

G. Employee Perspective

A factor in measuring performance that focuses attention on the performance of key internal processes that drive the organization. It is applicable only to supervisors. Performance standards should address how employee opinions and viewpoints are considered. Employee perspective is not a “popularity contest.” It concentrates on enhancing communication between managers, supervisors, and employees, and providing a healthy work environment for employees, which includes how executives lead and motivate employees, and address career development and training needs.

H. Levels of Accomplishment

The level of performance assigned to each element in employee performance plans. The Smithsonian's performance appraisal system has four levels of performance. Level 1 is the lowest or “Unacceptable” and level 4 is the highest or “Outstanding.” Each level is assigned a weight, and the average weight of all elements becomes the summary rating.

I. Performance Award

A one-time, lump-sum cash award based on

Definitions
(continued)

employee performance, typically awarded at the end of the rating cycle.

J. Performance Improvement Plan (PIP)

A plan given to an employee that identifies performance deficiencies and describes the level of performance necessary to reach and sustain performance at the “Successful” level or above. If at any time during the performance cycle, it is determined that an employee’s performance is unacceptable for any element, a PIP must be prepared and communicated to the employee. The PIP must allow a minimum of 30 days for the employee to demonstrate acceptable performance. **(Note:** Supervisors are not required to place employees who are serving an initial probationary period on a PIP.) For additional information, refer to Monitoring Performance under the Performance Appraisal section of this chapter.

K. Performance Plan

The document developed at the beginning of the appraisal period that defines the performance elements and standards by which an employee's performance is appraised.

L. Performance Rating

The recorded summary appraisal of performance based on comparison of accomplishments to performance standards (expectations) for each element.

M. Performance Standard

A threshold, requirement, or expectation written at a performance level that identifies the measures that will be used to evaluate performance. Performance standards must be objective, measurable, and clearly describe the results that must be achieved in order to meet the expectations. **Note:** Performance standards must be written at the “Successful” and “Outstanding” performance levels. Supervisors may also choose to write performance standards at the “Highly Successful” level.

Definitions
(continued)

N. Progress Review

A structured meeting between the Rating Official and employee at which time the employee's progress toward meeting the performance standards for each element in his or her performance plan is discussed.

O. Rating Official

The person responsible for establishing an employee's performance plan, discussing the plan with the employee, monitoring the employee's progress toward meeting the standards in the plan, appraising performance, assigning tentative ratings, and determining appropriate recognition or remedial actions. Normally, this is the employee's immediate supervisor.

P. Rating of Record

The performance rating and summary evaluation prepared at the end of the rating period. A rating of record cannot be considered for personnel actions until the evaluation has been discussed with the employee, and the properly completed and signed appraisal has been recorded by the Office of Human Resources (OHR).

Q. Reviewing Official

The person at an organizational level above the Rating Official responsible for reviewing and approving performance plans and appraisals. Normally, this is the second-level supervisor.

R. Supervisor

An employee who spends 25 percent or more of his or her time in activities related to the supervision of employees or programs, or is deemed to have supervisory responsibilities by his or her supervisor.

S. Unacceptable

The level of performance that is assigned when one or more of an employee's elements fail to meet the minimum threshold of "Successful" performance. The Rating Official must take corrective action by placing the employee on a Performance

Definitions
(continued)

Improvement Plan (PIP). Failure to improve performance to the acceptable level following the performance improvement period may result in reassignment, reduction in grade, or removal from the federal service.

Responsibilities

- A. The Secretary, Under Secretaries, and other direct reports to the Secretary are responsible for defining the Smithsonian's mission and strategic plan by identifying organizational goals and leading or directing senior-level leadership and staff to fulfill these goals. They are responsible for achieving this challenge assisted by a meaningful performance appraisal program that consistently and equitably recognizes and rewards performance or addresses remedial personnel actions as necessary.
- B. The Chief of Staff to the Secretary, in conjunction with the Secretary, is responsible for aligning the Smithsonian's strategic goals with the annual organizational performance goals. The Chief of Staff to the Secretary is further responsible for communicating the final annual results to senior management to ensure that they consider organizational performance in the development of performance plans and the assessment of individual performance, where appropriate.
- C. Unit directors are responsible for ensuring that all employees in their organization covered by this program receive performance plans and appraisals within the periods specified in this policy, and that performance plans, appraisals, and recommendations for recognition are completed in a fair and equitable manner.

Unit directors will hold subordinate supervisors and Rating Officials with performance appraisal responsibilities accountable for standards for leadership and supervisory responsibilities, will require that performance appraisal training be completed by all employees in their unit, and will lead by example.

Responsibilities
(continued)

- D. Reviewing Officials approve performance plans prior to transmittal to employees, approve performance ratings prior to their transmittal to employees, approve award nominations for employee performance, and evaluate Rating Officials on their responsibilities for managing the performance expectations and accomplishments of the employees under their supervision.
- E. Rating Officials are responsible for developing performance plans, communicating expectations to each employee, coaching, monitoring employee progress, and evaluating performance. Rating Officials recommend ratings of record and appropriate rewards or remedial actions.
- F. OHR is responsible for: (1) providing advice, guidance, and training on the interpretation and application of this policy; (2) conducting regular reviews and revisions to the policy; (3) monitoring and evaluating the application and effectiveness of the performance appraisal program; (4) keeping Smithsonian management informed of unit compliance with performance appraisal requirements; (5) recording and filing official ratings of record in the payroll personnel database and the Official Personnel Folder (OPF) for each employee; and (6) providing guidance to Rating and Reviewing Officials when employees perform at an “Unacceptable” level.
- G. Employees are encouraged to participate in the development of their performance plans (elements and standards). They are responsible for striving to meet performance expectations to the best of their ability and for making their Rating Official aware of their training needs and other issues that affect performance of assignments and responsibilities.

**Performance
Appraisal Process**

The performance appraisal process at the Smithsonian includes the following components: Performance Planning, Performance Monitoring, and Performance Appraisal.

**Performance
Appraisal Process**
(continued)

A. PERFORMANCE PLANNING:

An employee must receive a performance plan no later than 60 days after the beginning of the rating period or within 60 days of initial employment or placement in a position. Performance plans are recorded on the SI-5000A form. The Office of Human Resources will issue instructions annually. Changes to forms or elements and standards will be posted on the OHR website.

An employee must be given the opportunity to participate in the development of his or her individual performance plan.

Guidance: Federal regulation encourages agencies to include employees in the development of individual performance plans. While management has the right to make the final determination on the work assignment and the performance expectations, it is important to consider employee input so that performance elements and standards are as meaningful and clear as possible. The Rating Official can encourage participation by providing the employee with a draft of the performance plan and initiating discussion with the employee about the performance plan. Employee and supervisor discussion and finalizing of performance plans may be in conjunction with the performance evaluation discussion closing out the previous appraisal period or later, but it should occur as soon as possible following the close of the previous appraisal period.

Although performance plans may remain essentially the same year after year, it is important that the Rating Official and employee discuss the goals and any changes for the new performance year, and document the discussion and any changes on the performance plan and appraisal form.

1. Elements: Elements describe the tasks or results the employee is expected to achieve during the appraisal period. Elements reflect the primary duties that are described in the employee's position description and must meet or support

**Performance
Appraisal Process**
(continued)

Smithsonian and/or organizational goals. All elements in an employee's performance plan must be critical; that is to say, essential for successful performance.

All managerial and supervisory positions are required to have a performance element that addresses managerial or supervisory responsibilities.

Guidance: Elements are usually components of a position for which a majority of time is spent, the consequence of error is significant, or there is an immediate impact on the achievement of organizational goals. Elements established for essentially identical positions should be substantially the same.

The employee's position description is the core document used to determine appropriate performance elements. Other documents that direct or define goals and responsibilities, such as organizational strategic plans or performance goals, and that relate to an employee's position, may also be used. Elements in performance plans should be written so that they clearly align with Smithsonian and/or organizational goals. The goal or priority that is supported by an element should be documented in the SI-5000A form posted on the OHR website.

A performance plan should include the number of elements necessary to reflect all essential functions of an employee's position. It is recommended that performance plans have between three and five elements. When there are less than three elements, there may be large or complex job tasks that could be separated into distinct elements. When there are more than five elements, it may be helpful to consolidate similar tasks and reflect individual project assignments in a yearly work plan. Care should be taken to ensure that each element is discrete and can be distinguished from the others.

2. Performance Standards: Performance standards are the description of accomplishments or

**Performance
Appraisal Process**
(continued)

results expected for each element. Well-defined standards are objective, observable, and measurable, and the employee should have control or substantial influence over them. One or more standards in each element must describe results that support the goals of the Smithsonian or organization.

Results are well described when the scope of the responsibility is captured and when stated in terms of outcomes or outputs. They are easily identifiable when action verbs are used, such as: to provide; to ensure; to improve; or to reduce.

At a minimum, performance standards must be described at the “Successful” and “Outstanding” level. This second performance level will enable employees and supervisors to distinguish more clearly the type and quality of performance required for ratings above the “Successful” level.

Performance standards that describe performance at the “Highly Successful” level may also be developed.

- a) All Smithsonian employees are required to have a performance standard for customer service, including customer perspective.
- b) All managers and supervisors are required to have performance standards addressing:
 - accountability for the performance of their employees
 - employee perspective
 - customer perspective
 - diversity/EEO, including small business diversity goals (as applicable) as noted in Smithsonian Directive (SD) 214, *Equal Opportunity Handbook*, and SD 216, *Supplier Diversity Program*
 - safety
 - accountability for recruiting, hiring, and transitioning new employees

**Performance
Appraisal Process**
(continued)

Guidance: Performance standards describe how well an element or task is to be performed and should be as measurable and observable as possible. Measurable standards include quantity, quality, and timeliness but may also include observable or demonstrable competencies and behaviors. It is important to be as clear and unambiguous as possible when describing quality of work products or competency and behavioral goals. For example, an individual not familiar with the work should be able to read the elements and standards and easily understand what work is to be done and how the work is expected to be performed.

3. Communication of Performance Elements and Standards: Performance plans should be finalized, communicated, and issued to the employee within 60 days from the beginning of the rating period or assignment to the position. The Rating Official should give the employee an opportunity and sufficient time to review the plan and provide comments or to discuss his or her views with the Rating Official. The Rating Official should consider the employee's comments before finalizing the performance elements and standards.

The performance plan must be reviewed and signed by both the Rating and Reviewing Official (except when the Rating Official reports directly to the Secretary, or an Under Secretary) *before* it is discussed with the employee. Once signed, the Rating Official must discuss the plan and expectations with the employee. The plan is not effective and in place until it has been discussed with and signed by the employee. If an employee chooses not to sign a performance plan, the Rating Official should note on the plan that the employee chose not to sign and a brief explanation of why, if applicable. The plan is then considered to be final, effective, and in place. The employee may attach comments to the final written elements and standards.

**Performance
Appraisal Process**
(continued)

4. Substantial changes in Performance Elements and Standards: Performance plans may be changed at any time. If it is necessary to do so, the substantial changes must occur at least 120 days before the employee can be rated. Substantial changes that are made during the appraisal period must be recorded and discussed with the employee, both orally and in writing, as soon as possible.
5. Establishing Performance Plans after the Beginning of the Annual Rating Period: When an employee's performance plan is not established within the first 60 days of the annual rating period, the employee's rating period begins on the date the plan is signed by both the employee and the Rating Official.

Guidance: Changes in duties, organizational priorities, or available resources may necessitate changes in performance plans. If there are substantial changes in the employee's performance plan during the appraisal period, it is important that the Rating Official discuss these changes with the employee and note the changes in the employee's performance plan.

B. PERFORMANCE MONITORING:

At the close of the rating cycle, employee performance is assessed against the elements and standards in the performance plan. However, employee performance must be monitored throughout the appraisal period.

1. As part of the performance monitoring process, employees must receive at least one progress review during the appraisal period. More than one progress discussion may be held with an employee. Typically, in a 12-month rating cycle, the review will be done between the fourth and eighth months in the appraisal period. If the employee has been on a performance plan for less than a year but more than 120 days, the Rating Official must hold a progress review with the employee at the mid-point of the appraisal

**Performance
Appraisal Process**
(continued)

period. During the progress review discussion, the Rating Official should provide an assessment of the employee's performance for each element of the plan.

2. The Rating Official and employee should sign and date the SI-5000A form, acknowledging the progress review and discussion. Completion of form SI-5000B is mandatory only when performance is evaluated at the "Unacceptable" level. However, it may be used in other cases at the supervisor's discretion. The forms may be found on the OHR website.

Guidance: Progress reviews provide for structured communication between the Rating Official and employee about performance progress. The purpose of the mid-cycle review is to assess the employee's progress toward achieving performance objectives and meeting performance requirements; to identify new or previously unnoticed problems affecting the employee's performance and developing ways to resolve them; and to make necessary adjustments in the performance elements and standards. Preparing for and scheduling the review meeting are essential to its success. In advance of the mid-cycle review, the Rating Official should review the elements, standards, and relevant documents to share with the employee.

3. Documenting Declining Performance: If at any time during the rating cycle an employee's performance on any element is in danger of falling below a "Successful" level (i.e., "Unacceptable"), the Rating Official must take remedial actions to assist the employee in improving his or her performance.

The Rating Official should seek guidance by contacting the Labor and Employee Relations Branch in OHR. Information may also be found in SD 212, Chapter 432, Reduction-In-Grade and Removal Based on Unacceptable Performance.

**Performance
Appraisal Process**
(continued)

Guidance: Mid-cycle reviews and/or communications regarding deficient performance should not be the only occasion when or on which the Rating Official and employee discuss the employee's performance. Informal progress reviews can occur more often. The objective is to maintain an open line of communication between the Rating Official and employee so that information about performance expectations and the employee's progress is often shared and discussed.

C. PERFORMANCE APPRAISAL:

1. Length of Performance Appraisal Period: An employee must be on a performance plan for a minimum of 120 days before his or her performance can be rated. If circumstances warrant, the rating period may be extended to meet the 120-day requirement.
2. Schedule for Evaluating Performance: Employee performance must be appraised and the evaluation completed within 60 days following the end of the annual performance appraisal period.
3. Ratings of Record Outside the Normal Schedule: On occasion, a rating of record must be prepared at times other than at the end of the appraisal period. Circumstances appropriate for ratings outside of the regular cycle include:
 - a) when an employee leaves his or her position before the end of the appraisal period and has been on a performance plan for at least 120 days; and
 - b) when an employee is placed on a written PIP because of unacceptable performance, and completed the opportunity period to improve his or her performance. If the employee's performance is subsequently rated "Successful" or above, the improved rating becomes the official rating of record. If the performance remains unacceptable, that

**Performance
Appraisal Process**
(continued)

rating is used to take appropriate action against the employee. Appropriate actions may be reassignment, reduction in grade, or removal from employment. Employee performance must be at a "Successful" level or above to receive a within-grade increase. For additional guidance, contact the Labor and Employee Relations Branch in OHR. Information may also be found in SD 212, Chapter 432, Reduction-In-Grade and Removal Based on Unacceptable Performance.

4. Advisory Ratings: In addition to the scheduled annual rating of record, it will sometimes be necessary that an advisory rating be completed for an employee. Advisory ratings must be considered by the Rating and Reviewing Officials when preparing a rating of record at the end of the performance appraisal period.

The circumstances appropriate for advisory ratings include:

- a) when the employee is detailed or temporarily promoted to another position within his or her unit, an advisory rating is required upon conclusion of the employee's temporary assignment of 120 days or more. This advisory rating is made by the Rating Official to whom the detailed or temporarily promoted employee reported, and will be shared with the employee's supervisor of record. The supervisor of record considers the advisory rating as part of the appraisal at the close of the appraisal period.

Guidance: In some instances, input for a rating of record will be required prior to the conclusion of the detail or temporary promotion. In order to provide appropriate consideration of all performance during the appraisal period, it may be necessary for the temporary supervisor to prepare an advisory rating prior to the

**Performance
Appraisal Process**
(continued)

conclusion of the temporary assignment if the employee has completed at least 120 days in the assignment.

- b) When the employee transfers to another agency or moves to another position within the Smithsonian during the performance appraisal period, the Rating Official should complete an advisory rating for the employee if the employee has been on the performance plan for at least 120 days. The advisory rating should be shared with the employee's new supervisor for consideration at the close of the Smithsonian's rating cycle.
- c) When the Rating Official leaves his or her own position during the performance appraisal period, the departing Rating Official should prepare an advisory rating for the employees who have been on performance plans for at least 120 days. These interim or advisory ratings are considered when the employee's annual rating of record is completed by the new Rating Official.

5. Assigning Summary Ratings:

- a) Rating individual elements: An employee should be given the opportunity to provide input for the Rating Official's consideration, such as work samples or accomplishments that were achieved during the appraisal period.

If performance elements are aligned with and support Smithsonian or organizational goals, the employee's contribution in meeting or exceeding those goals should be considered.

Each element has four rating levels. The employee's actual performance during the appraisal period is compared to the standards, and a score or weight is assigned to each element.

**Performance
Appraisal Process**
(continued)

For each performance element being rated as “Outstanding,” “Highly Successful,” or “Unsuccessful,” a narrative summary must be prepared on the SI-5000A (found on the OHR website). At the Rating Official’s discretion, a narrative summary may be prepared for a rating of “Successful.”

Rating levels and assigned weights are as follows:

- Level 4, “Outstanding” (3 points) — Performance dramatically exceeds expectations. Performance standards are consistently surpassed and completed in advance of time frames. Due to the individual’s leadership, initiative, and/or creativity, accomplishments consistently extend beyond expected outcomes and results to such extent that they have a direct and significant impact on enabling the Smithsonian to exceed its organizational performance metrics and goals, and establish new directions, priorities, or work processes.
- Level 3, “Highly Successful” (2 points) — Performance frequently exceeds expectations. Tasks and accomplishments often exceed expectations in terms of quality and are often completed in advance of time frames. Due to the employee’s initiative and foresight, accomplishments regularly extend beyond the described performance standards or assignment and enable the Smithsonian to exceed some of its organizational goals.
- Level 2, “Successful” (1 point) — Performance meets expectations. Tasks and accomplishments are completed in a high-quality and timely manner demonstrating considerable skill. Time

**Performance
Appraisal Process**
(continued)

frames are met or occasionally exceeded. Accomplishments directly contribute to meeting organizational goals.

- Level 1, “Unacceptable” (0 points). One or more elements do not meet expectations.

Guidance: When rating employees in a work unit, the Rating Official should also look at the performance of the work unit as a whole. If the work unit exceeds the goals, then it is likely that employee performance on the elements that support these goals will also be at or above the “Successful” level. On the other hand, if a work unit does not meet its goals, or if there are repeated discrepancies between employee and organizational performance, the Rating Official should ensure that: 1) performance elements and expectations support organizational goals; 2) performance elements and expected results are clearly communicated to each employee; and 3) there are not other circumstances, such as insufficient resources or a lack of training, that may have an impact on performance.

- b) Summary Rating: After each element is rated, a numerical summary is calculated by adding the scores for each element and dividing the total by the number of elements. The final numerical summary is matched to the corresponding rating in the Summary Conversion Table. This becomes the employee’s performance rating for the appraisal period. However, if any element is rated as “Unacceptable,” the employee’s performance must be rated as “Unacceptable” regardless of the ratings on other individual elements and the total numeric average.

Summary Conversion Table

3.0 – 2.6 = Outstanding
2.5 – 1.6 = Highly Successful
1.5 – 1.0 = Successful

**Performance
Appraisal Process**
(continued)

Guidance: Below is an example of how to determine a summary rating. An employee has a performance plan with four (4) elements and receives the following individual ratings:

- *Element 1 — Successful (1 point)*
- *Element 2 — Highly Successful (2 points)*
- *Element 3 — Successful (1 point)*
- *Element 4 — Highly Successful (2 points)*

The total numeric score equals 6. This total score would be divided by 4 (because there were four elements), and the summary rating is 1.5 points. Based on the Summary Conversion Table, 1.50 falls within the range of a Successful rating.

6. Communicating the Rating of Record:

- a) Ratings of record must be completed by the employee's Rating Official, and approved and signed by the Reviewing Official prior to discussing and sharing the performance evaluation with the employee.
- b) The Rating Official will discuss the rating of record with the employee, going over each element individually.
- c) The employee will be requested to sign the SI-5000A form. The employee's signature indicates only that he or she has seen the performance rating, and was provided the opportunity to discuss the appraisal with the Rating Official. The date that the rating of record is communicated to the employee is the date of the issuance of the rating.

Guidance: Performance ratings are valid even when the employee refuses to sign the form. When applicable, the Rating Official should indicate in writing that the employee declined to sign Form SI-5000A. Supporting documentation, notes, or written comments not included on Forms 5000A-C but used as part of the

**Performance
Appraisal Process**
(continued)

performance appraisal discussion are not appropriate for filing with the performance appraisal. If the employee requests that the Rating Official's written communication(s) be included as part of the employee rating of record, the Rating Official should agree; the employee should indicate his or her wishes on the document to be inserted.

- d) The employee may provide written comments about the performance rating. Written comments may be attached and filed with the Forms SI-5000A-C. Upon completion of the performance evaluation, the employee will receive a copy of the completed performance appraisal containing all signatures.
 - e) The original signed performance appraisal (Forms SI-5000A-C) is to be forwarded to OHR for recording and filing in the employee's Employee Performance File (EPF). Performance appraisals cannot be used as official ratings of record to support personnel actions until copies are received in OHR. OHR prepares regular reports and analyses on the completion and distribution of ratings throughout the Institution.
7. Rating Managerial and Supervisory Positions: Managers and supervisors receive their rating after they have completed their subordinate staff ratings. Managers and supervisors who appraise employees within 60 days after the close of the performance cycle may receive a rating of "Highly Successful" or above for their supervisory element.

**Impact
of Performance
Ratings**

Performance ratings are taken into consideration or are required for various personnel actions. Among these actions are:

- 1. Within-Grade-Increases (WGIs) must be withheld if an employee's performance is unacceptable.

**Impact
of Performance
Ratings** (continued)

2. A Quality Step Increase (QSI) requires that the most recent rating of record is “Outstanding.”
 3. A cash award based on performance requires that the most recent rating of record be “Highly Successful” or “Outstanding.”
 4. An employee’s retention status during a Reduction in Force (RIF) is determined in part by the employee’s past performance ratings.
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**Record-keeping
Requirements**

OHR will retain and manage the official performance plans and appraisals and other performance-related records in accordance with the established record-keeping requirements and the applicable records inventory and disposition schedules.

CANCELLATION:
INQUIRIES:
RETENTION:

SD 212, Chapter 430, September 6, 2006
Office of Human Resources (OHR)
Indefinite. Subject to review for currency 24 months from date of issue