

For: APFO, FSA Kansas City Offices, and State and County Offices Using Pass/Fail Rating System

**FY 2002 Annual Performance Appraisals for APFO, FSA Kansas City Offices
and State and County Offices Under Pass/Fail Rating System**

Approved by: Deputy Administrator, Management



1 Overview

A

Purpose

The notice:

- provides employees and supervisors with information needed to communicate and complete the annual performance appraisal by October 31, 2002, for the rating period ending September 30, 2002
- reminds employees and supervisor that an employees must serve under elements and standards in the current position for **90 calender days** or more before supervisors complete the employee's performance appraisal.

B

**Changes in
Positions,
Assignments, or
Supervisors**

New or amended performance elements and standards must be in place within 30 calendar days after an employee has been given a new position or assignment.

When an employee works under different supervisors during the designated appraisal period, each supervisor of 90 calendar days or more shall document the employee's accomplishments and prepare a summary rating. The summary rating should be forwarded to the employee's current supervisor for appropriate consideration in preparing the employee's rating of record.

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| | |
|--|--|
| <p>Disposal Date</p> <p>March 1, 2003</p> | <p>Distribution</p> <p>APFO, FSA Kansas City Offices and State Offices; State Offices relay to County Offices</p> |
|--|--|

1 Overview (Continued)

C

**Labor Relations
Obligations**

Where exclusive representation exists, this notice does not apply until bargaining takes place. Where contract language addresses these policies and procedures for bargaining unit employees, contract language prevails.

D

**Internet
Combined
Administrative
Management
System (ICAMS)
Users**

Offices with ICAMS that have deployed self service to their employees should submit ratings using ICAMS.

2 Supervisor Action

A

**Reviewing
Performance**

Supervisors shall review employee performance by:

- ensuring that the employee has served under elements and standards in their current position for 90 calendar days or more
- if necessary, obtaining written documentation of the employee's performance under a previous position if:
 - the employee is on detail for 120 calendar days or more
 - a change in supervisor occurs and the employee works under a new position for 90 calendar days or more
 - the employee changes positions and serves in the new position for 90 calendar days or more
 - the employee transfers outside FAS, FSA, or RMA

Note: The former supervisor should provide a copy of Form 4140 to the employee's new supervisor.

Continued on the next page

2 Supervisor Action (Continued)

A

Reviewing Performance (Continued)

- the employee performs collateral duties, then the rating shall reflect both of the following:
 - primary duties of the position
 - primary collateral duty
 - checking the appropriate rating level for each performance element.
-

B

Conducting the Appraisal Meeting

Schedule a formal appraisal meeting with the employee several days in advance. Allow ample (uninterrupted) time for meetings.

Communicate and encourage a 2-way dialogue with the employee to discuss:

- any follow up from the progress reviews
- how well the performance objectives and standards were met
- specific accomplishments since the mid-year review
- areas that need improvement or problems
- employee's feelings, reactions, and feedback
- elements and standards for FY 2003
- FY 2003 Individual Development Plan (IDP).

Complete (discuss/sign/date) performance appraisals by October 31, 2002.

C

Providing Additional Documentation

Supervisors shall provide additional documentation if an employee receives a "Results Not Achieved" performance rating.

For **non ICAMS self service users** documentation shall be attached to Form 4140 and must be signed by the rating official and the reviewing official before the employee signs.

ICAMS self service users shall see "Results Not Achieved" in the Self Service Manual.

3 Completing the Performance Appraisal Process

A

Supervisor Responsibilities

Supervisors shall ensure that the employee has served under the elements for 90 calendar days.

B

Supervisor and Employee Responsibilities

Non ICAMS self service users shall sign and date Part IV on Form 4140. The form can be accessed from the HRD website at <http://dc.ffasintranet.usda.gov/hrd/pmmain.htm>.

ICAMS self service users shall refer to the Self Service Manual on Performance - "Summary Rating".

C

Reviewer Responsibilities

Non ICAMS self service users shall sign and date Part IV on Form 4140. The form can be accessed from the HRD website at <http://dc.ffasintranet.usda.gov/hrd/pmmain.htm>.

ICAMS self service users shall refer to the Self Service Manual on Performance - "Results Not Achieved".

D

Distribution

For **non ICAMS self service users only**, supervisors shall distribute the completed performance appraisals according to this table.

| Step | Action |
|------|--|
| 1 | Kansas City offices shall forward the original, completed copies to KCAO, Personnel Division (PD). |
| 2 | Provide the employee with a copy of Form 4140. |
| 3 | Retain a copy of Form 4140 for the supervisor's file. |

ICAMS self service users shall refer to Self Service Manual - "Summary Rating".

5 Unratable Employees

**A
Rating
Requirement**

To be rated, and employee **must** have:

- elements and standards established in ICAMS or on Form 4140 (for non ICAMS users)
- been under elements and standards for at least **90 calendar days**.

Note: If the employee disagrees with elements and standards and refuses to sign them, the supervisor should note this in the employee’s signature block on Form 4140 for non ICAMS self service users. If ICAMS self service users, follow guidance in the Manual under Performance..

6 Additional Information

**A
Contacts**

If there are questions about rating employees, supervisors may contact the appropriate servicing personnel office according to this table.

| IF the supervisor is located in... | THEN contact... |
|---|---|
| 1 of the following: <ul style="list-style-type: none"> • APFO • KCCO • KCAO • KCFO • KC-ITSTO • KC-ITSDO • State Office. | KCAO, PD, Employee and Labor Relations Branch at 816-926-6643 or TTY at 816-926-3063. |
| County Office | State Office. |

**B
Filing
Grievances**

Non bargaining unit employees may grieve their performance appraisals under the Agency grievance procedure. Bargaining unit employees must use the negotiated grievance procedure.
