

# U.S. COAST GUARD PERFORMANCE PLAN AND EVALUATION

**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

Employee Name	Social Security Number	Appraisal Period	
		From	To
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 is 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. 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 V. RATING (CHECK TYPE OF RATING)      Annual Rating      Interim Rating

Narrative in Part V.

- 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 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

# PERFORMANCE PLAN AND EVALUATION

<b>Part IIa. CORE COMPETENCIES</b>	
<b>CORE COMPETENCIES</b>	<b>PERFORMANCE STANDARDS</b>
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.	Performance Standards are defined at the "Meets" level.
<b>Mandatory</b> - All Employees/Supervisors  <input type="checkbox"/> <b>Applied Job Knowledge and Skills</b>  Rating <input type="checkbox"/> Exceeds  <input type="checkbox"/> Meets  <input type="checkbox"/> Fails to Meet	<ul style="list-style-type: none"> <li>• Maintains knowledge in current procedures, policies, and/or practices.</li> <li>• Demonstrates quality, thoroughness and accountability in work activities.</li> <li>• Uses sound judgement and rationale in making decisions or problem solving.</li> <li>• Communicates effectively to accomplish work assignments.</li> </ul>
<b>Mandatory</b> - All GS and WG Supervisors  <input type="checkbox"/> <b>Supervisory Leadership</b>  Rating <input type="checkbox"/> Exceeds  <input type="checkbox"/> Meets  <input type="checkbox"/> Fails to Meet	<ul style="list-style-type: none"> <li>• Creates a positive work environment by encouraging mutual respect, communication, innovation learning and supporting EEO and diversity. Manages conflict constructively.</li> <li>• Supports organizational goals by effectively planning, evaluating, and continuously improving services and products.</li> <li>• 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.</li> <li>• Effectively uses a variety of rewards and recognition (monetary, honorary, and creative recognition) throughout the year.</li> <li>• 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.</li> <li>• Maintains appropriate balance between concerns for people and concerns for mission.</li> </ul>
Optional - Employees/Supervisors  <input type="checkbox"/> <b>Teamwork</b>  Rating <input type="checkbox"/> Exceeds  <input type="checkbox"/> Meets  <input type="checkbox"/> Fails to Meet	A. Team Leader (includes GS and WG Team Leaders) <ul style="list-style-type: none"> <li>• Skillfully organizes and facilitates teams to accomplish mutual goals.</li> <li>• Creates an environment of open communication, mutual respect, innovation and shared vision.</li> <li>• Effectively coordinates work and/or projects, keeping team members informed and focused on organizational goals.</li> <li>• Actively involves team members in decisions and problem solving.</li> <li>• Effectively communicates information on performance, work status, changes, issues and results.</li> </ul> B. Team Player <ul style="list-style-type: none"> <li>• Uses effective interpersonal skills in working with others.</li> <li>• Interacts with others to collectively resolve problems, accomplish mutual goals, and fosters an atmosphere of trust.</li> <li>• Shares information and ideas to improve quality of services and products.</li> </ul>

# PERFORMANCE PLAN AND EVALUATION

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

# PERFORMANCE PLAN AND EVALUATION

## **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.

# PERFORMANCE PLAN AND EVALUATION

<b>Part III. PROGRESS REVIEWS</b>		
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.		
<b>First Discussion</b> Rating Official Signature	Employee Signature	Date of Discussion
Rating Official, key points made, if desired.		
Employee comments, if desired.		

# PERFORMANCE PLAN AND EVALUATION

<b>Part III. PROGRESS REVIEWS (Continued)</b>		
<b>Second Discussion</b> Rating Official Signature	Employee Signature	Date of Discussion
Rating Official, key points made, if desired.		
Employee comments, if desired.		

# PERFORMANCE PLAN AND EVALUATION

## **Part IV. EMPLOYEE INPUT FOR FINAL RATING (Optional)**

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

## **Part V. FINAL RATING**

Rating Official - Comments are required regardless of rating and 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 (Quality Step Increase or Performance Award)

*Note: Attach this nomination ON TOP OF the rating of record upon which the nomination is based.*

**Justification.** The award must be justified based on the attached performance evaluation. The quality step increase (QSI) recognizes sustained, high quality performance which significantly enhances mission accomplishment. The performance award recognizes high levels of performance.

**Eligibility.**

- An employee may receive a QSI or a performance award for the same rated performance, but not both.
- 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.
- Performance Award. To be eligible, the employee must have been rated either "Exceeds" or "Meets" for the appraisal period.

### Part I. Identifying Information

Employee Name \_\_\_\_\_

Nominated for (Choose One Only):

Quality Step Increase \_\_\_\_\_

Performance Award \_\_\_\_\_ Amount \_\_\_\_\_

### 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 Performance Incentive Pay Official.

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 performance Incentive Pay Official.

\_\_\_ Approved \_\_\_ Not Approved by \_\_\_\_\_  
(Name, Title, Signature & Date)

Note: All quality step increases and performance awards require approval of the Performance Incentive Pay Official or his or her designee.

U.S. DEPARTMENT OF HOMELAND SECURITY  
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 rating official and employee in Part III.

**3. The End of the Appraisal Rating Period.**

- a. Provide the employee an opportunity to comment on accomplishments for final rating in Part IV.
- b. In Part IIa, check the appropriate rating (Exceeds, Meets or Fails to Meet) as measured against the performance standard for each applicable Core Competency.
- c. Summarize outcomes and results achieved by the employee in part V 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 CC's are rated "Meets" and none is rated "Fails to Meet." This is good, sound performance, accomplished with normal supervision. "Meets" encompasses the 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 correct work substantially.

- 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 V.
- f. When rating is completed and approved, supervisor discusses rating with the employee and the employee signs. Original appraisal forms are maintained by the Civilian personnel Management Division. Copy of appraisal is provided to employee.