

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

FSIS NOTICE

44-18

8/21/18

END OF THE YEAR PERFORMANCE MANAGEMENT INSTRUCTIONS

I. PURPOSE

This notice provides instructions to all FSIS Rating Officials for completing their Fiscal Year (FY) 2018 performance ratings of record, mid-year reviews, and interim ratings 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. The rating of record is to be completed at the end of the appraisal period, provided to the employee by October 30, and uploaded into 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. Are required by supervisors 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.
2. Are to be based on expectations formally communicated in a performance plan; and

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

III. INABILITY TO RATE AN EMPLOYEE

A. When an employee has been on standards for less than 90 non-consecutive days at the end of the appraisal period (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 into 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 on a Performance Improvement Plan (PIP) at the end of the appraisal period. Employees can be placed on a PIP at any point during the appraisal period up to and including September 30. Should an employee be placed on a PIP with a scheduled duration later than October 30, 2018, the rating official is to issue the employee a summary rating of "unacceptable" for the appraisal period because the employee's performance is deemed as "does not meet" in a critical element.

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's 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, addendums to the plan, and complete signatures, to include initials from the mid-year review as mandated by [5 CFR 293.402](#) and [5 CFR 430.203](#).

VI. SCENARIOS FOR COMPLETING INTERIM RATINGS AND FINAL RATINGS OF RECORD

A. A Consumer Safety Inspector (CSI) served under the same performance plan from October 1, 2017 to September 30, 2018, but under different supervisors throughout the year. Frontline Supervisor (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 30, 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 Public Health Veterinarian served under the same performance plan and FLS in the Atlanta District from October 1, 2017 – August 1, 2018 (10 months) prior to being transferred to the Springdale District. FLS #1 is to prepare an interim rating in the PRT for the 10-month appraisal period. FLS #2 in the Springdale District, inherited the PHV performance plan and should communicate expectations with the employee covering the appraisal period from August 2, 2018 – September 30, 2018 (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 2 – September 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.

C. A GS-7 Food Inspector (FI) was placed on a performance plan on October 1, 2017. The employee was promoted to a CSI on June 30, 2018. 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 June 30, end date of interim rating is June 29). FLS #2 provides the employee with the CSI performance plan to cover June 30 - September 30. Since FLS #2 is the supervisor of record on September 30, FLS #2 serves as the Rating Official for the entire appraisal period and is to complete the rating of record. FLS #2 is to incorporate the interim rating from FLS #1 and accomplishments from June 30 – September 30 to create the rating of record in the PRT. The Rating Official is to consider the nature of assignments and the length of time covered by the interim ratings or advisory assessments to determine the final rating.

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

1. An FI was hired and placed on a performance plan on June 20, 2018. 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, 2018. Given the employee was on standards for more than 90 days, the Rating Official is to provide the final rating of record in the PRT by October 15.
2. An employee was hired and placed on a performance plan on August 1, 2018. Two months later, the employee was offered another position in a different Agency. The employee's official last day on the job was October 1. 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. Enter text in the “Explanation” field – Ex: “Served less than 90 days under standards;” and
- c. Select “Update”

VII. QUESTIONS

Refer questions regarding this notice to the Office of Human Resources, Human Resources Business Systems Division, Program Management Branch at PerformanceManagement@fsis.usda.gov.

A handwritten signature in black ink that reads "Rebecca J. Wagner". The signature is written in a cursive style.

Assistant Administrator
Office of Policy and Program Development