

**United States Department of the Interior
BUREAU OF LAND MANAGEMENT
National Human Resources Management Center
Denver Federal Center, Building 50
P.O. Box 25047
Denver, Colorado 80225-0047**

In Reply Refer To:
1400-430 (HR-220)L

October 8, 1999

EMS TRANSMISSION

Instruction Memorandum No. HR-2000-003

Expires: 09/30/00

To: BC, HR, NI, and RS Center Directors
NPIT Lead and WO Field BIA Liaison Officer

From: Acting Director, National Human Resources Management Center

Subject: FY 99 Employee Performance Plan and Results Report (EPPRR) and
FY 2000 Individual Training Plans

DD: 11/30/99

The performance appraisal cycle for FY 99 ended on September 30, 1999. All supervisors and managers are required to discuss summary ratings with subordinates and submit the ratings to this office no later than November 30, 1999. Procedures for completing the EPPRR and the EPPR form DI-2002, Employee Performance Plan and Results Report (EPPRR) are attached.

In addition, managers and supervisors should use this opportunity to discuss employee training needs, and to prepare Individual Training Plans (ITPs) with their employees. Details regarding this process are attached. Forms will be provided to Center Director's secretaries for further distribution.

Questions regarding the EPPRRs may be directed to Lenna Gerwing at (303) 236-6667.
Questions regarding ITPs should be directed to Jerry Jones at (303) 236-6690.

Please provide copies of this Instruction Memorandum to your supervisors and administrators.

Signed by:
Linda D. Sedbrook
Director, NHRMC

Authenticated by:
Darlene Robitaille
Secretary

2 Attachments

- 1 - Procedures/Forms for Fiscal Year 1999 Performance Ratings (4 pp)
- 2 - Establishing Fiscal Year 2000 Individual Training Plans (3 pp)

Distribution

RS-150A, BLM Library
NI-110, Reading File
HR-200, Reading File
HR-220

Please refer to the following procedures in completing the Performance Plan and Results Reports for Fiscal Year 1999 ending September 30, 1999.

1. Use only Department of Interior Form DI-2002, dated December 1997.
2. Review the established performance plan for each of your employees and any documentation or personal notes you may have kept during the rating period. If applicable, also refer to any written comments you may have received for your employees for specific assignments which may have been prepared by other supervisors.
3. Determine whether the critical results have been accomplished and evaluate how well the employee performed in all three areas of the performance indicators and incorporate that information into the overall rating for each critical result. Rate the employee as either “Achieved” or “Not Achieved” for each critical result.
4. In the event the employee did not have an opportunity to perform a critical result, no rating should be assigned, and the words “Not Rated” should be written on the appropriate line.
5. Assign a summary rating level of “Results Achieved” or “Results Not Achieved”. A summary rating of “Results Achieved” means the employee has met the performance expectations for each critical result. Narrative comments are not required for a “Results Achieved” rating, but may be included in the space provided on the form.

A summary rating of “Results Not Achieved” means the employee did not meet the performance expectations for one or more critical result(s), which requires written explanation specifically describing the performance deficiencies. **If a rating of “Results Not Achieved” is proposed, contact Lenna Gerwing at (303) 236-6667, as soon as possible for additional information and assistance prior to completing the draft rating of elements.**
6. Discuss the performance appraisal rating with the employee. After completion of the discussion, Part IV must be signed and dated. If a rating of “Results Achieved” is given a signature by the reviewing official is not necessary.
7. Send the entire group of completed performance plan reports for employees in your organization to the National Human Resources Management Center, Employee/Labor Relations and Employee Development (HR-220) no later than **November 30, 1999**.



**U.S. DEPARTMENT OF THE INTERIOR
EMPLOYEE PERFORMANCE PLAN AND RESULTS REPORT**

Employee's Name:	Rating Period:
Title/Series/Grade:	Bureau/Office:
Duty Location:	Social Security No.:

PART I. PERFORMANCE PLAN	
CRITICAL RESULTS (<i>List no more than five</i>)	RESULTS (Enter: <i>Achieved or Not Achieved</i>)
A.	
B.	
C.	
D.	
E.	

PERFORMANCE INDICATORS. Appraisals should fairly reflect the overall performance of an employee. Performance indicators identify those characteristics (such as quality, teamwork, customer service) that are important to successful performance in each critical result. In appraising an employee's performance, the rating official will carefully review the performance indicators in assessing whether a particular critical result has been achieved by the employee.

Generally, an employee will not be rated as "Results Not Achieved" in the critical result to which a particular performance indicator applies where there is only one failure in that performance indicator. It follows, of course, that a repetition of failures in a single performance indicator can be the basis for a "Results Not Achieved" rating for the critical result if, in the rating official's judgment, the critical result was not met overall. There may be situations where a single, particularly significant failure to maintain the level of performance expected in a particular performance indicator could warrant a determination that the employee will receive a "Results Not Achieved" for the applicable critical result. A significant failure could include, for example, harm to persons or property, a loss of a great amount of money or resources, or a breach of security.

Circle or underline the applicable critical result letter(s).

QUALITY

Apply to Critical Result(s):

Knowledge of Field or Profession: Maintains and demonstrates technical competence and/or expertise in areas of assigned responsibility.	All A B C D E
Accuracy and Thoroughness of Work: Plans, organizes, and executes work logically. Anticipates and analyzes problems clearly and determines appropriate solutions. Work is correct and complete.	All A B C D E
Soundness of Judgment and Decisions: Assesses tasks objectively and researches and documents assignments carefully. Weighs alternative courses of action, considering long and short term implications. Makes and executes timely decisions.	All A B C D E
Effectiveness of Written Documents: Written work is clear, relevant, concise, well organized, grammatically correct, and appropriate to audience.	All A B C D E
Effectiveness of Communications: Presentation meets objectives, is persuasive, tactful, and appropriate to audience. Demonstrates attention, courtesy, and respect for other points of view.	All A B C D E
Timeliness of Meeting Deadlines: Completes work in accordance with established deadlines.	All A B C D E
Effectiveness of Supervision: Directs and coordinates activities of unit, assuring deadlines are met. Coaches, counsels, develops, and utilizes staff effectively, demonstrating a commitment to the work force.	All A B C D E
Other (specify):	

TEAMWORK

Apply to Critical Result(s):

Participation: Willingly participates in group activities, performing in a thorough and complete fashion. Communicates regularly with team members. Seeks team consensus.	All A B C D E
Team Leadership: Provides encouragement, guidance, and direction to team members as needed. Adjusts style to fit situation.	All A B C D E
Cooperation: Supports team initiatives. Demonstrates respect for team members, accepts the views of others, and actively supports team decisions.	All A B C D E
Other (specify):	All A B C D E

CUSTOMER SERVICE

Apply Critical Result(s):

Quality of Service: Delivers high quality products and service to both external and internal customers. Initiates and responds to suggestion for improving service.	All A B C D E
Timeliness of Service: Delivers quality products and service, in accordance with time schedules agreed upon with customer.	All A B C D E
Courtesy: Treats external and internal customers with courtesy and respect. Customer satisfaction is high priority.	All A B C D E
Other (specify):	All A B C D E

<p>PART II. PROGRESS REVIEWS: <i>Date of review and initials of employee and Rating Official(R.O.) <u>must</u> also be provided for each review. A summary of comments is optional unless results are not being achieved.</i></p>	<p>Date: Emp. Initials: R.O. Initials:</p>
	<p>Date: Emp. Initials: R.O. Initials:</p>

PART III. SUMMARY RATING: (Enter: *Achieved or Not Achieved* on this line) **RESULTS**
Space is provided to summarize the basis for rating given. A "Results Not Achieved" rating requires explanation; if more space is needed, provide additional comments as an attachment.

PART IV. CERTIFICATION: *(Employee's signature certifies review and discussion with the Rating Official. It does not necessarily mean that the employee concurs with the information on this form.)*

Performance Plan: <i>(Sign when plan is established)</i>		Summary Rating: <i>(Sign when report is completed)</i>	
Employee:	Date:	Rating Official:	Date:
Rating Official:	Date:	Reviewing Official (required for summary of "Results Not Achieved")	Date:
Reviewing Official: (when required by Bureau Office) Date:		Employee:	Date:

Privacy Act Notice: Submission of information is mandatory. Failure to provide information will prohibit data collection required by the Office of Personnel Management.

FISCAL YEAR 2000 INDIVIDUAL TRAINING PLANS (ITP)

Introduction

As part of the FY 2000 Performance Appraisal process, supervisors and managers are asked to complete an Individual Training Plan (ITP) for each employee. The ITP should be completed at the same time the supervisor meets with employees to discuss their Performance Plan and Results Report. The reason behind combining both requirements during the same meeting time is to ensure that the employee and supervisor discuss all aspects of his/her work performance, as well as those areas in which the employee's performance needs could be improved and/or enhanced through additional training.

Individual Training Plan

The ITP allows the supervisor and the employee to identify the courses that are necessary to meet the training needs. This type of planning is designed to promote better employee development, and efficient use of training dollars. The ITP merely projects the individual training which is identified for FY 2000. However, it may be modified as needed, to meet the changing training needs of the organization.

Training should be prioritized to ensure that the most important developmental needs are provided. Previous ITP's should always be considered when developing the current training plan. The priorities for scheduling and funding training area as follows:

1. Training necessary to improve an employee to a "Results Achieved" on his/her critical elements. This training should be documented in the employee's Performance Improvement Plan. Training determined necessary to accomplish satisfactory performance should also be provided.
2. Training necessary to accomplish Annual Work Plan (AWP) objectives.
3. Training necessary to meet the changing needs of the organization.
4. Training projected under a formal training agreement (i.e., upward mobility training plans).
5. Training necessary to enhance employee performance in current job.
6. Other developmental training.

These priorities should be entered on the training form.

Training Course Materials:

Supervisors and managers should contact their respective Center Director's Staff Assistant for ITP Forms. Supervisors should discuss training needs with each of their employees; review the following web sites for available training courses and/or call HR-220 for additional training opportunities not yet scheduled; annotate and submit a copy of the ITP form to NHRMC (HR-220); and follow through with scheduling training courses:

1. The National Training Center (NTC) at www.ntc.blm.gov
2. The USGS Technology Information Center (TIC) computer courses at <http://www.grad.usda.gov>
3. The USDA Graduate School Nationwide Training 2000 courses at <http://www.grad.usda.gov>
4. The Denver Learning Center (DLC) courses at www.doi.gov/training

In addition to the web sites listed above, a number of government, college, and private vendor catalogs are also available at the NHRMC Training Office. Supervisors/employees interested in reviewing these catalogs are encouraged to contact the National Human Resources Management Center (NHRMC) training office at (303) 236-6690 for assistance.

Course Nominations

A. National Training Center (NTC)

Information regarding NTC courses was previously sent to each Center by NTC. NTC nominations should be made according to the IB (TC-98-31). All NTC nominations should be entered on the ITP form so that the supervisor has a complete listing of all training identified for the employee.

B. Denver Learning Center (DLC)

Supervisors will continue to receive course announcements for new DLC courses as soon as they become known. Supervisors and employees should discuss training opportunities, to include employee availability on scheduled dates, prior to submitting nominations to NHRMC. Nominations for each course will be submitted to DLC prior to the cutoff date for each course. Selected employees and their supervisors will be notified by E-Mail of course details approximately three weeks before the course date.

C. Academic/Vendor offered training

This type of training requires and SF-182 form, signed by the appropriate management official, to nominate employees. No costs training and courses paid with credit cards, should

be submitted to NHRMC using a five-part training form. Include the tuition paid and the

statement “paid by credit card” in Block 23. All other training requests should be submitted using a 10-Part form, including a cost code/amount of training in block 23.

D. Computer Courses

Computer courses from the USGS Technology Information Center or other outside sources should be entered on the ITP whether dates have been selected or not. Internal computer courses taught in Building 50 should be utilized whenever possible but should not be entered onto the ITP. All training, especially computer courses, will be reviewed by HR-220 to see if a Centers-wide approach to training delivery would be cost effective. All nominations will be also reviewed for appropriateness.

A copy of each employee’s completed ITP is due to the NHRMC (HR-220) by close of business **Tuesday, November 30, 1999.**

For any assistance regarding this process contact Jerry Jones, NHRMC Training Office, at (303) 236-6690.