



# 5-Level Performance Management Guide for HCCS Serviced Bureaus

## Office of Human Resources Management

A comprehensive guide for HCCS Serviced employees to understand performance management specifics, including the year end process, for all HCCS Serviced Bureaus.

Examples of what this guide can be used for	Examples of what this guide shouldn't be used for
✓ HCCS-specific guidance	✗ Enterprise Services HR guidance
✓ 5-Level Positions	✗ CAPS Positions
✓ Supplementary guidance to established Federal-wide, OPM, and/or Departmental guidance	✗ Substitute for established Federal-wide, OPM, and/or Departmental guidance
✓ Onboarding for new employees and supervisors	✗ Compensation and Benefits guidance
✓ Outlining the end-to-end year-end performance evaluation process	✗ Employee and Labor relations guidance
✓ Previewing sample documentation and frequently used terms	✗ A comprehensive list of all performance management specific policy



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# Introduction and Overview



# Introduction to the Performance Management Guide



## Purpose

This document is intended to help you – a DOC employee of a HCCS serviced bureau– understand the entire performance management process from start to finish. The federal performance management process often feels daunting; however, this clear and easy-to-follow guidance is designed to help you understand the process, so you can track your actions and any next steps along the way.

This guide will be updated as certain processes change over time. This guide will be available to all HCCS staff and HR Specialists to ensure that all stakeholders share a uniform understanding of the hiring process.



## Usage

You can use this document in a variety of ways. If you are a new employee, you can use this manual to gain a deeper understanding on how performance management is assessed within HCCS serviced bureaus. If you are a supervisor evaluating your employees for the first time or you simply need a refresher, reading the year-end guidance section in its entirety will provide you with the necessary actions and deadlines. If you are familiar with the process overall, but have a specific question regarding one step or topic, you can reference that section using the navigation key at the top of each page. In addition, each page of this guide can be extracted and used as a one-pager resource to educate relevant stakeholders on unique aspects of the process.



## 5-Level | Performance Management Timeline

*The following provides an overview of the Performance Management Mid-Year Timeline for FY19*

Date	Description
April 30, 2019	Mid-Year Cycle Ends
No later than April 30, 2019	Supervisors are recommended to request that employees submit documentation of their accomplishments.
	Prepare and hold performance review meetings with employees, determining needs for changes to original CD-430 Performance Plans. Identify the employee's progress during the current rating period and identify developmental/training goals or objectives.
No later than May 30, 2019	Supervisors hold performance review meetings with employees.
No later than May 30, 2019	At the end of the Mid-Year Performance Reviews, Rating Officials are required to annotate and certify that mid-year reviews were conducted using the CD-431 Performance Tracking System (PMTS) attached. The PMST record for mid-year reviews is due to your POC by May 30, 2019. Carol Davison will submit the certifications to the Department.

### Remember!



Human Resources recommends managers comply with the timelines provided in the performance management guidance. Please be aware that failure to follow the timeline has resulted in OIG referrals.



## 5-Level | Performance Management Process

The performance management process has three distinct stages: performance planning, progress review, and appraisal. The annual appraisal cycle begins October 1 and ends September 30. The performance plan is used to communicate organizational goals and employee expectations, and it is a tool for creating employee accountability. The performance appraisal is used to measure an employee's progress in accomplishing organizational goals. There are two performance ratings: Eligible and Unsatisfactory. These performance ratings determine employee eligibility for comparability increases, performance pay increases, and performance bonuses. Supervisors also use performance appraisal results as a basis for making decisions on training, reassignment, promotion, retention, improving performance and, if necessary, reduction in pay band or removal.





# Overview of DOHROC Annual Appraisal Process

## Employees Eligible for Year-End Performance Review



An employee is eligible for a performance rating if he or she has worked under a performance plan for at least 120 days and if he or she occupies a covered position on the last day of the appraisal period, unless the employee is on a Performance Improvement Plan (PIP) at the end of the appraisal period. However, if the employee did not work under a performance plan for 120 days during the appraisal period, the rating period can be extended past the normal end for up to 119 days. The rating is then granted to the employee after the 120 days are completed.

### Unrateable Employees

Employees are unrateable if they did not work at least 120 days during the appraisal cycle in a covered position or positions or if they were placed on a performance improvement plan during the appraisal cycle because their performance failed to meet the minimum level of acceptable performance in one or more critical elements.

## Interim Ratings



Interim Ratings are prepared when an employee has spent the minimum appraisal period of 120 days in a position covered by a performance plan and subsequently changes to a new 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. The interim rating may become a summary rating when an employee changes position toward the end of the rating period (i.e., when the time remaining in the appraisal cycle is less than 120 days.) All interim ratings must be considered when preparing the final summary rating. Additional guidance for considering interim ratings when preparing final summary ratings may be found in the Performance Management Handbook.

## Level 1 (Unacceptable) or Level 2 Rating of a Critical Element



*If any employee is rated at Level 1 or Level 2 on a Critical Element, please contact your Employee Relations Specialist listed below before rating your employee.*

If any critical element is rated at Level 1 or Unacceptable, the employee's overall summary rating must be a Level 1, regardless of the other critical element ratings.



## 5-Level | HCCS Annual Appraisal Process

The Department of Commerce believes that successful performance management is achieved when there is continuous interaction and engagement between Rating Officials and Employees through the entire rating appraisal period. An employee who occupies a covered position on the last day of the appraisal cycle (September 30) and who has been in a position for the minimum appraisal period of 120 days must receive an annual performance appraisal rating of record. We encourage supervisors and employees to have open and on-going conversations about performance expectations and progress beyond the required documented discussions.

### Step

# 1

#### Pre-Appraisal Meeting

Pre-appraisal meetings are *not* mandatory under the 5-Level System. However, supervisors should encourage each employee to request a pre-appraisal meeting. These pre appraisal meetings could include:

- The employee's assessment of results and impact achieved against the elements and standards set in his/her performance plan
- Aspects of the employee's work which the rating official may not be aware
- Make recommendations on what to include in the next FY's performance plan.

During the pre-appraisal meeting, the Rating Official must not discuss the actual rating, but may ask questions to clarify his or her understanding of the employee's performance.

### Step

# 2

#### Rating/Approval Official Appraisal Determinations

After the Rating Official has made rating determinations, they will recommend a summary rating and award to the Approving Official. The Rating Official should also refer to the Generic Performance Standards, found at Appendix A of the CD-430, Performance Management Record, to ensure the rating accurately reflects the overall results achieved by the employee throughout the performance appraisal cycle. The Rating Official will use these documents to evaluate the employee's performance and make summary rating and award determinations. If any employee is given a Level 1 or 2, please contact your ER Specialist.

After receiving the Approving Official's signature on the CD-430 the Rating Official may conduct the performance appraisal meeting with his/her employees. The Rating Official must inform the employees of the date and time of the appraisal meeting and present the final summary and award, if applicable, to the employee.





## 5-Level | Key Roles and Responsibilities

The performance management process has several key players, each of whom has a different responsibility throughout the process. The following section provides guidance and clarity on specific roles and responsibilities.



### First-Line Supervisors

Establish performance plans at the fully successful level, with input from the employee; Establish conduct expectations (i.e., procedures for requesting leave, professionalism, etc.); Communicate performance and conduct expectations to employees; Monitor and provide feedback on performance, including end-of-year review; Manage employee performance and conduct, to include documenting concerns and taking performance- and/or conduct-based actions where appropriate; Consult with ER for assistance on establishing adequate performance standards, addressing performance deficiencies, and addressing misconduct; Recommend performance ratings for employees.



### Second-Line Supervisors

Review performance plans developed by first-line supervisors to ensure they are integrated into the total management process and consistent with overall organizational objectives; Confers with supervisor regarding end of year ratings and provides approval on ratings; Respond to employee grievances regarding performance rating; Be responsible for responding to proposals for performance- and/or conduct-based actions recommended by first-line supervisors; Ensure consistency across organizational unit when actions are taken



### Employees

Provide input to performance plan; Review performance and conduct expectations; Communicate frequently with supervisor, ask for feedback, clarification, and/or assistance when needed; Routinely review performance progress toward established standards and goals and make adjustments where needed to improve.



### ER/LR

Provide technical advice and guidance to supervisors on managing employee performance and conduct; Draft/review/edit documents in support of performance- and conduct-based actions (including performance plans, performance deficiency notices, and Performance Improvement Plans (PIP)); Identify a broad range of approaches, options, and possible outcomes for addressing performance and conduct; Ensure performance- and/or conduct-based actions are supported by the evidence; Consult with Agency's Office of the General Counsel (OGC) and obtain legal review where appropriate. Maintain ER case files and other related documentation; Present training on a variety of ER topics.



### OGC

Serve as the legal representative of the Agency; Conduct legal review of performance- and/or conduct-based actions, when required by law, rule, or regulation, or when requested by either ER or the relevant manager; Provide advice regarding employee performance and/or conduct, as well as any other personnel issue, when required by law, rule, or regulation, or when requested by either ER or the relevant manager; Partner with ER/LR to assist supervisors within the Agency in managing employee performance and conduct.



# Performance Planning



# Creating a Performance Plan

*This fact sheet is intended for employees in positions covered by the Department of Commerce Five-Level Performance Management System under Department Administrative Order (DAO) 202-430  
Don't know your performance management system?  
Speak with your supervisor or Primary Administrative POC*

**Performance Plans** are the documentation of performance expectations communicated to employees by supervisors. Performance Plans should be reviewed periodically throughout the appraisal period and updated as priorities and projects change. Plans are documented on the CD-430, available [here](#).

## **Who is responsible for creating the performance plan?**

The process should involve both the rating official (supervisor) and the employee. When employees are involved in the process, they better understand their expectations and have ownership of their work. However, it is ultimately management's responsibility to set expectations. If a rating official and an employee disagree on the contents of the Performance Plan, the approving official (typically the second-level supervisor) makes the final decision.

## **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 DOC Performance Management system. All rating officials and employees should be familiar with the strategic goals and objectives at DOC, their bureau, and their office prior to creating their Performance Plans. Managers and supervisors can establish a clear linkage between the goals of their work units and the strategic goals of the Department by completing the following steps:

1. Review the specific goals and objectives in the DOC, bureau, and office annual strategic plans.
2. Select the DOC Strategic Goal that relates to the Critical Element (see the DOC Strategic Plan at <https://www.commerce.gov/file/us-department-commerce-2018-2022-strategic-plan>).
3. From the DOC Strategic Plan at the link above, input the Strategic Objective that your bureau supports under the selected Goal.
4. Input the relevant NOAA Mission or Objective in the "Bureau Goal" box.

## **What is included on a performance plan?**

Each employee's Performance Plan includes a minimum of three and a maximum of five Critical Elements and associated Performance Standards. The policy also requires the use of the defined Generic Performance Standards, available [here](#).

## **When are performance plans created?**

The appraisal period for General Schedule (GS) and Federal Wage System (FWS) employees is October 1st to September 30th and for Wage Marine employees is November 1st to October 31st. Performance Plans must be completed and signed by the rating official, approving official, and the employee within 60 days of the beginning of the appraisal period or an employee entering a covered position. Approximately four weeks before the start of each appraisal period, rating officials and employees will begin developing Performance Plans for the next appraisal period.



## 5-Level | Generic Performance Standards

The generic performance standards (GPS) are the primary basis for assigning element ratings in the Department of Commerce. The GPS are to be applied to each critical element in the performance plan. (Summary ratings are assigned by using a point scale after each element has been rated.)

When evaluating an element, the rater should follow the below guidance:

1. Read carefully each performance standard level beginning with Level 3. (It is considered the base level standard.)
2. Determine which level best describes the employee's performance on the element. (Each and every criterion in the standards does not have to be met by the employee in absolute terms for the rater to assign a particular rating level. The sum of the employee's performance of the element must, in the rater's judgment, meet the assigned level's criteria.)
3. Provide in writing, on the appraisal form, specific examples of accomplishments which support the assigned rating level. Element ratings of Level 3 do not require full written documentation unless the employee requests it. To assign a Level 3 element rating, the rating official need only document in writing that: (1) the Level 3 standards were met, and (2) that the rating was discussed in detail with the employee.

**TIP:** Occasionally, when rating some elements, a rating official may determine that an employee's performance on an element was not consistent. For example, the employee may have performed at Level 4 on several major activities within a critical element and at Level 2 on several others. ***The rationale for the decision must be documented on the rating form, citing specific accomplishments which support the decision.***



## 5-Level | Level 5 Generic Performance Standards

### LEVEL 5

#### NONSUPERVISORY

This is a level of rare, high-quality performance. The quality and quantity of the employee's work substantially exceed Level 3 standards and rarely leave room for improvement. The impact of the employee's work is of such significance that organizational objectives were accomplished that otherwise would not have been. The accuracy and thoroughness of the employee's work on this element are exceptionally reliable. Application of technical knowledge and skills goes beyond that expected for the position. The employee significantly improves the work processes and products for which he or she is responsible. Thoughtful adherence to procedures and formats, as well as suggestions for improvement in these areas, increase the employee's usefulness.

This person plans so that work follows the most logical and practical sequence; inefficient back-tracking is avoided. He or she develops contingency plans to handle potential problems and adapts quickly to new priorities and changes in procedures and programs without losing sight of the longer-term purposes of the work. These strengths in planning and adaptability result in early or timely completion of work under all but the most extraordinary circumstances. Exceptions occur only when delays could not have been anticipated. The employee's planning skills result in cost-savings to the government.

In meeting element objectives, the employee handles interpersonal relationships with exceptional skill, anticipating and avoiding potential causes of conflict and actively promoting cooperation with clients, co-workers, and his or her supervisor.

The employee seeks additional work or special assignments related to this element at increasing levels of difficulty. The quality of such work is high and is done on time without disrupting regular work. Appropriate problems are brought to the supervisor's attention; most problems are dealt with routinely and with exceptional skill.

The employee's oral and written expression are exceptionally clear and effective. They improve cooperation among participants in the work and prevent misunderstandings. Complicated or controversial subjects are presented or explained effectively to a variety of audiences so that desired outcomes are achieved.



## 5-Level | Level 5 Generic Performance Standards, continued

### LEVEL 5

#### TEAM LEADER

The employee is a superior team leader. Performs a variety of coordinating, coaching, facilitating, and planning functions for the team in a way that not only facilitates the accomplishment of organizational goals, but also results in substantial innovation in work processes that results in improvements in the overall quality, quantity, and timeliness of products, services, and/or work products assigned to the team. Applies an in-depth, expert knowledge of functions led, as well as superior leadership and team building skills and techniques in the day-to-day accomplishment of work priorities.

#### SUPERVISOR

The employee is a strong leader who works well with others and handles difficult situations with dignity and effectiveness. The employee encourages independence and risk-taking among subordinates, yet takes responsibility for their actions. Open to the views of others, the employee promotes cooperation among peers and subordinates, while guiding, motivating, and stimulating positive responses. The employee's work performance demonstrates a strong commitment to fair treatment, equal opportunity, and the affirmative action objectives of the organization.



## 5-Level | Level 4 Generic Performance Standards, continued

### LEVEL 4

#### NONSUPERVISORY

This is a level of unusually good performance. The quantity and quality of work under this element are consistently above average. Work products rarely require even minor revision. Thoroughness and accuracy of work are reliable. The knowledge and skill the employee applies to this element are clearly above average, demonstrating problem-solving skill and insight into work methods and techniques.

The employee follows required procedures and supervisory guidance so as to take full advantage of existing systems for accomplishing the organization's objectives.

The employee plans the work under this element so as to proceed in an efficient, orderly sequence that rarely requires backtracking and consistently leads to completion of the work by established deadlines. He or she uses contingency planning to anticipate and prevent problems and delays. Exceptions occur when delays have causes outside the employee's control. Cost savings are considered in the employee's work planning.

The employee works effectively on this element with co-workers, clients, as appropriate, and his or her supervisor, creating a highly successful cooperative effort. He or she seeks out additional work or special assignments that enhance accomplishment of this element and pursues them to successful conclusion without disrupting regular work. Problems which surface are dealt with; supervisory intervention to correct problems occurs rarely.

The oral and written expression applied to this element are noteworthy for their clarity and effectiveness, leading to improved understanding of the work by other employees and clients of the organization. Work products are generally given sympathetic consideration because they are well-presented.

#### TEAM LEADER

The team leader effectively distributes work and monitors team members' work performance to ensure completion of work in accordance with the supervisor's work plans. The team leader coordinates, coaches, and facilitates work of the team in a way that enables the team to consistently deliver services and/or work products that exceed established standards of performance of quality and timeliness, and contribute significantly to the accomplishment of organizational goals and objectives.

#### SUPERVISORY

The employee is a good leader, establishes sound working relationships and shows good judgment in dealing with subordinates, considering their views. He or she provides opportunities for staff to have a meaningful role in accomplishing organizational objectives and makes special efforts to improve each subordinate's performance.



## 5-Level | Level 3 Generic Performance Standards, continued

### LEVEL 3

#### NONSUPERVISORY

This is the level of good, sound performance. The quality and quantity of the employee's work under this element are those of a fully competent employee. The performance represents a level of accomplishment expected of the great majority of employees. The employee's work products fully meet the requirements of the element. Major revisions are rarely necessary; most work re-quires only minor revision. Tasks are completed in an accurate, thorough, and timely way. The employee's technical skills and knowledge are applied effectively to specific job tasks. In completing work assignments, he or she adheres to procedures and format requirements and follows necessary instructions from supervisors. Work products are well-presented.

The employee's work planning is realistic and results in completion of work by established dead-lines. Priorities are duly considered in planning and performing assigned responsibilities. Work reflects a consideration of costs to the government, when possible.

In accomplishing element objectives, the employee's interpersonal behavior toward supervisors, co-workers, and users promotes attainment of work objectives and poses no significant problems. The employee completes special assignments so their form and content are acceptable and regular duties are not disrupted. The employee performs additional work as his or her workload permits. Routine problems associated with completing assignments are resolved with a minimum of supervision. The employee speaks and writes clearly and effectively.

#### TEAM LEADER

The team leader successfully leads subordinate team members in the accomplishment of assigned projects and workload. The leader ensures adequate understanding of the work requirements and coordinates, coaches, and facilitates accomplishment of the team's work. The team leader ensures that the unit provides timely and quality services and/or work products that contribute to the accomplishment of the organization's goals and objectives.

#### SUPERVISORY

The employee is a capable leader who works successfully with others and listens to suggestions.

The employee rewards good performance and corrects poor performance through sound use of performance appraisal systems, performance-based incentives and, when needed, adverse actions; and selects and assigns employees in ways that use their skills effectively.

The employee's work performance shows a commitment to fair treatment, equal opportunity, and the affirmative action objectives of the organization.





## 5-Level | Level 2 Generic Performance Standards, continued

### LEVEL 2

#### NONSUPERVISORY

This level of performance, while demonstrating some positive contributions to the organization, shows notable deficiencies. It is below the level expected for the position, and requires corrective action. The quality, quantity or timeliness of the employee's work is less than Level 3, jeopardizing attainment of the element's objective.

There is much in the employee's performance that is useful. However, problems with quality, quantity or timeliness are too frequent or too serious to ignore. Performance is inconsistent and problems caused by deficiencies counter-balance acceptable work. These deficiencies cannot be overlooked since they create adverse consequences for the organization or create burdens for other personnel. When needed as input into another work process, the work may not be finished with such quality, quantity and timeliness that other work can proceed as planned.

Although the work products are generally of usable quality, too often they require additional work by other personnel. The work products do not consistently and/or fully meet the organization's needs. Although mistakes may be without immediate serious consequences, over time they are detrimental to the organization.

A fair amount of work is accomplished, but the quantity does not represent what is expected of Level 3 employees. Output is not sustained consistently and/or higher levels of output usually result in a decrease in quality. The work generally is finished within expected timeframes but significant deadlines too often are not met.

The employee's written communication usually considers the nature and complexity of the subject and the intended audience. It conveys the central points of information important to accomplishing the work. However, too often the communication is not focused, contains too much or too little information, and/or is conveyed in a tone that hinders achievement of the purpose of the communication. In communication to co-workers, the listener must question the employee at times to secure complete information or avoid misunderstandings.



## 5-Level | Level 2 Generic Performance Standards, continued

### LEVEL 2

#### TEAM LEADER

The team leader's performance while demonstrating some positive contributions to the success of the organization shows notable deficiencies. Performance is below the level expected for the position. The quality, quantity or timeliness of the team leader's work is less than Level 3. Performance is inconsistent and problems caused by deficiencies counterbalance acceptable work. The team leader does not always provide specific direction to team members on how to carry out assignments and/or adequately convey performance expectations, and/or provide an understanding of the goals of the organization or their team member roles in meeting those goals.

The team leader does not always motivate the team and promote a team spirit. Performance at this level indicates that improvement or additional development is needed for the team leader to operate at an acceptable level.

#### SUPERVISOR

Inadequacies surface in performing supervisory duties. Deficiencies in areas of supervision over an extended period of time affect adversely employee productivity or morale, or organizational effectiveness. The Level 2 employee does not provide strong leadership or take the appropriate initiative to improve organizational effectiveness. For example, he or she too often fails to make decisions or fulfill supervisory responsibilities in a timely manner, to provide sufficient direction to subordinates on how to carry out programs, to give clear assignments and/or performance requirements, and/or to show an understanding of the goals of the organization or subordinates' roles in meeting those goals.



## 5-Level | Level 1 Generic Performance Standards, continued

### LEVEL 1

#### NON-SUPERVISORY

The quantity and quality of the employee's work under this element are not adequate for the position. The employee's work products fall short of requirements of the element. They arrive late or often require major revision because they are incomplete or inaccurate in content. The employee fails to apply adequate technical knowledge to complete the work of this element.

Either the knowledge applied cannot produce the needed products, or it produces technically inadequate products or results. Lack of adherence to required procedures, instructions, and formats contributes to inadequate work products.

Because the employee's work planning lacks logic or realism, critical work remains incomplete or is unacceptably late. Lack of attention to priorities causes delays or inadequacies in essential work; the employee has concentrated on incidental matters.

The employee's behavior obstructs the successful completion of the work by lack of cooperation with clients, supervisor, and/or co-workers, or by loss of credibility due to irresponsible speech or work activity.

In dealing with special projects, the employee either sacrifices essential regular work or fails to complete the projects. The employee fails to adapt to changes in priorities, procedures, or program direction and, therefore, cannot operate adequately in relation to changing requirements.

The oral and written expression the employee uses in accomplishing the work of this element lacks the necessary clarity for successful completion of required tasks. Communication failures interfere with completion of work.

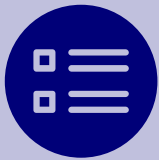
#### TEAM LEADER

The team leader does not meet performance expectations on one or more critical elements. The team leader fails to properly distribute, monitor, and ensure completion of the team's workload. Due to these deficiencies, the team is unsuccessful in delivering work products that meet standards for quality, timeliness, and accuracy.

#### SUPERVISORY

Most of the following deficiencies are typically, but not always, common, characteristics of the employee's work:

- Inadequate guidance to subordinates;
- Inattention to work progress; and
- Failure to stimulate subordinates to meet goals.



# Performance Review Materials



## 5-Level | HCCS End of Year Performance Checklist

### Supervisory Appraisal Checklist Performance Management System



#### Appraisal Preparation

- Supervisor requests that the employee provide them with a written list of accomplishments and their impact on the organization
- Employee is given the option of a pre-appraisal meeting
- Pre-appraisal meeting is conducted, if requested by employee

#### Supervisor Prepares for Formal Appraisal Meeting by:

- Reviewing the performance plan
- Reviewing notes from progress reviews and employee accomplishments
- Reading the generic performance standards and any other supplemental standards included in the plan
- Considering information supplied at the pre-appraisal meeting, if one was conducted, or from meeting with the approving official
- Assigning a proposed rating to each element
- Assigning a proposed performance summary rating using the required weights and points
- Realizing that if all critical elements are rated 3, only a narrative that the employee's performance met expectations and that the rating was discussed with the employee are required
- Confer with approving official and gain approval of the rating recommended

#### Formal Appraisal Meeting

- Supervisor discusses the final rating with employee
- Employee signs the performance appraisal and is given a copy

#### FY Performance Plans Completed



## Review and Maintenance of Employee Performance File (EPF)



All supervisors are responsible for **frequent review** and **maintenance** of Employee Performance Files (EPF) for each direct report according to the requirements of HR Guidance Bulletin #FY13—008. Supervisors should use the following checklist for each of their employees to confirm compliance with the requirement.

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### As a Supervisor, do you:

- Have a file for each employee on your team?
- Lock all files if physical, or password protect them if on a computer?
- Restrict employee access to the files or representative and agency officials with a need for access in performance of their duties?
- Destroy all documents older than four years by shredding or burning?
- Destroy all documents when an employee's performance has been acceptable for one year after an appraisal or an action related to unacceptable performance?
- Remove or discard the filing of all employee documents that are not directly related to performance?



## Review and Maintenance of Employee Performance File (EPF), continued

The following checklist should be completed during the current year, plus fewer than four years old:

	Current	FY XX	FY XX	FY XX	FY XX
Timely Performance Plan signed by approving official, rating official, and employee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Timely Progress Review signed by approving official, rating official, and employee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Timely Summary rating signed by approving official, rating official, and employee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Final summary rating indicated	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Appraisal narrative supports rating	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

***Supervisors must also maintain the following performance-related documents (if applicable):***



- Performance Improvement Plan(s) PIP(s), notices of proposed reduction-in-grade or removal when based on performance, training required to correct performance, other unacceptable performance-related documents
- Individual Development Plans (IDPs)
- SF-50—Notification of Personnel Action—when documenting performance-based awards
- Other performance-related documents and records



# Performance Credit for RIF Purposes

## UNDERSTANDING RIF PROCEDURES

When an agency is faced with separating or downgrading employees for reasons including, but not limited to, reorganization, lack of work, or a shortage of funds, Reduction in Force (RIF) regulations determine which employees keep their present position and/or which employees have a right to a different position if available\*

### How Do RIF Procedures Work?

When a RIF is necessary, affected employees are grouped into competitive area, local commuting area, and then competitive level (generally including positions with the same grade, classification series, and official tour of duty). After employees are grouped into competitive levels, the agency will rank the employees within that level according to the four retention factors.

Employees are grouped by:



**Tenure:** Generally non-probationary competitive employees in one group, career-conditional or probationary employees in a second, and term or temp employees in a third



**Veterans' Preference:** three groups depending on service-connected disability and other statuses).

Within each subgroup, the agency ranks the employees by their respective Service dates, with employees with longer tenure being at the top of the list. Finally, employees receive extra retention service credit for performance based upon the average of their last three annual performance ratings, which essentially means that top performers may be bumped up on the list even if they have a shorter career tenure.

The resulting "**Retention Register**" is a ranking of employees within each competitive level and subgroup, such that the employee with the highest standing is at the top of each subgroup, and the employee with the lowest standing is at the bottom

\*All Federal agencies follow the RIF procedures under Title 5, Code of Federal Regulations (C.F.R.), Part 351. The procedures require that the following four factors be used in releasing employees: (1) Type of employment; (2) Veterans' preference; (3) Length of service; and (4) Performance rating.





## 5-Level | Performance Credit for RIF Purposes continued

### How Does Credit for Performance Apply Under 5-Level?

For employees covered by the Five-Level system, the assignment of Reduction-in-Force (RIF) credit for performance scores is defined in DAO 202-430, Section 6.t. Service credit for RIF purposes is linked to the rating level, as follows:

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



### Need Additional Assistance?

#### OPM RIF Website

<http://www.opm.gov/policy-data-oversight/workforce-restructuring/reductions-in-force/>



#### DOC RIF Policy

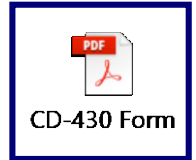
[http://hr.commerce.gov/s/groups/public/@doc/@cfoasa/@ohrm/documents/content/prod01\\_009994.pdf](http://hr.commerce.gov/s/groups/public/@doc/@cfoasa/@ohrm/documents/content/prod01_009994.pdf)



## 5-Level | CD-430 Form Instructions

### Filling out the CD-430 Performance Management Record (1 of 4)

This fact sheet is intended for employees in positions covered by the DOC Five-Level Performance Management System under Department Administrative Order (DAO) 202-430. Below, you will find instructions for filling out a CD-430 for your employee.



CD-430  
(REV. 05-18)

U.S. Department of Commerce

### PERFORMANCE MANAGEMENT RECORD

1	Coverage	2	Bureau Appraisal Cycle	3	Appraisal Period
	<input type="checkbox"/> General Schedule <input type="checkbox"/> Federal Wage System <input type="checkbox"/> Wage Marine		<input type="checkbox"/> October 1 – September 30 <input type="checkbox"/> June 1 – May 31 <input type="checkbox"/> November 1 – October 31		From: _____  To: _____

- Under **Coverage**, select the employee’s personnel system.
- Under **Bureau Appraisal Cycle**, select the appropriate appraisal cycle. For GS and FWS employees, select October 1 – September 30.
- Under **Appraisal Period**, input the beginning and end dates for the employee’s appraisal cycle. Typically, this will be the same dates as the Bureau Appraisal Cycle box. However, in cases where an employee enters a position after the beginning of the appraisal cycle, the From: date will be the date their Performance Plan was approved.
- For **Employee’s Name** and **Organization**, fill out the employee’s information. For the organization information, use the following:

**4**

Employee’s Name: \_\_\_\_\_

Position Title: \_\_\_\_\_ Pay Plan, Series, Grade/Step: \_\_\_\_\_

Organization: 1. Department of Commerce      3. [Your Line or Staff Office]  
 2. HCCS      4. [Your Division or Branch]



# 5-Level | CD-430 Form Instructions

## Filling out the CD-430 Performance Management Record (2 of 4)

Each employee must have **three to five Critical Elements** in their Performance Plan. All employees must have the Customer Service Critical Element on page 2. Critical Elements are documented on pages 2, 4, 6, 8 and 10. For each Critical Element, complete the following information:

PERFORMANCE PLAN AND APPRAISAL RECORD		
Employee Name:	Date	Element No. _____ of _____
<b>Cascaded Organizational Goals</b>		
The Department's Strategic Plan identifies five key goals. Each of these goals has Strategic Objectives that one or more bureaus support. Each critical element must cascade from a goal identified for each critical element, and each critical element must have at least one Strategic Objective. First, select the appropriate Strategic Goal. Then, fill in the appropriate Strategic Objective(s), the bureau goal/strategy/initiative, and the SES performance requirement (as applicable) to complete the cascade. The SES performance requirement will be in the performance plan for the SES member who is in the employee's chain of command. The weight for each element should reflect the significance within the Department and bureau's organizational goals. Weights should not be assigned based on the percentage of time an employee spends working on the element.		
<div style="border: 1px solid black; padding: 5px;"> <p><b>5 Strategic Goals</b></p> <p><input type="checkbox"/> <b>Goal 1 - Accelerate American Leadership</b> - To strengthen US leadership, supporting the growth of commercial space activities, investing in foundational research, and protecting intellectual property.</p> <p><input type="checkbox"/> <b>Goal 2 - Enhance Job Creation</b> - Facilitate job creation through streamlining regulations and supporting the growth of aquaculture, exports, and foreign direct investment, along with attracting investment and creating economic opportunity.</p> <p><input type="checkbox"/> <b>Goal 3 - Strengthen U.S. Economic and National Security</b> - Enforce compliance with trade laws, provide cybersecurity tools, disseminate weather information, and deploys a first-responder broad band network that will protect lives and property.</p> <p><input type="checkbox"/> <b>Goal 4 - Fulfill Constitutional Requirements and Support Economic Activity</b> - Utilize DOC data sets to support research by the private sector and academic institutions, and inform critical business decisions across all sectors of the economy.</p> <p><input type="checkbox"/> <b>Goal 5 - Deliver Customer-Centric Service Excellence</b> - Implement strategies to better align workforce skills with current priorities, modernize enabling technology, and consolidate transactional functions, improving service and cost-effectiveness.</p> </div>		
<div style="border: 1px solid black; padding: 5px;"> <p><b>6 Strategic Objective(s):</b></p>    </div>		
<div style="border: 1px solid black; padding: 5px;"> <p><b>7</b></p> <p><input type="checkbox"/> Bureau Goal:</p> <p><input type="checkbox"/> SES/Organizational Goal/SES Performance Requirement (as applicable):</p> </div>		

5. Read the [DOC Strategic Plan](#). Select the appropriate **Strategic Goal** related to the Critical Element.
6. Under the **Strategic Objectives**, write in the Strategic Goal related to your bureau and the Critical Element.
7. Enter a **cascaded SES** and/or **bureau-level Strategic Objective or Goal**.



## 5-Level | CD-430 Form Instructions

### Filling out the CD-430 Performance Management Record (3 of 4)

8	Critical Element:	Element Weight: 10
	Objective:	9
	<b>Results of Activities:</b> Identify what results need to be accomplished in support of the Strategic Objective(s). A minimum of three and a maximum of six results must be listed.	
11		
	<b>Criteria for Evaluation (Metrics):</b> Identify how the above activities are to be evaluated. The metrics should be defined at Level 3 performance in terms of quality, quantity, timeliness, and/or cost-effectiveness. Generic Performance Standards (attached) also apply.	
12		

8. Enter the Critical Element.
9. Enter the organizational-level Strategic Objective.
10. Enter the weight of the Critical Element – at least 15% for each related to the importance of the Critical Element to the position.
11. List results that need to be accomplished in support of the Critical Element.
12. Enter the supplemental Performance Standards for the Critical Element at the “Level 3” level.



## 5-Level | CD-430 Form Instructions

### Filling out the CD-430 Performance Management Record (4 of 4)

#### PERFORMANCE PLAN CERTIFICATION

This plan is an accurate statement of the work that will be the basis for the employee's performance appraisal.

Signature/Title (Rating Official)	Date
Signature/Title (Approving Official)	Date
Employee Signature  <small>My signature acknowledges discussion and receipt of the plan, and does not necessarily signify agreement. It also certifies the following: a) I understand how my individual performance is linked to the organization's mission and goals and b) my supervisor has discussed this with me upon presentation of my performance plan.</small>	Date

13

13. The Performance Plan must be signed by the rating official and the approving official in the box on page 1 prior to discussing with the employee. The employee should sign the Performance Plan at the time of the discussion to indicate that the plan was received.
14. After all signatures have been collected, the Performance Plan is final.

### Making Changes to a Performance Plan

Changes can be made to a Performance Plan at any time during the appraisal period as long as they remain attainable by a competent employee in the position prior to the end of the appraisal period. Changes may occur during the year as new projects arise, priorities and resources change, or as work assignments change, for example. To make changes to a Performance Plan, prepare an Interim Rating by following the instructions above for *Rating Employee Performance*. Then, on a new CD-430 (retaining the old version for use at annual rating time), follow the instructions about for *Creating a New Performance Plan*.



## 5-Level | CD-430 Form Instructions

### Documenting a Progress Review

Below, you will find instructions for documenting a progress review on the CD-430.

2

### Progress Review

**Employee Name:**

Please check the appropriate box.

- Review indicates performance is at Level 3 or higher on all critical elements.
- Review indicates performance is at Level 3 on all critical elements except those critical elements where deficiencies are stated.

**NOTE:** If box 2 is checked, the supervisor should contact the servicing human resources office.

1. Locate the employee's CD-430 form with the documented and signed Performance Plan.
2. On the Progress Review page, check the box indicating whether or not the employee's performance is at Level 3 or higher on all Critical Elements. If the employee is not performing at a Level 3 for one or more Critical Elements, contact your servicing Human Resources office for additional information on next steps.
3. Enter a narrative assessment of the employee's performance on the Critical Elements during the first part of the appraisal period.
4. The Progress Review section of the form must be signed and dated by the rating official and employee in the box below the narrative assessment at the time of the discussion. Although only one Progress Review is required by the policy, additional Progress Reviews can be held and documented in the additional spaces.

4

	Employee's Initials	Date	Rating Official's Initials	Date
Progress Review				
Progress Review				
Progress Review				



## 5-Level | CD-430 Form Instructions

### Rating Employee Performance (Annual or Interim Rating) (1 of 2)

Below, you will find instructions for rating employee performance on the CD-430.

<b>Employee Name:</b>
<b>Final Element Rating and Justification</b>
<input type="checkbox"/> Level 5 <input type="checkbox"/> Level 4 <input type="checkbox"/> Level 3 <input type="checkbox"/> Level 2 <input type="checkbox"/> Level 1 <b>2</b>
<b>3</b>

1. Locate the employee's CD-430 form with the documented and signed Performance Plan. For each Critical Element, complete the corresponding *Final Element Rating and Justification* page by following the steps below.
2. Select the rating level for this Critical Element based on the assessment of actual performance compared to the specific and Generic Performance Standards.
3. Enter a narrative assessment of the employee's performance on the Critical Element as compared to the specific Performance Standards and the Generic Performance Standards at the end of the form.



## 5-Level | CD-430 Form Instructions

### Rating Employee Performance (Annual or Interim Rating) (2 of 2)

4	Performance Element	Individual Weights (Total must equal 100)	Element Rating (5, 4, 3, 2, 1)	Score	
				0	
				0	
				0	
				0	
				0	
6	Check One: <input type="checkbox"/> Summary Rating <input type="checkbox"/> Interim Rating	Reset Weights, Rating, and Score	TOTAL SCORE	5 0	
<b>PERFORMANCE RATING</b>					
7	<input type="checkbox"/> Level 5 (470 – 500)	<input type="checkbox"/> Level 4 (380 – 469)	<input type="checkbox"/> Level 3 (290 – 379)	<input type="checkbox"/> Level 2 (200 – 289)	<input type="checkbox"/> Level 1 (100 – 199)

- After completing the individual Critical Element ratings pages for each Critical Element, flip to the Performance Summary Rating page. Enter each Critical Element title, weight, and Element Rating.
- The form will automatically calculate the employee's score based on the weight and rating of each Critical Element.
- Indicate whether the rating is an annual Summary Rating or an Interim Rating (used when an employee has completed 120 days under an approved Performance Plan, but changes to a new position prior to the end of the appraisal period).
- Select rating level based on the calculated score in TOTAL SCORE box.
- The Summary Rating must be signed by the rating official and the approving official in the box prior to discussing with the employee. The employee should sign the Summary Rating at the time of the discussion to indicate that the plan was received and should indicate whether the employee's comments are attached.
- If performance-based recognition is granted (will vary based on annual budget information and agency policy), the rating official and approving official will sign the form under Performance Recognition prior to discussing the rating with the employee.





## 5-Level | Recognizing Excellent Performance

When employees are recognized for their performance, they understand what achievements and behaviors are desired by the organization and they feel motivated to work toward organizational goals and priorities. Employees are willing to put forth that extra effort to get the job done because they know their efforts are valued.

### So How Should Excellent Performance be Recognized?

It is important to note that the term recognition refers to more than just monetary awards. Recognition means any of the ways in which an employee receives a positive consequence for good performance and can include a range of activities such as a simple “thank you,” a public ceremony, an annual bonus, or a salary increase.

Certainly employees like to receive monetary bonuses, but in terms of motivating long-term performance, focusing on nonmonetary recognition is an effective tool.

### Performance is most effectively recognized when it:

#### ❑ *Specifically describes the achievement or behavior*

When the employee has worked hard on an achievement and the supervisor recognizes it specifically (rather than just a general “great work!”), the employee knows exactly what he or she is being recognized for, feels that his or her work was valued and is likely to repeat the performance.

#### ❑ *Links to organizational objectives or goals*

Recognition that reinforces organizational goals and objectives encourages employees to work toward the organization’s priorities. Rewarding actions and behaviors that do not further the organization’s goals will be confusing to employees and will reinforce the wrong actions and priorities.

#### ❑ *Is granted as soon as possible following the achievement or behavior*

Supervisors should strive to recognize the desired action or behavior as soon as possible after it occurs when it is still fresh in the employee’s memory.

#### ❑ *Is personal and tailored to the individual*

Based on their personalities and life situations, employees may be more or less motivated by different types of recognition. It is important to know your employee and understand what might best motivate his or her performance.



## 5-Level | Having Difficult Conversations

**Remember**, when having a difficult conversation with an employee:



- Reiterate your expectations
- Discuss the employee's performance standards
- List the critical element(s) that the employee is not performing up to standard
- Identify any obstacles keeping the employee from being fully successful. Offer solutions and provide assistance
- Explain what the employee must do to bring his/her performance to an acceptable level
- Discuss the plan to improve and ensure the employee fully understands. Collaborate on a solution.

**TIP:** Most performance problems can be resolved through effective communication between supervisors and their employees. This provides you the opportunity to review and clarify expectations and discuss performance problems.



## 5-Level | Having Difficult Conversations

### Employee Behavior

### Supervisor Suggestions



*Disagrees with everything Supervisor is saying*

- Prior preparation is important
- Role plays with peers and ER staff may help
- Bring documentation – stick to facts and evidence
- Start conversation with a positive statement (complement the employee, thank employee for his time)
- Use positive/constructive rather than accusatory tone
- Creating an engaging/collaborative ambience helps
- Option to regroup after a short break
- Don't respond angrily, stay calm, don't interrupt
- Maintain an objective emotional distance
- Give ample opportunity for employee to state his case
- Acknowledge human emotions, express empathy
- Try to find a common ground, however "slim" it is
- Steer conversation around future next steps
- Offer assistance and support



*Displays overly emotional behavior*

- Bring documentation – stick to facts and evidence
- Start conversation with a positive statement (complement the employee, thank employee for his time)
- Use positive/constructive rather than accusatory tone
- Creating an engaging/collaborative ambience helps
- Option to regroup after a short break
- Avoid important dates if possible
- Inform employee about EAP services if needed
- Don't respond angrily, stay calm, don't interrupt
- Maintain an objective emotional distance
- Give ample opportunity for employee to state his case
- Acknowledge human emotions, express empathy
- Try to find a common ground, however "slim" it is
- Steer conversation around future next steps
- Offer assistance and support



*Employee has no reaction*

- Continue conversation as planned
- Bring documentation – stick to facts and evidence
- Creating an engaging/collaborative ambience helps
- Ask employee regarding his/her reaction, probe further
- Don't respond angrily, stay calm, don't interrupt
- Maintain an objective emotional distance
- Give ample opportunity for employee to state his case
- Acknowledge human emotions, express empathy
- Try to find a common ground, however "slim" it is
- Steer conversation around future next steps
- Offer assistance and support

**REMINDER: If an employee is unwell, reschedule the conversation**



# Post-Annual Performance Review



## Quality Step Increases

A Quality Step Increase (QSI) is a faster-than-normal Within-Grade Increase (WGI) used to recognize extraordinary performance. Employees must have received a Level 5 rating on the most recent appraisal period in order to be eligible for a QSI. However, additional eligibility criteria and evaluative factors apply.



### **Eligibility**

Employees are eligible for (but not entitled to) a QSI if the following conditions are met:

- If covered by the Five-Level System, the employee must have received a Level 5 rating on their most recent annual appraisal.
- If covered by the Two-Level System, the employee must have a Performance Plan, Progress Review, and annual appraisal from the most recent cycle citing specific examples of exceeded expectations in all Critical Elements.
- The employee must:
  - Have not received a QSI within the 52 consecutive calendar weeks preceding the effective date of the increase;
  - Not be paid at the top step of his or her grade;
  - Not be in the process of being promoted within 60 days after the effective date of the increase;
  - Have held the same grade and type of position (or similar position) in a pay status for at least six months before the end of the appraisal cycle;
  - Be expected to continue at the same high level of performance in the same grade and type of position for at least 60 days after the effective date of the increase; and
  - Not have been on detail (unless to the same grade and type of position) or temporarily promoted to another position during the last six months of the appraisal cycle.



### **Evaluative Factors**

The QSI awards performance that consistently exceeds the standards to such a degree that there is rarely room for improvement. The impact of the employee's work must be of such significance that:

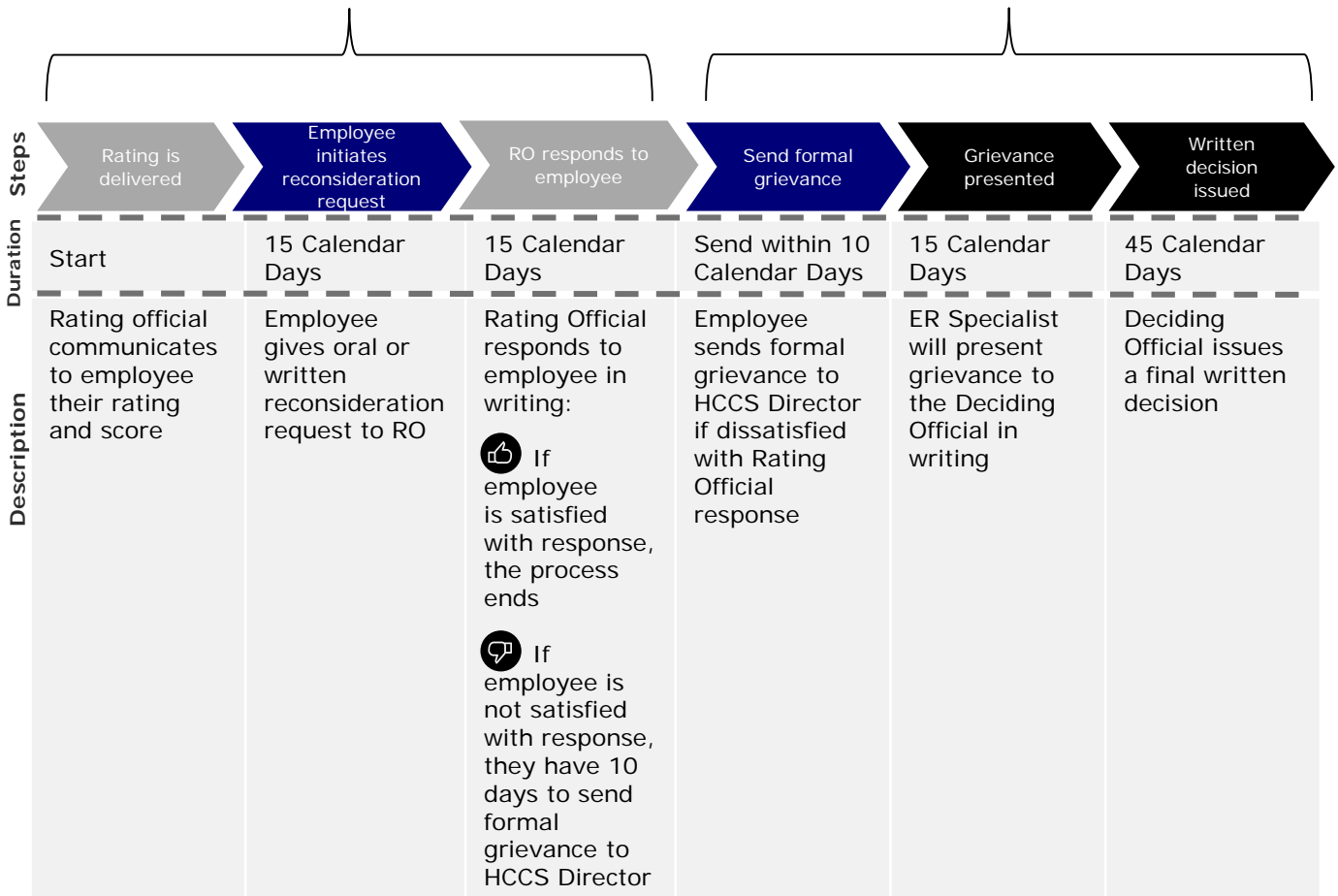
- Organizational objectives were accomplished that otherwise would not have been;
- Accuracy and thoroughness of the employee's work are exceptionally reliable;
- Application of technical knowledge and skills goes beyond that expected for the position;
- Employee significantly improves the work processes for which he/she is responsible;
- Work is planned so that it follows the most logical sequence;
- Contingency plans have been developed to handle potential issues and changes, and programs are quickly adapted;
- Strengths in planning and adaptability result in early or timely completion of work under all but the most extraordinary circumstances, resulting in cost savings to the government;
- Interpersonal relationships are handled with exceptional skill, anticipating causes of conflict and actively promoting cooperation and teamwork with clients, coworkers, and supervisors; and
- Oral and written expression are exceptionally clear and effective. Complicated or controversial subjects are presented or explained effectively to a variety of audiences so that desired outcomes are achieved.



## 5-Level | Grievance System Process

**Step 1:** Request for Reconsideration Performance Management Handbook Chapter 9 (click [here](#))

**Step 2:** Formal Grievance DAO 202-771 (click [here](#))\*



\* DAO 202-771 includes detailed requirements for submission of a formal grievance.

Bargaining unit employees must follow the procedures contained in the applicable negotiated grievance procedure

### KEY

Rating Official (RO) / Pay Pool Manager (PPM) Action Needed

Employee Action Needed

HCCS Action Needed



# Additional Resources



## Performance Management and Employee Relations POCs

**Questions on Performance Management?** Rating Officials may contact Carol Davison ([CDavison@doc.gov](mailto:CDavison@doc.gov)), HCCS's Performance Management Specialist.

**Questions on performance management deficiencies or grievance procedures?** Contact your designated Employee Relations Specialist!



Bureau/Office	Specialist	Contact Information
Performance Management	Carol Davison	<a href="mailto:CDavison@doc.gov">CDavison@doc.gov</a> 202-282-2537
BIS/MBDA/EDA	Leanne Southland	<a href="mailto:LSouthland@doc.gov">LSouthland@doc.gov</a> 202-482-3644
NTIA/ITA HQ	Richard Costello	<a href="mailto:RCostello@doc.gov">RCostello@doc.gov</a> 202-482-2191
OAM/OPOG/OFEQ ITA Field	Thomasina Williams	<a href="mailto:Twilliams4@doc.gov">Twilliams4@doc.gov</a> 202-482-4720
All other OS Offices	Kelly Spence	<a href="mailto:KSpence@doc.gov">KSpence@doc.gov</a> 202-482-8015





## 5-Level | Performance Management Key Terms

Performance management is a process which:

- 1) Integrates systems for appraising, rewarding, and connecting individual employee personnel with organizational planning and management systems; and
- (2) Results in increased productivity for individuals and organizations

Key Term	Description
<b>Performance Pay Increase</b>	An adjustment to base pay tied to the employee's rating, performance score, and career path and interval.
<b>Performance Plan</b>	The document developed at the beginning of the appraisal period which defines the critical elements and performance standards against which an employee's performance is evaluated.
<b>Performance Review Meeting</b>	The first of two required appraisal meetings between a rating official and employee. The purpose of this meeting is to discuss the employee's accomplishments and give the employee an opportunity to present an assessment of the results achieved against the critical elements and standards established in the approved performance plan.
<b>Progress Review</b>	A formal meeting between the Rating Official and employee at the midpoint of the appraisal cycle at which the employee's progress toward meeting the objectives in his or her performance plan is discussed. If necessary, changes to the plan are discussed at this meeting, and the supervisor makes any necessary changes and obtains approval from the Pay Pool Manager or, if appropriate, the reviewing official. Any performance deficiencies the Rating Official has noted are also discussed at this meeting along with recommendations for improvement.
<b>Rating</b>	The written record of the appraisal of each critical element and the assignment of a rating level (Eligible or Unsatisfactory).
<b>Rating Official</b>	The person responsible for developing the Performance Plan with employee involvement, establishing performance standards for each element, appraising performance.
<b>Major Activity</b>	A task, duty, or project that needs to be accomplished in support of a Critical Element.



## 5-Level | Performance Management Key Terms, continued

Key Term	Description
<b>Model Rating</b>	The modal rating is the most frequently assigned rating in the pay pool.
<b>Performance Management Record</b>	5-Level Performance Management Record, CD-430, which documents an employee's Performance Plan, progress review(s), and appraisal.
<b>Objective</b>	A brief statement that defines what a Critical Element is intended to accomplish.
<b>Payout</b>	Term used to describe the decision made regarding performance pay increases.
<b>Pay Pool</b>	The organizational level in which employees in similar career paths (i.e., ZP, ZA, ZT, and ZS) are combined for performance decisions including ratings, scores, pay increases, bonuses, and additional Reduction-in-Force (RIF) service retention credit. If a career path in an organization contains only one employee, this employee will constitute his or her own pay pool. If insufficient funds exist in the pay pool, funds may be transferred from other pay pools according to existing procedures.
<b>Pay Pool Manager</b>	The manager who controls the pay pool for his or her organization and who is responsible for rendering the final decisions on ratings, scores, performance pay increases, and bonuses.
<b>Performance Bonus</b>	A one-time cash award based on the performance cycle, which does not affect base pay.
<b>Performance Improvement Plan</b>	A plan given to an employee for the purpose of identifying performance deficiencies and how to correct them to attain and sustain performance at the Eligible level.



# HCCS Useful Links

### Awards

- [Honor Awards](#)
- [Commerce Alternative Personnel System \(Formerly Demo Project\)](#)
- [Performance Management Recognition Handbook \(General Workforce\)](#)
- [Contractors and Awards](#)
- [Guidelines for SES Special Act Award Nominations](#)

### Performance Management: GS, FWS & Wage Marine

- [Performance Management System Handbook](#)
- [DAO 202-430, Performance Management System](#)
- [Performance Management System Definitions](#)
- [Performance Management System Fact Sheet](#)
- [Performance Management Quick Reference Guide](#)
- **Other Performance Management Resources**
- [Commerce Alternative Personnel System \(Formerly Demo Project\) Operating Manual](#)
- [Form CD-430 - Performance Management Record](#)
- [5-Level Performance Management System \(Broadcast Email\)](#)
- [Department's Briefing Video](#)
- [Commerce Strategic Plan](#)

