

UNITED STATES DEPARTMENT OF AGRICULTURE
FOOD SAFETY AND INSPECTION SERVICE
WASHINGTON, DC

FSIS NOTICE

62-17

11/13/17

END OF THE YEAR PERFORMANCE MANAGEMENT INSTRUCTIONS

I. PURPOSE

This notice cancels FSIS Notice 53-17 and reissues the contents to clarify that Rating Officials can digitally or physically sign an employee's performance plan or appraisals. This notice provides instructions to all FSIS Rating Officials for completing their Fiscal Year (FY) 2017 Performance Ratings of Record, Mid-year Reviews, and Interim Ratings and to establish FY 2018 Performance Plans for their subordinate employees. [Departmental Regulation \(DR\) 4040-430, Performance Management](#) sets forth the policies for the FSIS Performance Management System.

II. PERFORMANCE MANAGEMENT REQUIREMENTS

A. **Rating of Record:** The formal evaluation and summary rating of an employee's performance as compared to the elements and standards for performance over the entire appraisal period. The following applies:

1. The official appraisal period is October 1 through September 30;
2. Rating of Record is to be completed at the end of the appraisal period and provided to the employee by October 30 and uploaded in the Performance Rating Tool (PRT);
3. The minimum rating period is 90 non consecutive days on a performance plan within the current appraisal period; and
4. The minimum rating period does not have to be served under the same Rating Official or Reviewing Official.

B. **Interim Rating:** A written appraisal of an employee's performance conducted **before the end** of the appraisal period. The following applies to interim ratings:

1. Supervisors are required to prepare interim ratings for the following scenarios:
 - a. Permanent changes for the employee, including reassignment, promotion, transfer or resignation, if the employee served 90 or more days on a performance plan in the former position;
 - b. A detail or temporary promotion of 90 or more days; or
 - c. Permanent or temporary changes in supervisors, including details of more than 90 days, reassignments, retirements and resignations.

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2. Is to be based on expectations formally communicated in a performance plan; and
3. Is to be provided to the employee within 15 days of position change and to the Rating Official of record for consideration in assigning a rating of record.

C. Advisory Assessment: An informal, unofficial written record of an employee's performance while on assignment to another supervisor for a period of fewer than 90 days. The following applies for advisory assessments:

1. Is required for situations such as, promotion, and detail or temporary promotion of fewer than 90 days;
2. Is to be based on clearly communicated and documented expectations, which serve as an addendum to the employee's formal plan; and
3. Is to be provided to the employee within 15 days of position change and to the Rating Official of record for consideration in assigning an interim rating or a rating of record.

III. INABILITY TO RATE AN EMPLOYEE

A. When an employee is on standards for less than 90 non-consecutive days at the end of the appraisal period (i.e., September 30), the employee's appraisal period can be extended up to November 14 to meet the 90 day requirement. If an employee's standards are set after August 16, the employee's appraisal period will extend to the end of the next appraisal period.

B. Once the conditions necessary to complete a Rating of Record have been met, a Rating of Record is to be prepared as soon as is practicable but not more than 15 days after the end of the extended appraisal period. The Rating of Record for the extended appraisal period is to be uploaded in the PRT no later than November 30.

IV. FINAL RATING OF RECORD FOR EMPLOYEES ON A PERFORMANCE IMPROVEMENT PLAN

Rating Officials are required to issue a final Rating of Record for any employee who is currently on a Performance Improvement Plan (PIP). Employees can be placed on a PIP at any point during the appraisal period up to and including September 30th. Should an employee be placed on a PIP with a scheduled duration exceeding October 30th, the employee will be issued a summary rating of "unacceptable" for the appraisal period.

V. DOCUMENTATION

Rating Officials and Reviewing Officials are responsible for ensuring that the performance management documentation is accurately and properly recorded in the PRT. After the plan or appraisal has been approved by the Reviewing Official in the PRT, The Rating Official is required to:

1. Present a copy of the performance plan or performance appraisals (either electronic or hard copy);
2. Meet with the employee to discuss the plan or appraisal and obtain the employee's digital or physical signature;
3. Digitally or physically sign the employee's performance plan or appraisal;
4. Obtain the Reviewing Official digital or physical signature on the plan or appraisal or notate on the document "Approved in the PRT by" {Reviewing Official's Name} with the date;

5. Complete the performance plan or appraisal Certification Sections in the PRT by including the names and dates on which the performance plan or appraisal was physically or digitally signed by the Employee and Rating Official in accordance with DR 4040-430, Performance Management, Section 12, b. Digital Signatures. The Reviewing Official can either physically sign, digitally sign, or notate (as described in step 4); and
6. Upload the entire signed appraisal (AD-435) form into the PRT. This includes the elements, the narratives, and complete signatures, to include initials from the mid-year review as mandated by [5 CFR 293.402](#) and [5 CFR 430.203](#).

VI. ESTABLISHING FY 2018 PERFORMANCE PLANS

All Rating Officials are to establish their subordinates' performance plans in the PRT and communicate expectations for the upcoming FY 2018 performance appraisal cycle. Performance plans are to be completed and signed by October 30, 2017 and uploaded in the PRT.

VII. SCENARIOS OF COMPLETING INTERIM RATINGS AND FINAL RATING OF RECORDS

A. A Consumer Safety Inspector (CSI) served under the same performance plan from October 1, 2016 to September 30, 2017, but under acting supervisors throughout the year. Front Line Supervisory (FLS) #1 supervised the CSI from October 1 – November 30 (2 months); FLS #2 supervised the CSI from December 1 – August 31 (9 months); and FLS #3 supervised the CSI from September 1-30 (1 month). FLS #1 is to prepare an advisory assessment in the PRT. FLS #2 is to prepare an interim rating in the PRT. Since FLS #3 is the supervisor of record on September 30th, FLS #3 serves as the rating official for the entire appraisal period and is to complete the rating of record. FLS #3 should incorporate the advisory rating from FLS #1, the interim rating from FLS #2, and accomplishments from September 1-30 to create the rating of record in the PRT. The Rating Official should consider the nature of assignments and the length of time covered by the interim ratings or advisory assessments to determine the final rating.

B. A PHV served under the same performance plan and FLS in the Atlanta District from October 1, 2016 – August 1, 2017 (10 months) prior to being transferred to the Springdale District. The FLS #1 is to prepare an interim rating in the PRT for the 10 month appraisal period. The FLS #2, in the Springdale District, inherited the PHV performance plan and should communicate expectation with the employee covering the appraisal period from August 2, 2017 – September 30, 2017(2 months). FLS #2 serves as the rating official for the entire appraisal period and is to complete the rating of record. FLS #2 will incorporate the interim rating from FLS #1 and accomplishments from August 2nd, 2017 – September 30, 2017 to create the rating of record in the PRT. The Rating Official should consider the nature of assignments and the length of time covered by the interim ratings or advisory assessments to determine the final rating.

C. A GS-7 Food Inspector (FI) was placed on a performance plan on October 1, 2016. The employee was promoted to a CSI on August 20, 2017. The Rating Official who served as the supervisor for the GS-7 FI is to provide an interim rating in the PRT for the previous position at the lower level ending the day before the promotion (i.e., promoted on 08/20/2017, end date of interim rating is 08/19/2017). Since there was a change of position and standards, and the supervisor does not have enough time to extend the FY17 rating cycle (the last day to beginning an extended rating cycle is August 16th), the employee's interim rating from the previous rating official would become the rating of record. The gaining Rating Official should start the new performance plan for the new CSI position beginning 08/20/2017 through 09/30/2018 for Fiscal Year 2018.

D. A GS-7 Food Inspector (FI) was placed on a performance plan on October 1, 2016. The employee was promoted to a CSI on June 30, 2017. FLS #1, who served as the supervisor for the GS-7 FI, is to provide an interim rating in the PRT for the previous position at the lower level ending the day before the promotion (i.e., promoted on 06/30/2017, end date of interim rating is 06/29/2017). FLS #2 provides the

employee with the CSI performance plan to cover June 30, 2017 through September 30, 2017. Since FLS #2 is the supervisor of record on September 30th, FLS #2 serves as the rating official for the entire appraisal period and is to complete the rating of record. FLS #2 should incorporate the interim rating from FLS #1 and accomplishments from June 30, 2017 – September 30, 2017 to create the rating of record in the PRT. The Rating Official should consider the nature of assignments and the length of time covered by the interim ratings or advisory assessments to determine the final rating.

E. The following two scenarios cover employees who left the agency prior to October 30th:

1. An employee FI was hired and placed on a performance plan on June 20, 2017. Four months later, the employee was offered another position in a different Agency. The employee's official last day on the job was October 15, 2017. Given the employee was on standards for more than 90 days, the Rating Official is to provide the employee with a final rating of record by October 15, 2017. The supervisor should check the "not eligible/NE" box in the PRT under the "Planning Status" menu. The "NE" box is for employees who are not eligible for a performance plan or appraisal. Upon selecting the NE box, the supervisor will need to:
 - a. Select the "Reason" option and "Employee is not eligible per hiring parameters—explain;"
 - b. In the "Explanation" – Ex: "Employee's last day 10/4/17, no longer with the Agency;" and
 - c. Select "Update"
2. An employee was hired and placed on a performance plan on August 1st, 2017. Two months later, the employee was offered another position in a different Agency. The employee's official last day on the job was October 1st, 2017. Given the employee was under a performance plan for less than 90 days, no rating can be given to the employee. The supervisor should check the "not eligible/NE" box in the PRT under the "Appraisal Status" menu. The "NE" box is for employees who are not eligible for a performance plan or appraisal. Upon selecting the NE box, the supervisor will need to:
 - a. Select the "Reason" option and "Employee is not eligible per hiring parameters—explain;"
 - b. In the "Explanation" – Ex: "Served less than 90 days under standards;" and
 - c. Select "Update"

VIII. RESOURCES

A variety of performance management resources are available on the intranet, including useful step-by-step PowerPoint slides, desktop guides and other pertinent information for employees, rating officials and PRT data administrators. The information can be found on the [PerformanceManagementResources](#) page on *Inside FSIS*. (level 2 e-authorization is needed to access this site).

IX. QUESTIONS

Refer questions regarding this notice to the Office of Human Resources (OHR) Performance Management and Recruitment Branch at PerformanceManagement@fsis.usda.gov.



Assistant Administrator
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