

## Checklist – Performance Appraisals & Awards

### Performance Appraisals

- \_\_\_ In the case of a Level 2 (shows deficiencies) or Level 1 (unacceptable) rating, have you: 1) consulted with the Employee Relations office? 2) attached a narrative justifying the negative rating, and 3.) obtained the signature of the Approving Official, prior to the appraisal meeting with the employee?
- \_\_\_ Advance notice of formal appraisal meeting given. It's a good idea to provide employees with a guide to writing their accomplishments. The Department has created a [Guide on Writing Employee Accomplishments](#). Please forward this guide to your employees.
- \_\_\_ Employee is given option of scheduling a pre-appraisal meeting.
- \_\_\_ Pre-appraisal meeting held, if requested by employee.

### Supervisor prepares for formal appraisal meeting by:

- \_\_\_ reviewing performance plan and ensuring each critical element has been rated;
- \_\_\_ reviewing notes from progress review(s);
- \_\_\_ reading the generic performance standards and any other Evaluation Criteria included in the plan;
- \_\_\_ considering information supplied at the pre-appraisal meeting, if one was held, and/or from meeting with the approving official;
- \_\_\_ noting that summary ratings of Level 3 or above require only an overall summary narrative;
- \_\_\_ assigning a proposed rating to each element; and a substantive written narrative for any element rated below Level 3;
- \_\_\_ Supervisor should read over the [Key Distinctions](#) for Levels 3, 4, and 5; and
- \_\_\_ assigning a proposed performance summary rating using the required point scale on the CD-430

### Next steps:

- \_\_\_ Supervisor must confer with the approving official about the employee's performance summary rating and receive approval (including the approving official's signature on form CD-430) of the employee's rating before discussing the final rating with the employee.
- \_\_\_ Formal appraisal meeting held with employee.

\_\_\_\_ Employee signs the appraisal (signature only acknowledges receipt and not necessarily agreement of rating) form and is given a copy of the final rating.

\_\_\_\_ An employee may request informal or formal reconsideration of his or her rating. An employee may request reconsideration of his or her rating by attempting to resolve the disagreement informally with the rating official. However, formal reconsideration requests must be processed under the appropriate negotiated grievance procedure, if applicable, or under the [Department's Administrative Order 202-771](#), titled Administrative Grievance Procedures within **15 days** of receipt of the final rating.

\_\_\_\_ Copy of any changes to the final rating is given to employee by the approving official.

### **Awards**

\_\_\_\_ Will the employee be recommended for a performance award? If so, is the employee eligible, and did you check to see if the employee will exceed the 10% cash award limit?

\_\_\_\_ Does the CD 430(d) Performance Summary Rating form contain the signatures of two different supervisors at successively higher levels?

\_\_\_\_ Is the approving official at the delegated level for the amount of the award?

#### [ITA's Delegations of Authority for Approvals](#)

\_\_\_\_ Political Appointees (Schedule C) are not eligible for performance awards

\_\_\_\_ Has the award been reviewed by the Budget Analyst assigned to your office?

\_\_\_\_ Is the correct award appropriation code included on the CD 430(d), Performance Recognition section of the form?

\_\_\_\_ Update the [Performance Management Tracking Spreadsheet \(PMTS\)](#) by inserting the correct award appropriation code. Please be prepared to submit your PMTS to OHRM upon request for National Finance System (NFC) entry, and for Accountability Audit purposes.