

**U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
PERFORMANCE APPRAISAL PLAN**

Section 1 IDENTIFYING INFORMATION	
Name (Last, First, MI)	Position Title/Pay Plan/Series/Grade
Organization and Location	<input type="checkbox"/> Supervisory <input type="checkbox"/> Non-Supervisory
Appraisal Period	From: _____ To: _____
Section 1-A PERFORMANCE PLAN DISCUSSION	
Signatures certify that the plan was discussed with the employee and the employee was provided a copy of this plan.	
Employee Signature	Date
Rating Official Signature	Date
Reviewing Official Signature (If Applicable)	Date
Employee Input into Development of Standards (Indicate whether supervisor solicited employee involvement): <input type="checkbox"/> Yes <input type="checkbox"/> No	
Section 1-B MID-YEAR REVIEW	
Signatures certify that the employee's progress toward meeting the job performance expectations was discussed with the employee. Section 4 may be used to document the Progress Review.	
Employee Signature	Date
Rating Official Signature	Date
Section 1-C SUMMARY PERFORMANCE RATING DETERMINATION	
To assign the summary performance rating, select the highest level met based on the applicable criteria: <i>(See OA instructions)</i>	
<input type="checkbox"/> Outstanding	Total Score: 2.7 – 3.0 (No CJE less than Exceeded Expectations)
<input type="checkbox"/> Exceeded Expectations	Total Score: 1.7 – 2.69 (No CJE less than Achieved Results)
<input type="checkbox"/> Achieved Results	Total Score: 1:00 – 1.69 (No CJE less than Achieved Results)
<input type="checkbox"/> Unacceptable	One or more CJEs rated Unacceptable (Requires initiation of a Performance Improvement Plan (PIP))
Reason for Rating: <input type="checkbox"/> Annual Rating of Record <input type="checkbox"/> Employee Reassigned <input type="checkbox"/> Within Grade Increase <input type="checkbox"/> Employee Leaving Agency <input type="checkbox"/> Other (Specify)	
Section 1-D ACKNOWLEDGEMENT	
I acknowledge receipt of this rating; however, my signature on this form does not imply agreement or disagreement with the rating received or that I forfeit any rights of review.	
Employee Signature	Date
Rating Official Signature	Date
Reviewing Official Signature (If Applicable)	Date

Section 2 JOB ELEMENT WITH PERFORMANCE STANDARDS

The employee's performance plan must include at least one critical element aligned with DOT, OA and/or organization/unit goals or objectives.

Enter appropriate DOT/OA/Organization/Unit strategic goal(s):

Section 2-A Job Element

JOB ELEMENT _____ OF _____ Critical Non-Critical Weight :

Insert the Primary work assignment or responsibility of the employee that supports the achievement of the goal(s)/objective(s) above per instructions. Additional job elements should be attached using additional Section 2 Job Element sheets.

Section 2-B Job Element Performance Standard(s)

Section 2-C Job Element Rating

Outstanding

Exceeded Expectations

Achieved Results

Unacceptable

Section 2-D Narrative Summary of Performance

In support of the rating above, describe specific examples of actual performance above or below the Achieved Results Level. If additional space is needed, please provide attachments.

Although performance meets at least minimum requirements, improvement or additional development is needed in this job element in order to operate at the full performance level. Training and/or development needs have been discussed with the employee, and documented in Section 3.

Section 3 TRAINING IDENTIFICATION AND CAREER DEVELOPMENT (Optional)

Identify technical and/or management training that could assist the employee in improving job performance. This may also be an appropriate opportunity to discuss and note developmental assignments, cross training or other career development activities which would better prepare this employee to meet the needs of the organization. This section is optional based on OA program guidance.

Section 4 MID-YEAR REVIEW DOCUMENTATION (Optional)

This section may be used by supervisor and employee to document discussions at the mid-point progress review to note changes in the performance plan and to record comments. Please note any areas in which the individual has excelled or needs improvement. Signatures should be placed in Section 1-B.

Section 5 RATING OFFICIAL OR EMPLOYEE INPUT FOR PERFORMANCE RATING (Optional)

Provide narrative comments from the rating official or employee regarding accomplishments during this performance year that contributed to the OA's Vision, Mission, and goals. If more space is needed, attach additional sheets as necessary or attach documents.

Large empty rectangular box for providing narrative comments.

Instructions for Completion of the DOT Performance Appraisal Plan

GENERAL:

The DOT Performance Appraisal Plan (DPAP) establishes a systemic process for planning, monitoring, developing, and assessing supervisory and non-supervisory performance that contributes to achieving the Department's Vision, Mission and goals. The DPAP ensures alignment with the Department's goals, fairness and promotes a performance culture that focuses on two-way communication and accountability for results, and clearly differentiates between high and low performers.

These instructions are provided to assist managers/supervisors and non-supervisory employees understanding the components of the DOT Performance Management Process and complete form correctly. While the Department has implemented a standard performance appraisal plan form, the policy structure provides for flexibility to accommodate OA specific requirements.

A brief summary of the sections that need to be incorporated to performance appraisal plans follows (If any section is not used, document " This section not used" or place an "X" through the unused section.):

SECTION 1: IDENTIFYING INFORMATION.

Documents completion of the actions required to execute the performance appraisal cycle. Enter employee name, position title, grade, series, organization, and appraisal period as indicated in the top portion of the form. The minimum appraisal period is 90 - 120 days, depending on OA program guidance.

FHWA Policy on minimum appraisal period: Under the Performance Management Program of the Federal Highway Administration, the minimum appraisal period is 90 days.

SECTION 1-A: PERFORMANCE PLAN DISCUSSION

Rating official and employee must sign and date this section when the performance requirements for the appraisal period have been established, discussed, and the plan is in place for execution. The discussion should address specific examples of performance required to meet the standards, as well as the consequences resulting from failing to meeting them. Forward the completed DPAP to the Reviewing Official for approval, if applicable per OA guidance, and provide employee with a copy of the Plan. Maintain original to document progress reviews and final ratings. A Work Plan is optional, but may be included to clarify performance standards and/or identify tasks and projects to be completed during the appraisal period.

Employee Input into Development of Standards: In accordance with DPM Chapter 430, Performance Management, supervisors are responsible for involving employees in determining their responsibilities for achieving outcomes and the measures or indicators that will be used to track their performance. Employees are responsible for discussing work objectives with supervisors and understanding work requirements. This section documents whether the supervisor solicited employee involvement in the development of the performance appraisal plan. NOTE: The Rating and Reviewing Officials have final authority regarding the substance of the performance plan.

SECTION 1-B: MID-YEAR REVIEW

A minimum of one progress review must be conducted during the appraisal period, generally at the mid-point of the appraisal period. The Rating Official will discuss the employee's performance to date; provide feedback on his/her progress in accomplishing the performance requirements described in the performance plan; discuss training and developmental opportunities; and provide, when necessary, advice and assistance on how to improve his/her performance. Rating official and employee must sign and date this section documenting completion of the progress review. The Rating Official and employee will initial and date each individual change to the plan and document changes in Section 4, Mid-year Review Documentation. If applicable, the Reviewing Official should also review and acknowledge the changes made in the plan during the appraisal period. Any written feedback or recommended training may be noted in Sections 3 and 4.

SECTION 1-C: SUMMARY PERFORMANCE RATING DETERMINATION

This section pertains to the overall summary performance rating given for the entire appraisal period. Indicate the single, overall level of achievement that best describes the employee's performance for each element shown in Section 2. Assignment of the Outstanding level or Exceeded Expectations level means that Achieved Results performance standards have been significantly surpassed. Determine the overall summary rating by selecting the appropriate summary rating in accordance with DOT's Generic Performance Standards described in DPM 430 and your OA program guidance. This rating becomes the final rating of record for the appraisal period. NOTE: OAs must complete this section with appropriate OA performance rating determination guidance.

FHWA Instructions on Summary Performance Rating Determination: The summary performance rating determination is based on the job element point average, with the additional requirement that the summary rating can be no more than one rating level higher than that of the lowest-rated critical job element. Additionally, if any critical job element is rated Unacceptable, the summary rating for the job as a whole must be Unacceptable.

An average value is determined, based on the rating level for each job element, and what percentage of the total plan is rated at that level. A rating score is assigned to each job element, as follows:

- Job element is rated Outstanding, rating score = 3;
- Job element is rated Exceeded Expectations, rating score = 2;
- Job element is rated Achieved Results, rating score = 1;
- Job element is rated Unacceptable, rating score = 0. If the job element rated Unacceptable is a **critical** element, the summary rating is **Unacceptable**, regardless of the numerical result. If the job element rated Unacceptable is a **non-critical** element, the calculation continues with an adjusted score of 0 for that element.

To determine the summary rating, multiply the rating score for each job element by the weight factor of that element shown in Section 2-A. This becomes the adjusted score for that job element. Next, add the adjusted scores for all the job elements to derive a **total score**. Compare that total score to the criteria in the table in Section 1-C on page 1 of the Performance Appraisal Plan form. Select the appropriate summary rating that reflects both the score range in which the total score falls, and that no job elements are rated lower than the level indicated for that summary rating level. Select the highest summary rating level that meets both criteria, and check the box for that rating in Section 1-C on the front page of the Performance Appraisal Plan form. A Summary Performance Rating Worksheet is included at the end of these instructions to assist FHWA supervisors with this process.

Reason for Rating: Typically, performance ratings are required at the end of the appraisal cycle. However, there are various reasons requiring the assignment of a performance rating. Please check the box to designate the appropriate reason. If "Other" is checked, a description must be documented.

SECTION 1-D: ACKNOWLEDGEMENT

At the end of the appraisal period, the Rating Official must meet with the employee to discuss the employee's accomplishments. The Rating Official must offer the employee an opportunity and strongly encourage the employee to identify specific accomplishments and results. Employee, Rating Official, and Reviewing Official, if applicable, should sign the form acknowledging receipt of the summary performance rating. The employee's signature confirms that the overall summary rating has been discussed with the Rating Official. The signature does not indicate agreement with rating or the appraisal recommendation. If the employee refuses to sign, the rating official should make a note to file documenting the employee's refusal to sign. NOTE: The signature of the Reviewing Official is required if the summary rating is "Unacceptable". The proposed "unacceptable" rating must be discussed with the Reviewing Official before discussion with employee is held.

SECTION 2: JOB ELEMENT WITH PERFORMANCE STANDARDS

Cascaded Organizational Goals/Strategic Alignment: The performance plan must include at least one critical job element aligned with DOT, OA and/or organization/unit goals. Enter the appropriate strategic goal that will align with the job element. Only use the objective(s) that pertain to your specific organization or program. Alignment should be clear and transparent so that employees can see how their performance plans support organizational goal achievement. Ideally, a person would be able to map the responsibility for specific organizational goals and objectives through the performance plans of the chain of authority (i.e., SES members, to managers, to supervisors) to the front-line employee. Merely including a generic statement in performance plans that employees support organizational goals is not adequate for communicating alignment. To demonstrate the cascaded goal alignment, its source, and specific goal number may be documented in accordance with OA guidance.

SECTION 2-A: JOB ELEMENT

Critical Element: Each plan must identify at least one critical element. A critical element is an assignment or responsibility of such importance that unacceptable performance in a single critical element would constitute an overall "Unacceptable" summary performance rating. The required performance elements and any additional element(s) identified at the discretion of the Rating Official may be either critical or non-critical elements as determined by the Rating Official based on the employee's work assignments and responsibilities. A non-critical element is a dimension or aspect of individual, team, or organizational performance, exclusive of a critical element, that is used in assigning a performance summary rating level. Failure on a non-critical element cannot be used as a basis for a performance-based adverse action nor can the employee's performance be summarized as "Unacceptable" overall based on that failure; however, non-critical does not mean not important. Performance standards must be written at the Achieved Results performance level. Enter element numbers sequentially and for each job element designate critical or non-critical, assign a weight, if applicable. Enter the applicable job element name and/or a brief description of the element's objective. NOTE: Additional job elements should be documented using Section 2 Job Element sheet attachment.

Critical Element Weight: Assigning weights are optional, and weighting must be allowed in accordance with your OA Performance Management Program. The Rating Official may assign weights to the job elements in order to establish distinctions in the importance of elements for attaining the desired goals of the organization. The Rating Official must discuss the impact of assigned weights with the employee during all key "milestones" of the performance appraisal process, i.e., during the development and issuance of the performance plan, progress review(s), and annual appraisal. If an element is not weighted, place "N/A" in the weight box.

FHWA Policy on Job Element Weights: The FHWA Performance Management Program permits the use of both critical and non-critical elements.

The use of weights to differentiate the relative value of individual job elements is optional, but weights must be assigned for the purpose of determining the summary rating. Weights are expressed as percentages (or decimals) of the total performance plan, and the total weight of all job elements must equal 100 percent (1.00). Critical job elements must have an assigned weight of at least 10 percent (0.10) each or greater, and a non-critical job element must be assigned a weight of less than 10 percent (0.10). If individualized weights reflecting the relative importance of the job elements are not assigned by the supervisor, then default weight values are determined based upon the number of critical job elements, and the assumption that all critical elements are of equal value (e.g., 4 CJE's = weight of 25% (0.25) for each CJE; 3 CJE's = weight of 33.3% (0.333) for each CJE). If non-critical job elements are used, the supervisor must designate weights for all elements in accordance with the guidance in this section.

MANDATORY JOB ELEMENTS FOR SUPERVISORY AND MANAGERIAL POSITIONS

Mandatory job elements for managers, supervisors and team leaders (as appropriate) are: (1) Business Results, (2) Managing Human Capital, (3) Managing Resources, and (4) EEO/Diversity Initiatives. Rating Officials should write mandatory critical job elements using DPM 430 definitions as a guide. (Appendix A, Indicators of Achievement for Managers and Supervisors, includes examples of performance standards).

The DOT Performance Management System requires that performance plans for supervisors take into consideration employee and customer perspective, and hiring reform. Within the above mandatory job elements employee perspective, customer perspective and hiring reform must be addressed. (See DPM 430, Appendix B, for examples of performance standards).

Customer Perspective - Customer perspective measures consider the organization's performance through the eyes of its customers, customer needs, requirements, and satisfaction. To achieve the best in business performance, agencies must incorporate reasonable customer needs and wants consistent with the agency's mission and must take them into account as part of their performance planning. To maintain consistency, customer perspective must be addressed in the Business Results job element.

Employee Perspective - The employee perspective focuses attention on the performance of the key internal processes that drive the organization, including employee development, improved performance, and retention. Employee perspective must be addressed in the Managing Human Capital job element.

Hiring Reform Standard (applies to supervisors and managers with hiring authority) – The Hiring Reform standard ensures supervisor and manager responsibility and accountability in hiring process. Hiring Reform must be addressed in the Managing Human Capital job element.

FHWA Guidance on Mandatory Job Elements for Supervisory and Managerial Positions: To meet the requirements of this section, FHWA managers and supervisors are required to use Form FHWA-1552C as a mandatory critical job element and performance standard, and incorporate it into their performance plans as an attachment to Form FHWA-1552.

SECTION 2-B: JOB ELEMENT PERFORMANCE STANDARD(S)

Performance standards are statements of performance thresholds, requirements, or expectations written at the Achieved Results Level. Rating Officials may develop specific performance standards at additional levels to ensure that the employee has a clear understanding of the levels of performance expected. Standards communicate what an employee has to do or achieve to meet the performance element. Enter a standard that holds the employee responsible for achieving measurable results, defined in terms of expected outcomes, products, or accomplishments and is defined by measures in terms of quality, quantity, timeliness and cost-effectiveness.

Quality - How well work is performed and/or how accurate or how effective the service or final product is.

Quantity - How much work is produced (can be expressed as an error rate, such as a number or percentage of errors allowable per unit of work).

Timeliness - How quickly, when, or by what date the work is produced; however, a timeliness measure must not be absolute leaving no margin for error.

Cost-effectiveness - Dollar savings to the Government or working within a budget (may include such aspects as maintaining or reducing costs, reducing time it takes to produce a product or service, or reducing waste).

The four-level DOT Generic Performance Standards, described in DPM 430, are to be applied to the appraisal of each individual performance element at the end of the appraisal period. OA's may further describe each job element rating level for each job element as long as it is consistent with generic rating level definitions.

SECTION 2-C: JOB ELEMENT RATING

A specific rating is required for each job element to reflect the level of performance demonstrated by the employee throughout the appraisal period. Evaluate the performance plan objectives, underlying activities and tasks to assign a rating to each job element. Base these ratings on (1) objectives, activities, and specific tasks associated with each job element that are carried out with expected levels of quantity, quality, timeliness and cost-effectiveness according to performance plan and (2) responsibilities are carried out according to all official guidance, policies, and applicable

laws and regulations. Assign the appropriate rating for the individual job element in accordance with DOT's Generic Performance Standards described in DPM 430 and your OA program guidance. Ratings above or below the Achieved Results Level require specific, written examples of performance.

SECTION 2-D: NARRATIVE SUMMARY OF PERFORMANCE FOR INDIVIDUAL ELEMENTS

Narrative summaries of actual performance are encouraged for all levels of performance. If the employee's performance is higher or lower than the Achieved Results standard, a narrative summary describing specific examples of performance above or below the achieved results level is required. If additional space is needed, provide attachments.

NOTE: Form DOT-430a must be attached to document additional Job Elements. (Form FHWA-1552-B is identical to DOT-430a, and should be used by FHWA employees.)

SECTION 3 TRAINING IDENTIFICATION AND CAREER DEVELOPMENT

This section may be used to determine employee's training and professional growth needs, and may be required based on OA program guidance.

SECTION 4 MID-YEAR REVIEW DOCUMENTATION

This section may be used by supervisor to provide feedback to the employee, addressing performance strengths, weaknesses, adjustments to the weights and /or measures, and training and development opportunities at mid-year, and may be required based on OA program guidance.

SECTION 5 RATING OFFICIAL OR EMPLOYEE INPUT FOR PERFORMANCE RATING

This section may be used by the rating official or employee to provide narrative comments regarding the employee's performance and accomplishments during the rating cycle as input into the final rating, and may be required based on OA program guidance. Supervisors may offer the employee an opportunity and encourage the employee to identify specific accomplishments and results, process improvements they recommended and/or implemented, letters or emails of commendation they received that have not been forwarded to you, training completed that you may have not recorded, and anything else that they feel is important to share that will give a complete look at their performance. Employee input does not relieve the Rating Official of his/her responsibility to assess employee contributions. If more space is needed, attach additional sheets as necessary or attach documents.

SUMMARY PERFORMANCE RATING WORKSHEET (for FHWA Employees Only)

Scoring Table					
Job Element Number	Rating Score (O = 3; EE = 2; AR= 1; UA= 0)		Weight (0.XX; total = 1.00)		Adjusted Score
1		X		=	
2		X		=	
3		X		=	
4		X		=	
5		X		=	
6		X		=	
7		X		=	
			Total		

Conversion Table			
Performance Appraisal Score		Summary Rating	
2.7 – 3.0	(No Critical Element less than Exceeded Expectations)		Outstanding
1.7 – 2.69	(No Critical Element less than Achieved Results)		Exceeded Expectations
1.00* – 1.69	(No Critical Element less than Achieved Results)		Achieved Results
Any	One or more Critical Element(s) rated Unacceptable		Unacceptable

*Score for "Achieved Results" can be less than 1.00 if the element(s) rated Unacceptable is/are non-critical.