

DEPARTMENT OF HOMELAND SECURITY
U.S. Coast Guard
PERFORMANCE PLAN AND EVALUATION

Privacy Act Statement: Authority: 49 U.S.C. § 1144(n). Principal Purpose(s): This information will be used to document your performance appraisal and to certify that the rating official has discussed your performance appraisal with you. Routine Use(s): This information may be shared in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding, or for routine use(s) identified in the Office of Personnel Management's system of records, OPM/GOVT-2 Employee Performance File System Records. Disclosure: Voluntary.

PURPOSE: To document job expectations and assess performance. Ratings may impact a variety of personnel actions concerning promotions, rewards, pay and retention.

Part I. IDENTIFYING INFORMATION

All identifying information is required to include Social Security Number

Employee Name	Social Security Number	Appraisal Period	
		Start	End
Title, Series, and Grade	Organization Unit and Location		

Part II. PERFORMANCE PLAN

Instructions to Supervisor (Rating Official): Develop and discuss performance plan with employee. Identify a minimum of 4 applicable Core Competencies by checking the boxes provided in Part IIa. Forward the completed Performance Plan to the second level supervisor (Approving Official) for approval and provide employee with a copy of the Plan. Maintain original to document progress reviews and final ratings. A Work Plan, Part IIb, is optional, but may be included to clarify performance standards and/or identify tasks and projects to be completed during the rating cycle.

Rating Official Signature	Date
Approving Official Signature	Date
Employee Signature (Certifies that Performance Plan has been discussed)	Date of Discussion

Part III. PROGRESS REVIEWS

Instructions to Supervisor (Rating Official): A minimum of two progress reviews are required during the full-year rating cycle; one review is required if the appraisal period is 91-180 days. The purpose of these reviews is to provide two-way communication with employee concerning his/her performance measured against the standards provided in selected Core Competencies, and to review the performance plan and indicate changes if required.

Part IV. INTERIM RATING

Instructions to Supervisor (Rating Official): A written evaluation of an employee's performance prepared whenever an employee who has been on an approved performance plan for at least 90 days experiences one of the following: (1) moves to a new position inside or outside USCG (2) completes a detail or temporary promotion (3) has worked for at least 90 days under the supervision of a rating official who leaves the position. The Interim Rating evaluates performance against each Core Competency and includes a complete narrative statement of performance, but does not assign an overall rating in Part VI below.

Rating Official Signature	Date
Employee Signature (I have reviewed the completed document and it has been discussed with me. This does not necessarily mean that I agree with the information in it or that I forfeit any rights of review.)	Date of Discussion

Part V. EMPLOYEE INPUT FOR PERFORMANCE RATING (Optional)

Employees may use the space provided to list their accomplishments during the rating cycle as input to their final rating.

Part VI. ANNUAL RATING

Instructions to Supervisor (Rating Official): Summarize outcome and results achieved by the employee in Part VI and check box indicating final rating (Exceeds, Meets, or Fails to Meet). Do not complete this section for an Interim Rating.

Narrative in Part VI.

- Exceeds** Not more than one core competency rated Meets and none rated Fails to Meet.
- Meets** Two or more core competencies rated Meets and none rated Fails to Meet.
- Fails to Meet** One core competency rated as Fails to Meet results in a final rating of Fails to Meet.

Rating Official Signature	Date
Approving Official Signature	Date
Employee Signature (I have reviewed the completed document and my final rating has been discussed with me. This does not necessarily mean that I agree with the information in it or that I forfeit any rights of review.)	Date of Discussion

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Part IIa. CORE COMPETENCIES	
CORE COMPETENCIES	PERFORMANCE STANDARDS
<ol style="list-style-type: none"> 1. Check applicable core competencies. 2. Minimum of four core competencies is required. 3. At end of rating cycle, check applicable rating as measured against the performance standard. 	<p>Performance Standards are defined at the "Meets" level.</p>
<p>Mandatory – All Employee/Supervisors</p> <p style="text-align: center;">Applied Job Knowledge and Skills</p> <p>Rating</p> <p style="padding-left: 40px;">Exceeds</p> <p style="padding-left: 40px;">Meets</p> <p style="padding-left: 40px;">Fails to Meet</p>	<ul style="list-style-type: none"> • Maintains knowledge in current procedures, policies, and/or practices. • Demonstrates quality, thoroughness and accountability in work activities. • Uses sound judgment and rationale in making decisions or problem solving. • Communicates effectively to accomplish work assignments.
<p>Mandatory – All GS and WG Supervisors</p> <p style="text-align: center;">Supervisory Leadership</p> <p>Rating</p> <p style="padding-left: 40px;">Exceeds</p> <p style="padding-left: 40px;">Meets</p> <p style="padding-left: 40px;">Fails to Meet</p>	<ul style="list-style-type: none"> • Creates a positive work environment by encouraging mutual respect, communication, innovation learning and supporting EEO and diversity. Manages conflict constructively. • Supports organizational goals by effectively planning, evaluating, and continuously improving services and products. • Effectively administers performance management responsibilities including timely completion of performance plans and ratings, provision of meaningful feedback and coaching, and taking appropriate steps to deal with performance and conduct issues. • Effectively uses a variety of rewards and recognition (monetary, honorary, and creative recognition) throughout the year. • Supports employee development by providing appropriate guidance, coaching and feedback. Assigns work and/or optimize employees' skills and abilities, and promotes opportunities for career growth. • Maintains appropriate balance between concerns for people and concerns for mission.
<p>Optional – Employee/Supervisors</p> <p style="text-align: center;">Teamwork</p> <p>Rating</p> <p style="padding-left: 40px;">Exceeds</p> <p style="padding-left: 40px;">Meets</p> <p style="padding-left: 40px;">Fails to Meet</p>	<p>A. Team Leader (includes GS and WG Team Leaders)</p> <ul style="list-style-type: none"> • Skillfully organizes and facilitates teams to accomplish mutual goals. • Creates an environment of open communication, mutual respect, innovation and shared vision. • Effectively coordinates work and/or projects, keeping team members informed and focused on organizational goals. • Actively involves team members in decisions and problem solving. • Effectively communicates information on performance, work status, changes, issues and results. <p>B. Team Player</p> <ul style="list-style-type: none"> • Uses effective interpersonal skills in working with others. • Interacts with others to collectively resolve problems, accomplish mutual goals, and fosters an atmosphere of trust. • Shares information and ideas to improve quality of services and products.

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Part Ila. CORE COMPETENCIES (CONTINUED)	
CORE COMPETENCIES	PERFORMANCE STANDARDS
Optional – Employees/Supervisors Customer Service Rating Exceeds Meets Fails to Meet	<ul style="list-style-type: none"> • Asks questions to clarify customer requirements. • Takes a variety of actions to meet customers' needs as required until needs are met. • Responds to customers with an appropriate level of urgency. • Builds confidence in customers that their needs are given the highest priority. • Uses feedback to assess customer satisfaction and improve products and services.
Optional – Employee/Supervisors Communication Rating Exceeds Meets Fails to Meet	<ul style="list-style-type: none"> • Communicates constructively and effectively with others. • Keeps supervisor (and others, if relevant) informed of work status and related issues. • Provides information and suggestions in a timely and effective manner.
Optional – Employee/Supervisors Quality of Work Rating Exceeds Meets Fails to Meet	<ul style="list-style-type: none"> • Delivers quality products and services. • Work is accurate, thorough, and complete. • Continuously improves products and services.
Optional – Employee/Supervisors Timeliness and Quantity of Work Rating Exceeds Meets Fails to Meet	<ul style="list-style-type: none"> • Plans and organizes work to ensure timeliness and productivity goals are met. • Successfully adapts to changing priorities or customer requirements.
Optional – Employee/Supervisors Safety Rating Exceeds Meets Fails to Meet	<ul style="list-style-type: none"> • Understands, supports and adheres to applicable work place safety requirements. • Reports safety violations promptly and appropriately.
Optional – Employee/Supervisors Funds Management Rating Exceeds Meets Fails to Meet	<ul style="list-style-type: none"> • Manages financial resources effectively to support program or policy implementation. • Assures organizational long and short term resource planning reflects changing needs and priorities.

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Part IIb. WORKPLAN (Optional)

Rating Official - Optional Form which can be used to clarify performance standards and/or identify tasks or projects to be completed during the rating cycle.

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Part III. PROGRESS REVIEWS

Two progress reviews and discussions are required during the full-year rating cycle; one review is required if the appraisal period is 91-180 days. The purpose of these reviews is to foster 2-way communication between supervisors and employees in discussing performance expectations and results.

First Discussion

Rating Official Signature

Employee Signature

Date of Discussion

Rating Official, key points made, if desired.

Employee comments, if desired.

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Part III. PROGRESS REVIEWS (Continued)

Second Discussion
Rating Official Signature

Employee Signature

Date of Discussion

Rating Official, key points made, if desired.

Employee comments, if desired.

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Part IV. INTERIM RATING COMMENTS

Rating Official – An interim rating evaluating performance against each core competency in the employee's performance plan and narrative statement is required. This should be completed on a copy of Part II of the Performance Plan. The interim rating should be completed by the losing supervisor and forwarded to the gaining supervisor for consideration in the end of the year rating of record, Part VI. No summary rating is assigned in Part VI.

Comments are limited to this space.

Part V. EMPLOYEE INPUT FOR FINAL RATING (Optional)

Accomplishments: Comments are optional, should be completed before final rating, and limited to this space.

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Part VI. FINAL RATING

Rating Official – Comments are required regardless of rating and are limited to this space. The comments need not discuss all applicable core competencies, but should highlight actual outcomes and results achieved.

NOMINATION FORM FOR A PERFORMANCE-RELATED AWARD
(CASH AWARD, TIME-OFF AWARD (TOA) IN LIEU OF PERFORMANCE CASH AWARD
OR
QUALITY STEP INCREASE (QSI))

Note: Attach this nomination to the rating of record upon which the nomination is based.

Justification. The award must be justified based on the attached performance evaluation. The performance cash award or TOA in lieu of performance cash award recognizes high levels of performance. A QSI recognizes sustained, high quality performance which significantly enhances mission accomplishment.

Eligibility.

- Performance Cash Award. To be eligible, the employee must have been rated either "Exceeds" or "Meets" for the appraisal period.
- Time Off Award in Lieu of Performance Cash Award. To be eligible, the employee must have been rated either "Exceeds" or "Meets" for the appraisal period. At the Performance Incentive Pay Official (PIPO) discretion, based on the quality and value of performance, a TOA award cannot exceed 40-hours for a full-time employee. A TOA award for a part-time employee is limited to the pro-rated basis of their work schedule, based on the quality and value of their performance. An employee must acknowledge their decision to elect a TOA in lieu of cash in writing. This decision is irrevocable.
- Quality Step Increase. The QSI may be granted only to GS/GM employees who meet the following conditions:
 - Currently at Step 9 or lower.
 - Rating of record is "Exceeds".
 - Have not received a QSI within the preceding 52 weeks.
 - An employee may receive a QSI or a performance award, but not both for the same rated performance.

Part I: Identifying Information

Employee Name: _____
Nominated for *(Choose One Only)*:
QSI: _____
Performance Cash Award: _____ Amount: _____
TOA in Lieu of Performance Cash Award: Number of Hours: _____
(TOA in Lieu of Performance Cash Award Acknowledgement signed by employee required)

Part II: Approvals

Nominated by: _____
(Name, Title, Signature & Date)

Note: Nominations may be made by the employee's immediate supervisor or a higher-level official, as determined by local procedures set by the PIPO.

___ **Reviewed and Endorsed** ___ **Not Endorsed by:** _____
(Name, Title, Signature & Date)

Note: This review may be made by the employee's second-level supervisor or a higher-level official, as determined by local procedures set by the PIPO.

___ Approved ___ Not Approved by: _____
(Name, Title, Signature & Date)

Note: All QSIs and performance awards require approval of the PIPO or his/her designee.

U.S. COAST GUARD
PERFORMANCE APPRAISAL FORM

This form shall be used for appropriated fund civilian employees in the General Schedule (GS/GM) and Wage Grade (WG) pay systems covered by the Excellence, Achievement, and Recognition System (EARS).

INSTRUCTIONS TO RATING OFFICIAL

1. Beginning of the Appraisal Rating Period.

- a. Develop and discuss performance plan with the employee. In Part IIa, identify a minimum of four Core Competencies (CC's) applicable to the employee, including any that are Mandatory, by checking the appropriate boxes.
- b. Clarify standards or specific tasks in Part IIb (Optional).
- c. Sign the performance appraisal form as the rating official and obtain the approving official's and employee's signature in the designated boxes in Part II.
- d. Provide a copy of the performance appraisal to the employee and retain the original for your records.
- e. In order to protect the privacy of the employee, keep the performance appraisal form in a secure place.

2. Progress Reviews.

- a. EARS requires two documented progress reviews to discuss performance to date and changes in the Performance Plan. Part III of the form must be used to document completion of the progress reviews. Changes to the Performance Plan should be documented and, comments, if any, may be stated in the space indicated for the rating official and employee in Part III.

3. Interim Rating.

- a. A written evaluation of an employee's performance is required by the losing supervisor (rating official), whenever an employee who has been on an approved performance plan for at least 90 days experiences one of the following: (1) moves to a new position inside or outside the USCG; (2) completes a detail or temporary promotion of 90 days or more; or (3) worked for at least 90 days under the supervision of a rating official who leaves the position.
- b. Evaluate performance against each CC in Part IIa of the employee's performance plan on a copy.
- c. In Part IV, summarize the employee's overall performance highlighting actual outcomes and results achieved.
- d. Part IV rating official and employee acknowledges Interim Ratings of Record.
- e. Rating official forwards to employee's supervisor of record for consideration when preparing a final Rating of Record.
- f. No summary rating is assigned in Part VI.
- g. If more than one supervisor has rated an employee during the appraisal period, the supervisor of record at the end of the rating period, no matter how long assigned as supervisor, shall provide a single, integrated rating of record for the employee, taking into account previous interim ratings.

4. The End of the Appraisal Rating Period.

- a. Provide the employee an opportunity to comment on accomplishments for final rating in Part V.
- b. In Part IIa, check the appropriate rating (Exceeds, Meets or Fails to Meet) as measured against the performance standard for each applicable CC.
- c. Summarize outcomes and results achieved by the employee in Part VI and check box indicating final rating (Exceeds, Meets or Fails to Meet) based on these criteria:
Exceeds - No more than one CC is rated as "Meets" and no CC is rated "Fails to Meet." This is superior, truly noteworthy performance, accomplished with little supervision. Performance at this level adds an unusual degree of value to the organization and significantly contributes to mission accomplishment.
Meets - Two or more CCs are rated "Meets" and none is rated "Fails to Meet." This is good, sound performance, accomplished with normal supervision. "Meets" encompasses a broad range of performance including at the upper end performance of high organizational value and commendable mission accomplishment.
Fails to Meet - One or more CC's is rated "Fails to Meet." The performance fails to meet the performance standard's criteria. Requires unusually close supervision or substantial corrections to work products.
- d. Approving official's concurrence must be obtained **prior to discussing the rating of record with the employee.**
- e. Sign the performance appraisal form as the rating official and forward to the approving official for signature in the designated boxes in Part VI.
- f. The approving official should approve the rating of record before the rating official discusses it with the employee. The original appraisal forms are maintained by the Office of Civilian Human Resources and a copy of the appraisal is provided to employee.