

Service First



Performance Appraisal Comparison (10/04/2012)

	Dept. of Interior Agencies (FSW, NPS, BLM)	Forest Service
Reference/ Authorities	5 CFR 430 & 432 370 DM 430 (Departmental Manual) Note: check Labor Contract, if any, for additional requirements.	5 CFR 430 & 432 Forest Service Handbook FSH 6109.13, Chapter 10 and Master Agreement
Appraisal Cycle/ Rating Period	October 1 - September 30	October 1 - September 30
Performance Levels	All Employees, 5-level rating system: Exceptional, Superior, Fully Successful, Minimally Successful, Unsatisfactory.	5 levels: Outstanding, Excellent, Fully Successful, Marginal & Unacceptable.
Timeframes: Performance Plan Required by...	Established and put in place within 60 days of the beginning of the appraisal period, employee's entrance on duty, the assignment of an employee to a detail or temporary promotion scheduled to exceed 120 days, the assignment of an employee to a new position, or their assignment to a new or a different supervisory position.	Must be put on a plan within 30 days following beginning of rating period, for details and temporary promotions expected to exceed 90 days, assignment to a new position, or a change in supervisor.
Progress Reviews/Mid- year Reviews Required End of year Rating	All employees should receive at least one mid-year review approximately half way through the performance year. The mid-year review must be conducted at least 90 days before the end of the performance year.	At least 1 formal progress review near midpoint of appraisal period. Annual Rating within 30 days following the end of rating period.
Critical Elements (FS)/ Critical Results (BLM)	Identify NTE 5 mission-based critical elements with performance standards. No non-critical elements.	Must utilize only generic elements. Non- supervisors: 2 generic critical elements (Mission Results and Managing Work Assignments) and 1 non-critical element (Teamwork and Partnerships). Supervisors: 4 critical elements (Mission Results, Leadership/ Management, Civil Rights and Safety) and 1 non-critical element (Teamwork and Partnerships).

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Standards	See block on Critical Elements above.	Generic performance standards for each element. Generic standards are clarified through development of job-specific expectations and measures.
Form	DI-3100 (October 2012): Employee Performance Appraisal Plan (EPAP) DI-3100S (October 2012) Supv EPAP. •DI-451 Award Form •DI-2011(AD)Revised Jan 2011(SSES Assistant Director Performance Appraisal Plan) •DI-2011 (RD) Revised Jan 2011(SSES Regional Director Performance Appraisal Plan)	AD-435, Performance Appraisal; AD-435A, Performance Plan, Progress Review and Appraisal Worksheet (Element 1); AD-435B, Performance Plan, Progress Review and Appraisal Worksheet (Continuation Sheet) (Elements 2-5).
Rating Official	First Level Supervisor	Typically First Level Supervisor
Reviewing Official	Second Level Supervisor only has to review/sign for exceptional, minimally successful and unsatisfactory.	Typically Second Level Supervisor. Must review/sign on all plans and ratings, prior to presenting to employee.
Delegations of Authority	Issue Rating: 1st level supervisor Deny WGI: 1st level supervisor Impose PIP: 1st level supervisor Propose Adverse Action: Varies by agency and location. Decide Adverse Action: Varies by agency and location.	Issue Rating: 1st level supervisor Deny WGI: Supervisor* Impose PIP: Supervisor* Propose Adverse Action: Manager/Supervisor** Decide Adverse Action: Line Officers/Directors** *With Review by HR/Employee Relations **Must consult with HR/Employee relations and receive written decision options.
Reconsideration of Rating/Challenges to Rating of Record	Check Union contract, if any, for determination of appeal process. Non BU or not covered in Union Contract: Employees may request reconsideration by: 1) Informal process within 7 calendar days of rating, then 2) Formal process employee sends written request to Servicing Human Resources Office (SHRO) within 7 days of receipt of decision at informal stage. Reviewing Official in BLM is generally one level higher than the Reviewing Official. This is a final decision with no further review.	Uses grievance system; employee's written statement becomes part of rating at employee request.