



# CAPS Performance Management Guide for HCCS Serviced Bureaus

Office of Human Resources Management

A comprehensive guide for HCCS Serviced employees to understand performance management specifics, including the year end process, for all HCCS Serviced Bureaus.

Examples of what this guide can be used for	Examples of what this guide shouldn't be used for
✓ HCCS-specific guidance	✗ Enterprise Services HR guidance
✓ CAPS Positions	✗ 5-Level Positions
✓ Supplementary guidance to established Federal-wide, OPM, and/or Departmental guidance	✗ Substitute for established Federal-wide, OPM, and/or Departmental guidance
✓ Onboarding for new employees and supervisors	✗ Compensation and Benefits guidance
✓ Outlining the end-to-end year-end performance evaluation process	✗ Employee and Labor relations guidance
✓ Previewing sample documentation and frequently used terms	✗ A comprehensive list of all performance management specific policy



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# Introduction and Overview



# Introduction to the Performance Management Guide



## Purpose

This document is intended to help you – a DOC employee of a HCCS serviced bureau– understand the entire performance management process from start to finish. The federal performance management process often feels daunting; however, this clear and easy-to-follow guidance is designed to help you understand the process, so you can track your actions and any next steps along the way.

This guide will be updated as certain processes change over time. This guide will be available to all HCCS staff and HR Specialists to ensure that all stakeholders share a uniform understanding of the hiring process.



## Usage

You can use this document in a variety of ways. If you are a new employee, you can use this manual to gain a deeper understanding on how performance management is assessed within HCCS serviced bureaus. If you are a supervisor evaluating your employees for the first time or you simply need a refresher, reading the year-end guidance section in its entirety will provide you with the necessary actions and deadlines. If you are familiar with the process overall, but have a specific question regarding one step or topic, you can reference that section using the navigation key at the top of each page. In addition, each page of this guide can be extracted and used as a one-pager resource to educate relevant stakeholders on unique aspects of the process.



## CAPS | Performance Management Timeline

*The following provides an overview of the Performance Management Mid-Year Timeline for FY19*

Date	Description
April 30, 2019	Mid-Year cycle ends.
No later than April 30, 2019	Supervisors are recommended to request that employees submit documentation of their accomplishments.
	Prepare and hold performance review meetings with employees, determining needs for changes to original CD-541 Performance Plans. Identify the employee's progress during the current rating period and identify developmental/training goals or objectives.
No later than May 30, 2019	Supervisors hold performance review meetings with employees.
No later than May 30, 2019	At the end of the Mid-Year Performance Reviews, Rating Officials are required to annotate and certify that mid-year reviews were conducted using the CD-431 Performance Tracking System (PMTS) attached. The PMST record for mid-year reviews is due to your POC by May 30, 2019. Carol Davison will submit the certifications to the Department.

### Remember!



Human Resources recommends managers comply with the timelines provided in the performance management guidance. Please be aware that failure to follow the timeline has resulted in OIG referrals.



## CAPS | Performance Management Process

The performance management process has three distinct stages: performance planning, progress review, and appraisal. The annual appraisal cycle begins October 1 and ends September 30. The performance plan is used to communicate organizational goals and employee expectations, and it is a tool for creating employee accountability. The performance appraisal is used to measure an employee's progress in accomplishing organizational goals. There are two performance ratings: Eligible and Unsatisfactory. These performance ratings determine employee eligibility for comparability increases, performance pay increases, and performance bonuses. Supervisors also use performance appraisal results as a basis for making decisions on training, reassignment, promotion, retention, improving performance and, if necessary, reduction in pay band or removal.





# Overview of DOHROC Annual Appraisal Process

## Employees Eligible for Year-End Performance Review



An employee is eligible for a performance rating if he or she has worked under a performance plan for at least 120 days and if he or she occupies a covered position on the last day of the appraisal period, unless the employee is on a Performance Improvement Plan (PIP) at the end of the appraisal period. However, if the employee did not work under a performance plan for 120 days during the appraisal period, the rating period can be extended past the normal end for up to 119 days. The rating is then granted to the employee after the 120 days are completed.

### Unrateable Employees

Employees are unrateable if they did not work at least 120 days during the appraisal cycle in a covered position or positions or if they were placed on a performance improvement plan during the appraisal cycle because their performance failed to meet the minimum level of acceptable performance in one or more critical elements.

## Interim Ratings



Interim Ratings are prepared when an employee has spent the minimum appraisal period of 120 days in a position covered by a performance plan and subsequently changes to a new position. This may happen more than once during the rating period. These ratings must be completed within 30 days of the change of position and are prepared in the same manner as a summary rating. The interim rating may become a summary rating when an employee changes position toward the end of the rating period (i.e., when the time remaining in the appraisal cycle is less than 120 days.) All interim ratings must be considered when preparing the final summary rating. Additional guidance for considering interim ratings when preparing final summary ratings may be found in the Performance Management Handbook.

## Eligible or Unsatisfactory Rating of a Critical Element



*If any employee is rated as Unsatisfactory on a Critical Element, please contact your Employee Relations Specialist listed below before rating your employee.*

If any critical element is rated as Unsatisfactory, the employee's overall summary rating must be listed as Unsatisfactory, regardless of the other critical element ratings.



## CAPS | HCCS Annual Appraisal Process

As part of the Annual Appraisal process, an employee who occupies a covered position on the last day of the appraisal cycle (September 30) and who has been in a position for the minimum appraisal period of 120 days must receive an annual performance appraisal rating of record. Supervisors are required to hold various appraisal meetings with each of their employees as part of the final appraisal process to present to the employee the summary rating and award, if applicable.

Step

1

### **Preliminary Performance Review Meeting**

The purpose of the preliminary performance review meeting is to discuss the employee's performance, accomplishments, training needs, any areas of deficiency, and goals for the new performance cycle. Rating officials should encourage their employees to provide their list of accomplishments. Employees are required to provide their rating official with a list of accomplishments they achieved in accordance with their performance plan.

Step

2

### **Final Evaluation Feedback Meeting**

The Pay Pool Manager will make the final decisions on performance scores, performance pay increases and bonuses for eligible employees. As soon as rating officials receive the final decisions of the Pay Pool Manager, rating officials must conduct the final evaluation feedback meeting with their employees. At the final review meeting, employees will be given their rating score and any performance pay increase/bonus information.

Step

3

### **Development of Performance Plan**

The Department of Commerce believes that successful performance management is achieved when there is continuous interaction and engagement between Rating Officials and Employees. We encourage supervisors and employees to have open and on-going conversations about performance expectations and progress beyond the required documented discussions. New performance plans must be signed by the rating official and Pay Pool Manager and provided to employee.





## CAPS | Key Roles and Responsibilities

The performance management process has several key players, each of whom has a different responsibility throughout the process. The following section provides guidance and clarity on specific roles and responsibilities.



### First-Line Supervisors

Establish performance plans at the fully successful level, with input from the employee; Establish conduct expectations (i.e., procedures for requesting leave, professionalism, etc.); Communicate performance and conduct expectations to employees; Monitor and provide feedback on performance, including end-of-year review; Manage employee performance and conduct, to include documenting concerns and taking performance- and/or conduct-based actions where appropriate; Consult with ER for assistance on establishing adequate performance standards, addressing performance deficiencies, and addressing misconduct; Recommend performance ratings for employees.



### Pay Pool Managers

Review performance plans developed by first-line supervisors to ensure they are integrated into the total management process and consistent with overall organizational objectives; Render final decisions on ratings, scores, performance pay increases, and bonuses; Respond to employee grievances regarding performance rating; Be responsible for responding to proposals for performance- and/or conduct-based actions recommended by first-line supervisors; Ensure consistency across organizational unit when actions are taken



### Employees

Provide input to performance plan; Review performance and conduct expectations; Communicate frequently with supervisor, ask for feedback, clarification, and/or assistance when needed; Routinely review performance progress toward established standards and goals and make adjustments where needed to improve.



### ER / LR Specialists

Provide technical advice and guidance to supervisors on managing employee performance and conduct; Draft/review/edit documents in support of performance- and conduct-based actions (including performance plans, performance deficiency notices, and Performance Improvement Plans (PIP); Identify a broad range of approaches, options, and possible outcomes for addressing performance and conduct; Ensure performance- and/or conduct-based actions are supported by the evidence; Consult with Agency's Office of the General Counsel (OGC) and obtain legal review where appropriate; Maintain ER case files and other related documentation; Present training on a variety of ER topics.



### OGC

Serve as the legal representative of the Agency; Conduct legal review of performance- and/or conduct-based actions, when required by law, rule, or regulation, or when requested by either ER or the relevant manager; Provide advice regarding employee performance and/or conduct, as well as any other personnel issue, when required by law, rule, or regulation, or when requested by either ER or the relevant manager; Partner with ER/LR to assist supervisors within the Agency in managing employee performance and conduct.



# Performance Planning



# Creating a Performance Plan

*This fact sheet is intended for employees in positions covered by the Department of Commerce Five-Level Performance Management System under Department Administrative Order (DAO) 202-430  
Don't know your performance management system?  
Speak with your supervisor or Primary Administrative POC*

**Performance Plans** are the documentation of performance expectations communicated to employees by supervisors. Performance Plans should be reviewed periodically throughout the appraisal period and updated as priorities and projects change. Plans are documented on the CD-541, available [here](#).

## **Who is responsible for creating the performance plan?**

The process should involve both the rating official (supervisor) and the employee. When employees are involved in the process, they better understand their expectations and have ownership of their work. However, it is ultimately management's responsibility to set expectations. If a rating official and an employee disagree on the contents of the Performance Plan, the approving official (typically the second-level supervisor) makes the final decision.

## **Linking Performance Plans to Organizational Goals**

Strategic management of human capital requires that performance management systems link individual, team, and work unit performance to organizational goals and desired results. This requirement is a key provision of the DOC Performance Management system. All rating officials and employees should be familiar with the strategic goals and objectives at DOC, their bureau, and their office prior to creating their Performance Plans. Managers and supervisors can establish a clear linkage between the goals of their work units and the strategic goals of the Department by completing the following steps:

1. Review the specific goals and objectives in the DOC, bureau, and office annual strategic plans.
2. Select the DOC Strategic Goal that relates to the Critical Element (see the DOC Strategic Plan at <https://www.commerce.gov/file/us-department-commerce-2018-2022-strategic-plan>).
3. From the DOC Strategic Plan at the link above, input the Strategic Objective that your bureau supports under the selected Goal.
4. Input the relevant NOAA Mission or Objective in the "Bureau Goal" box.

## **What is included on a performance plan?**

Each employee's Performance Plan includes a minimum of three and a maximum of five Critical Elements and associated Performance Standards. The policy also requires the use of the defined Generic Performance Standards, available [here](#).

## **When are performance plans created?**

The appraisal period for General Schedule (GS) and Federal Wage System (FWS) employees is October 1st to September 30th and for Wage Marine employees is November 1st to October 31st. Performance Plans must be completed and signed by the rating official, approving official, and the employee within 60 days of the beginning of the appraisal period or an employee entering a covered position. Approximately four weeks before the start of each appraisal period, rating officials and employees will begin developing Performance Plans for the next appraisal period.



## CAPS | Mandatory Critical Elements Contract Management

**Applies to:** All Contract Officer Representatives

**Instructions:** Copy and paste the Critical Element below into the employee's Form CD-541 in Part I incorporated into another Critical Element or as a separate Critical Element


### CRITICAL ELEMENT

Ensures the technical requirements of assigned contracts are met. Monitors the technical effort being performed under the contract. Communicates with the Contractor as necessary to ensure the contractor is making satisfactory progress in performance of the contract. Directs the flow of technical matters between the Government and the Contractor.



### EVALUATION CRITERIA

Regularly communicates with Contracting Officer. Resolves technical issues in a timely manner. Contract deliverables are on time. Submissions to the Contracting Officer accurate and complete.





## CAPS | Mandatory Critical Elements Leadership/Management

**Applies to:** All Supervisors/Managers covered by the Commerce Alternative Personnel System (CAPS).

**Instructions:** Copy and paste the information below into the employee's Form CD-541 as a separate Critical Element or incorporated into an existing Critical Element (such as general supervision).

**Result of Major Activities:** Recruitment, retention, and development strategies are applied in hiring and retaining qualified employees.

### CRITICAL ELEMENT

It is recommended that the Critical Element where the Hiring Reform language is placed constitute at least 25%

### EVALUATION CRITERIA

Qualified employees are recruited, hired, retained, and successfully transitioned into the Federal service in line with organizational goals, budget considerations, staffing needs, and established timeframes and deadlines (selections made by hiring managers within 14 days) outlined in the Agency/bureau's recruitment and hiring plan.



## CAPS | Mandatory Critical Elements National Security Information

**Applies to:** All Security Managers, Security Specialists, positions with original classification authorities, and/or positions with duties significantly involving the creation or handling of classified information covered by the Commerce Alternative Personnel System (CAPS).

**Instructions:** Copy and paste the information below into the employee's Form CD-541 incorporated into another Critical Element.

**Result of Major Activities:** Classified materials are managed.

### CRITICAL ELEMENT

The management of all classified materials.

### EVALUATION CRITERIA

Classified materials are managed in accordance with applicable laws, executive orders, directives, and regulations.



## CAPS | Mandatory Critical Elements Purchase Card Holders

**Applies to:** All purchase card holders covered by the Commerce Alternative Personnel System (CAPS).

**Instructions:** Copy and paste the information below into the employee's Form CD-541 incorporated into an existing Critical Element.

**Result of Major Activities:**

- Authorized purchase card transactions are completed for official Government business only.
- Purchase card transactions are reconciled in the accounting system.
- Purchase card files are maintained.

### CRITICAL ELEMENT

The proper use of care of all authorized purchasing cards.

### EVALUATION CRITERIA

- Authorized purchases are completed in accordance with guidance on use of the purchase card outlined in Federal, Departmental, and Operating Unit laws, regulations, and policies.
- Purchase card transactions are accurately reconciled to the correct accounting codes by the established due dates.
- Transaction files are accurately maintained and include the required documentation specified in operating unit guidance.



## CAPS | Mandatory Critical Elements Purchase Card Approving Officials

**Applies to:** All purchase card Approving Officials covered by the Commerce Alternative Personnel System (CAPS).

**Instructions:** Copy and paste the information below into the employee's Form CD-541 incorporated into an existing Critical Element

**Result of Major Activities:**

- Purchase card purchases are reviewed
- Accounting codes in the purchase card system are reviewed.
- Reconciliation of cardholder transactions are verified.

### CRITICAL ELEMENT

The proper diligence and accountability of the approval process of all transactions.

### EVALUATION CRITERIA

- Purchase card activities are reviewed prior to the purchase in accordance with Federal, Departmental, and Operating Unit laws, regulations, policies and guidance as it relates to use of the purchase card.
- Accounting codes in the purchase card system are reviewed by established due dates.
- Reconciliation of cardholder transitions are accurately verified by established due date.





## CAPS | Mandatory Critical Elements

### Construction Work-in-Progress (CWIP) Activity Managers

**Applies to:** All CWIP Activity Managers covered by the Commerce Alternative Personnel System (CAPS).

**Instructions:** Copy and paste the information below into the employee's Form CD-541 as a separate Critical Element or incorporated into another Critical Element.

#### Cascaded Organizational Goals:

- Management Integration Goal: Achieve Organization and Management Excellence
- Bureau Goal: Provide Critical Support for Mission

#### Result of Major Activities:

- Internal controls are in place to prevent fraud, waste, abuse, and management inefficiency in the day-to-day administration programs.
- CWIP financial management responsibilities are met.
- Internal controls are created for acquiring, managing, and disposing of Real Property and Personal Property and for handling sensitive and personally identifiable information (PII).
- Guidance is provided to the CWIP Project Manager so that the CWIP Determination Letter can be drafted.
- The work required to record the capitalization of the costs during the production/construction of the asset is performed.



## CAPS | Mandatory Critical Elements

### Construction Work-in-Progress (CWIP) Activity Managers, continued

#### CRITICAL ELEMENT

CWIP Process – To comply with financial stewardship and accountability requirements in executing CWIP responsibilities. Weight is at least 15%, but no more than 25%

#### EVALUATION CRITERIA

- Internal controls comply with the Federal Manager's Financial Integrity Act (FMFIA) and the Chief Financial Officers Act and personally identification information (PII) is stored and disposed of in accordance with established procedures.
- A clean CWIP audit opinion is maintained for overseen projects.
- The mandatory annual CWIP training requirement is completed.
- The value of assets is accurately reported during the CWIP stage. All CWIP projects comply with the CWIP Policy and Procedures manual.
- Costs are properly submitted to finance for reclassification as capitalized assets upon completion of the production/construction.



## **CAPS | Mandatory Critical Elements**

### **Construction Work-in-Progress (CWIP) Project Managers**

**Applies to:** All CWIP Activity Managers covered by the Commerce Alternative Personnel System (CAPS).

**Instructions:** Copy and paste the information below into the employee's Form CD-541 as a separate Critical Element or incorporated into another Critical Element.

#### **Cascaded Organizational Goals:**

- Management Integration Goal: Achieve Organization and Management Excellence
- Bureau Goal: Provide Critical Support for Mission

#### **Result of Major Activities:**

- Internal controls are in place to prevent fraud, waste, abuse, and management inefficiency in the day-to-day administration programs.
- CWIP financial management responsibilities are met.
- Internal controls are created for acquiring, managing, and disposing of Real Property and Personal Property and for handling sensitive and personally identifiable information (PII).
- A CWIP Determination Letter is provided to the CWIP Activity Manager for all construction-related activities.
- Estimated schedule dates of design start, construction completion/costs, BOD and/or acceptance date/placed in service and all required documentation are provided to the CWIP Activity Manager.



## CAPS | Mandatory Critical Elements

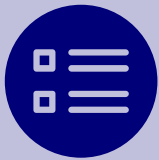
### Construction Work-in-Progress (CWIP) Project Managers, continued

#### CRITICAL ELEMENT

CWIP Process – To comply with financial stewardship and accountability requirements in executing CWIP responsibilities. Weight is at least 15%, but no more than 25%.

#### EVALUATION CRITERIA

- Internal controls comply with the Federal Manager’s Financial Integrity Act (FMFIA) and the Chief Financial Officers Act and personally identification information (PII) is stored and disposed of in accordance with established procedures.
- A clean CWIP audit opinion is maintained for overseen projects. CWIP projects comply with the NOAA Construction Work in Progress (CWIP) Policy and Procedures Manual.
- The mandatory annual CWIP training requirement is completed.
- Accounting codes used on all transactions (CWIP and non-CWIP) are generally correct.
- Obligating documents are provided to the CWIP Activity Manager prior to obtaining authorizations.
- A formal analysis is performed annually to determine if an impairment situation has occurred and if the CWIP activity is viable or likely to be completed.



# Performance Review Materials



# CAPS | Summary Guidance for Benchmark Performance Standards

Below is the benchmark criterion across critical attributes that can be used to evaluate performance across CAPS employees

Low Performance  
Benchmark

High Performance  
Benchmark



Performance Attributes	0 – 39%	40 – 59%	60-79%	80 – 100%
<b>Work Results</b>	Work not successfully completed	Minimally acceptable work results	Work results were accurate, effective and efficient	Exemplary work resulted in maximum impact
<b>Guidance</b>	Failed to follow directions, guidance and procedures	Procedures were minimally correct	Minimal guidance required; brought suggested revisions to supervisor's attention	Guidance rarely, if ever, required
<b>Initiative/ Independence</b>	None	Rarely offered to provide additional support	Developed proposals for new tasks and activities with input from supervisor	Continuously found new and better ways of performing work
<b>Knowledge</b>	Insufficient technical knowledge/skill	General technical understanding	Superior technical knowledge in all tasks	Exceptional technical knowledge; beyond expectations for position
<b>Quality</b>	Work did not meet minimum specifications	Products were completed with adequate quality	Consistently above average quantity/quality of work	Exceptional quality; rarely room for improvement; serves as benchmark
<b>Originality</b>	None	Products met stated requirements	Originality and creativity in assignments	Exceptional originality and creativity
<b>Problem Solving</b>	Routine problems were not resolved satisfactorily	Routine problems dealt with satisfactorily	Complex problems addressed as they became known and dealt with skillfully and resourcefully	Unforeseen problems solved with dedicated perseverance; conflicts anticipated and avoided through creative alternatives



## CAPS | Summary Guidance for Benchmark Performance Standards, continued

Below is the benchmark criterion across critical attributes that can be used to evaluate performance across CAPS employees

Low Performance  
Benchmark

High Performance  
Benchmark



Performance Attributes	0 – 39%	40 – 59%	60-79%	80 – 100%
<b>Communication</b>	Written and oral communications poor and not understandable	Written and oral communication generally understandable	Written and oral communications clear, convincing and effective	Complex ideas presented clearly to varied and diverse audiences; desired outcome achieved
<b>Cooperation</b>	Exhibited uncooperative/ unresponsive behavior	Reasonable degree of cooperation with others	Promoted positive and productive relations	Forged new cooperative relations (internal and external)
<b>Organizational Prestige</b>	Negative impact to organization	Minor impact to organization	Increased organizational prestige and recognition	Enhanced world class reputation of organization
<b>Timeliness</b>	Work unacceptably late	The majority of final work products submitted by established deadlines, but required rework or major editing.	Final work products submitted by established deadlines without the necessity for rework or major editing required	Work often completed early
<b>Leadership</b>	Poor leadership skills; provided no positive direction to staff	Sufficient leadership skills	Outstanding leadership skills; predetermined goals always attained	Exemplary leadership skills; goals consistently surpassed
<b>Administration</b>	Unable to organize and prioritize work and/or wasted time	Able to organize work sufficiently to meet deadlines without too many delays	Made appropriate, useful suggestions to improve administrative processes	Derived and implemented improvements in administrative processes
<b>Teamwork</b>	Ineffective in working with others	Demonstrated reasonable cooperation in working with others	Contributed positively to group	Initiated suggestions to better group



# CAPS | HCCS End of Year Performance Checklist

## Supervisory Appraisal Checklist Performance Management System



### Appraisal Preparation

- Supervisor requests and obtains a list of accomplishments from employees

### Supervisor Prepares for Performance Review Meeting with Employees

- Reviews performance plans and major activities or required results related to the performance elements
- Reviews notes from progress review(s)
- Considers input from other sources on employee's performance (i.e., employee served on a detail and supervisor was supplied information on employee's performance while on detail)
- Schedules date and time to conduct the preliminary performance review meetings

### Conduct Performance Review Meeting with Employees

- Presents and discusses assessment of employee's performance and results achieved. *Rating officials may not discuss the recommended score, rating, pay increase or bonuses at this meeting.* Date Completed \_\_\_\_\_
- Upon completion of the performance review meeting, rating officials submits recommendations on scores, ratings, performance pay increases and bonuses to the Pay Pool Manager

### Evaluation Feedback Meeting with Employees

- Upon receiving the signed Form CD-541, "Performance Appraisal and Position Review Form" from the Pay Pool Manager with his/her decision, the rating official completes, signs, and dates the Performance Summary Rating Sheet
- Conducts an "Evaluation Feedback Meeting" with each employee to present the final appraisal decision. Date Completed \_\_\_\_\_
- The employee signs and dates the Summary Rating Sheet and is given a copy





## Review and Maintenance of Employee Performance File (EPF)



All supervisors are responsible for **frequent review** and **maintenance** of Employee Performance Files (EPF) for each direct report according to the requirements of HR Guidance Bulletin #FY13—008. Supervisors should use the following checklist for each of their employees to confirm compliance with the requirement.

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### As a Supervisor, do you:

- Have a file for each employee on your team?
- Lock all files if physical, or password protect them if on a computer?
- Restrict employee access to the files or representative and agency officials with a need for access in performance of their duties?
- Destroy all documents older than four years by shredding or burning?
- Destroy all documents when an employee's performance has been acceptable for one year after an appraisal or an action related to unacceptable performance?
- Remove or discard the filing of all employee documents that are not directly related to performance?



## Review and Maintenance of Employee Performance File (EPF), continued

The following checklist should be completed during the current year, plus fewer than four years old:

	Current	FY XX	FY XX	FY XX	FY XX
Timely Performance Plan signed by approving official, rating official, and employee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Timely Progress Review signed by approving official, rating official, and employee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Timely Summary rating signed by approving official, rating official, and employee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Final summary rating indicated	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Appraisal narrative supports rating	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

***Supervisors must also maintain the following performance-related documents (if applicable):***



- Performance Improvement Plan(s) PIP(s), notices of proposed reduction-in-grade or removal when based on performance, training required to correct performance, other unacceptable performance-related documents
- Individual Development Plans (IDPs)
- SF-50—Notification of Personnel Action—when documenting performance-based awards
- Other performance-related documents and records



# CAPS | Performance Credit for RIF Purposes

## UNDERSTANDING RIF PROCEDURES

When an agency is faced with separating or downgrading employees for reasons including, but not limited to, reorganization, lack of work, or a shortage of funds, Reduction in Force (RIF) regulations determine which employees keep their present position and/or which employees have a right to a different position if available\*

### How Do RIF Procedures Work?

When a RIF is necessary, affected employees are grouped into competitive area, local commuting area, and then competitive level (generally including positions with the same grade, classification series, and official tour of duty). After employees are grouped into competitive levels, the agency will rank the employees within that level according to the four retention factors.

Employees are grouped by:



**Tenure:** Generally non-probationary competitive employees in one group, career-conditional or probationary employees in a second, and term or temp employees in a third



**Veterans' Preference:** three groups depending on service-connected disability and other statuses

Within each subgroup, the agency ranks the employees by their respective service dates, with employees with longer tenure being at the top of the list. Finally, employees receive extra retention service credit for performance based upon the average of their last three annual performance ratings, which essentially means that top performers may be bumped up on the list even if they have a shorter career tenure.

The resulting "**Retention Register**" is a ranking of employees within each competitive level and subgroup, such that the employee with the highest standing is at the top of each subgroup, and the employee with the lowest standing is at the bottom

\*All Federal agencies follow the RIF procedures under Title 5, Code of Federal Regulations (C.F.R.), Part 351. The procedures require that the following four factors be used in releasing employees: (1) Type of employment; (2) Veterans' preference; (3) Length of service; and (4) Performance rating.



## CAPS | Performance Credit for RIF Purposes, continued

### How Does Credit for Performance Apply Under CAPS?

The assignment of RIF credit for performance scores is defined on pages [67 and 68 of the CAPS Operating Procedures Manual](#). After each employee in the pay pool is given a score, the top 30% of scores within that same pay pool receive 10 additional years of service to their RIF service computation date.



Any employee that is rated eligible, but not within the top 30% of scores receives five additional years of service. Employees that are rated ineligible receive no additional credit.

### Need Additional Assistance?

#### OPM RIF Website

<http://www.opm.gov/policy-data-oversight/workforce-restructuring/reductions-in-force/>



#### DOC RIF Policy

[http://hr.commerce.gov/s/groups/public/@doc/@cfoasa/@ohrm/documents/content/prod01\\_009994.pdf](http://hr.commerce.gov/s/groups/public/@doc/@cfoasa/@ohrm/documents/content/prod01_009994.pdf)

*\*All Federal agencies follow the RIF procedures under Title 5, Code of Federal Regulations (C.F.R.), Part 351. The procedures require that the following four factors be used in releasing employees: (1) Type of employment; (2) Veterans' preference; (3) Length of service; and (4) Performance rating.*



## CAPS | Payout Rules

When employees are recognized for their performance, they understand what achievements and behaviors are desired by the organization and they feel motivated to work toward organizational goals and priorities. Employees are willing to put forth that extra effort to get the job done because they know their efforts are valued.

### Payout Rules

In order to ensure that the highest performing employee is rewarded commensurate with his or her achievements and treated fairly based on score and position level, the following payout rules apply:

- The highest scored employee within a pay pool receives the highest relative percentage payout within his or her career path
- Lower scored employees cannot receive a greater relative percentage payout than higher scored employees
- Employees in lower intervals are eligible for higher percent increases than employees in higher intervals (similar to under the General Schedule where Within-grade Increases (WGI) were more frequent at the lower steps than once the employee reached the higher steps)

### So how is the amount of a performance increase determined?

Within each pay pool, the amount of an employee's performance increase is based on the performance rating and score and is determined based on the pay pool funding amount, the range of increases allowed according to the employee's interval level within their pay band, the scores of the other employees in the pay pool, and the employee's current salary.





## CAPS | Pay Intervals

When employees are recognized for their performance, they understand what achievements and behaviors are desired by the organization and they feel motivated to work toward organizational goals and priorities. Employees are willing to put forth that extra effort to get the job done because they know their efforts are valued.

### Pay Intervals

Each pay band is divided into five intervals – the first three are for all positions and the last two are for supervisory positions only. Progression through the intervals occurs through performance increases and is faster at the lower pay bands and lower intervals within the pay bands than progression at the higher intervals and pay bands. Eligibility for a salary increase is based on pay band and interval, as shown below:

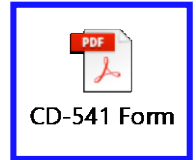
Career Path	Pay Band	Increase Eligibility			
		Interval 1	Interval 2	Interval 3	Interval 4-5 (Supervisory Only)
<b>ZP</b> Scientific and Engineering	I	0-14%	0-12%	0-7%	0-7%
	II	0-20%	0-16%	0-8%	0-8%
	III	0-15%	0-12%	0-7%	0-7%
	IV	0-10%	0-8%	0-6%	0-6%
	V	0-6%	0-5%	0-4%	0-4%
<b>ZT</b> Scientific and Engineering Technician	I	0-12%	0-10%	0-7%	0-7%
	II	0-12%	0-8%	0-6%	0-6%
	III	0-8%	0-6%	0-5%	0-5%
	IV	0-7%	0-5%	0-3%	0-3%
	V	0-6%	0-4%	0-3%	0-3%
<b>ZA</b> Administrative	I	0-14%	0-12%	0-7%	0-7%
	II	0-20%	0-16%	0-8%	0-8%
	III	0-15%	0-12%	0-7%	0-7%
	IV	0-10%	0-8%	0-6%	0-6%
	V	0-6%	0-5%	0-4%	0-4%
<b>ZS</b> Support	I	0-12%	0-10%	0-7%	0-7%
	II	0-12%	0-8%	0-6%	0-6%
	III	0-8%	0-6%	0-5%	0-5%
	IV	0-7%	0-5%	0-3%	0-3%
	V	0-6%	0-4%	0-3%	0-3%



# CAPS | CD-541 Form Instructions

## Filling out the CD-541 Performance Appraisal and Position Review (1 of 3)

This fact sheet is intended for employees in positions covered by the Department of Commerce Alternative Personnel System (CAPS) under the Federal Register Notice of December 24, 1997. Below, you will find instructions on filling out a CD-541 for your employee.



Form CD-541 (9-08) U.S. DEPARTMENT OF COMMERCE

**COMMERCE ALTERNATIVE PERSONNEL SYSTEM – PERFORMANCE MANAGEMENT RECORD**  
**PERFORMANCE APPRAISAL AND POSITION REVIEW**

---

**1** Employee's Name \_\_\_\_\_

Position/Title \_\_\_\_\_

Career Path/Series/Band \_\_\_\_\_

Organization \_\_\_\_\_ Rating Period \_\_\_\_\_

1. Enter the employee's name, position title, career path, series, band, organization, and the beginning and end dates of the rating period (normally October 1st to September 30th).
2. Each employee must have two to six Critical Elements in their Performance Plan. For each Critical Element, fill out the employee's name, the Rating Period, and the Critical Element.

**SECTION 1 - PERFORMANCE PLAN**

Employee's Name	Rating Period	Element No.
		1 of

**ITEM 1. Performance Element, Objective and Point Weight**

Critical Element:

**2**

For guidance on writing Critical Elements and Performance Standards, review the Fact Sheet [Creating a New Performance Plan](#)



## CAPS | CD-541 Form Instructions

### Filling out the CD-541 Performance Appraisal and Position Review (2 of 3)

3	Objective:
4	Point Weight: The weight must reflect the importance of the element or the time required to perform it, or both. Element weight must be in 5-point increments, with no element weight higher than 60 points, and all element weights must equal 100 points.
5	ITEM 2. Major Activities or Required Results Related to the Above Element <i>(Maximum of 5)</i>
6	ITEM 3. Evaluation Criteria <i>(Benchmark performance standards must be used; add supplemental standards, if needed.)</i>

3. Enter the Objective for the Element.
4. Enter the Point Weight for the Element.
5. Enter the Activities or Results for the Element.
6. Enter the Supplemental Performance Standards for the Element.

For guidance on writing Critical Elements and Performance Standards, review the Fact Sheet [Creating a New Performance Plan](#)





## CAPS | CD-541 Form Instructions

### Filling out the CD-541 Performance Appraisal and Position Review (3 of 3)

- When all Critical Elements are entered, return to the Rating Official's Certification section on page 1. The Rating Official must review the employee's position description. After completing the performance plan and reviewing and making any necessary changes to the employee's Position Description, the Rating Official must certify that both are accurate and complete by checking both boxes as shown below.

#### RATING OFFICIAL'S CERTIFICATION

7

I Certify That:

This plan is a complete and accurate statement of the performance elements, objectives, and major activities that will form the basis of the employee's performance appraisal.

The performance plan and position description reflect similar objectives, duties and responsibilities.

Name and Title of Rating Official

Signature

Date

- The Performance Plan must be signed by the Rating Official, the Higher Level Supervisor, and the Pay Pool Manager prior to discussing the Performance Plan with the employee. A Reviewing Official signature is necessary only if the Pay Pool Manager is also the Rating Official. The employee should sign the Performance Plan at the time of the discussion to indicate that the plan was received.
- When all signatures have been collected, the Performance Plan is final.

### Making Changes to a Performance Plan

Changes can be made to a Performance Plan at any time during the appraisal period as long as they remain attainable by a competent employee in the position prior to the end of the appraisal period. Changes may occur during the year as new projects arise, priorities and resources change, or as work assignments change, for example. Changes can be made directly to the Performance Plan or can be attached to the plan on a separate piece of paper. Any changes must be initialed and dated by the rating official, pay pool manager, reviewing official (if appropriate), and the employee.



# CAPS | CD-541 Form Instructions

## Documenting a Progress Review

Below, you will find instructions for documenting a progress review on the CD-541.

1. Locate the employee's CD-541 form with the documented and signed Performance Plan.

<b>2</b>	<p><b>ITEM 4. Mid-Cycle/Progress Review</b> (Check appropriate box)</p> <p><input type="checkbox"/> 1. Review indicates performance is <b>Eligible</b>.</p> <p><input type="checkbox"/> 2. Review indicates performance is <b>Eligible</b>; however, there are performance deficiencies, as stated below.</p> <p><input type="checkbox"/> 3. Review indicates performance is <b>deficient</b> and a performance improvement plan is needed. Deficiencies are stated below. (If this block is checked, supervisor must contact the servicing HR office.)</p>
<b>3</b>	<p><b>Key Achievements, Strengths:</b> Be specific and relate these to performance elements. List areas where work was done well and identify the strengths exhibited by the employee during the rating period.</p>
<b>4</b>	<p><b>Deficiencies, Areas of Concern:</b> (Must be filled in if box 2 or box 3 above is checked): Be specific and relate these to individual performance elements. Note deficiencies or areas where performance has declined during the rating period.</p>
<b>5</b>	<p><b>Suggestions/Strategies for Improvement:</b> List areas in which the employee might enhance performance. Comments can also identify suggestions for career growth and development.</p>

2. On the Mid-Cycle/Progress Review page, check the box indicating whether or not the employee's performance is at Eligible for all Critical Elements. If the employee is not performing at an Eligible level for one or more Critical Elements, contact your servicing Human Resources office for additional information on next steps.
3. Enter a narrative assessment on the employee's key achievements and strengths for the first part of the appraisal period.
4. Enter a narrative assessment of any deficiencies or areas of concern.
5. Enter any suggestions for areas in which the employee might enhance their performance for the remainder of the appraisal period including suggestions for training or development.
6. When the Progress Review is complete, the form must be signed and dated by the Rating Official and employee in the box below the narrative assessment at the time of the discussion. Although only one Progress Review is required by the policy, additional Progress Reviews can be held and documented in the additional spaces.

<b>6</b>	Employee's Initials	Date	Rating Official's Initials	Date
Mid-Cycle Progress Review				
Progress Review				
Progress Review:				



## CAPS | CD-541 Form Instructions

### Rating Employee Performance (Annual or Close-Out) (1 of 2)

Below, you will find instructions for rating an employee's performance on the CD-541.

1. Locate the employee's CD-541 form with the documented and signed Performance Plan.

<b>2</b>	<p><b>ITEM 5. Rating Official's End-of-Year Appraisal</b> <i>(Includes consideration of attached employee accomplishments)</i></p> <p><input type="checkbox"/> 1. Review indicates performance is <b>Eligible</b>.</p> <p><input type="checkbox"/> 2. Review indicates performance is <b>Eligible</b>; however, there are performance deficiencies, as stated below.</p> <p><input type="checkbox"/> 3. Review indicates performance is <b>deficient</b> and a performance improvement plan is needed. Deficiencies are stated below. <i>(If this block is checked, supervisor must contact the servicing HR office.)</i></p> <p><input type="checkbox"/> 4. Review indicates that a PIP has not been successfully completed and performance is rated <b>Unsatisfactory</b>.</p>
<b>3</b>	<p><b>Key Achievements, Strengths:</b> Be specific and relate these to performance elements. List areas where work was done well, and identify the strengths exhibited by the employee during the rating period.</p>
<b>4</b>	<p><b>Deficiencies, Areas of Concern:</b> <i>(Must be filled in if box 2 or box 3 above is checked):</i> Be specific and relate these to individual performance elements. Note deficiencies or areas where performance has declined during the rating period.</p>
<b>5</b>	<p><b>Suggestions/Strategies for Improvement:</b> List areas in which the employee might enhance performance. Comments can also identify suggestions for career growth and development.</p>

2. On the Rating Official's End-of-Year Appraisal page, check the box indicating whether or not the employee's performance is at Eligible for all Critical Elements. If the employee is not performing at an Eligible level for one or more Critical Elements or if the employee will be placed on a Performance Improvement Plan (PIP) or has already completed a PIP, contact your servicing Human Resources office for additional information on next steps.
3. Enter a narrative assessment on the employee's key achievements and strengths for the entire appraisal period.
4. Enter a narrative assessment of any deficiencies or areas of concern.
5. Enter any suggestions for areas in which the employee might enhance their performance for the remainder of the appraisal period including suggestions for training or development.
6. After completing the narrative section, flip to Section 2 – Performance Summary Rating. Again, enter the employee's name, organization, and appraisal period (including this information on each page is necessary in case the pages are separated).



# CAPS | CD-541 Form Instructions

## Rating Employee Performance (Annual or Close-Out) (2 of 2)

Below, you will find instructions for rating an employee’s performance on the CD-541.

- 7. Under Item 1. Scoring, list the titles of each Critical Element and the weight as originally indicated on the Performance Plan. Using the ELEMENT POINT RANGES AND BENCHMARK PERFORMANCE STANDARDS TABLE on the next page, assign a Score to each Critical Element.
- 8. When all Critical Elements have been scored, sum the individual Scores and enter the total in the TOTAL SCORE space. If one or more Critical Elements was rated “Unsatisfactory,” enter “Unsatisfactory” in the TOTAL SCORE space.

7	Performance Element	Weight	Score
1.			
2.			
3.			
4.			
5.			
6.			
	RIF Service Credit	8	TOTAL SCORE

- 9. Under Item 2. Rating and Payouts, put a check in the appropriate box to indicate the employee’s rating (either “Eligible” or “Unsatisfactory.” After the pay pool process has completed, fill out the section by following the steps below.

**ITEM 2. Rating and Payouts**

9  **Eligible** *(All elements scored in the Eligible range)*

**Unsatisfactory** *(At least one element rated Unsatisfactory)*

10  **RIF Service Credit**     10 Years     5 Years

11 Performance Pay Increase Percentage \_\_\_\_\_ Dollar Amount \_\_\_\_\_ Bonus Amount \_\_\_\_\_

- 10. Enter the Performance Pay Increase Percentage and Dollar Amount, and the Bonus Amount as applicable based on determinations from the pay pool process.
- 11. Select the box to indicate the employee’s RIF Service Credit – 10 years for those employees with the top 30% of scores in the pay pool; 5 years for all other Eligible rated employees.
- 12. The form must be signed by the Rating Official, the Higher Level Supervisor (if appropriate), and the Pay Pool Manager prior to discussing the rating and payout with the employee. A Reviewing Official signature is necessary only if the Pay Pool Manager is also the Rating Official. The employee should sign the form at the time of the discussion to indicate that the rating was received.



## CAPS | Recognizing Excellent Performance

When employees are recognized for their performance, they understand what achievements and behaviors are desired by the organization and they feel motivated to work toward organizational goals and priorities. Employees are willing to put forth that extra effort to get the job done because they know their efforts are valued.

### So How Should Excellent Performance be Recognized?

It is important to note that the term recognition refers to more than just monetary awards. Recognition means any of the ways in which an employee receives a positive consequence for good performance and can include a range of activities such as a simple “thank you,” a public ceremony, an annual bonus, or a salary increase.

Certainly employees like to receive monetary bonuses, but in terms of motivating long-term performance, focusing on nonmonetary recognition is an effective tool.

### Performance is most effectively recognized when it:

#### ❑ *Specifically describes the achievement or behavior*

When the employee has worked hard on an achievement and the supervisor recognizes it specifically (rather than just a general “great work!”), the employee knows exactly what he or she is being recognized for, feels that his or her work was valued, and is likely to repeat the performance.

#### ❑ *Links to organizational objectives or goals*

Recognition that reinforces organizational goals and objectives encourages employees to work toward the organization’s priorities. Rewarding actions and behaviors that do not further the organization’s goals will be confusing to employees and will reinforce the wrong actions and priorities.

#### ❑ *Is granted as soon as possible following the achievement or behavior*

Supervisors should strive to recognize the desired action or behavior as soon as possible after it occurs when it is still fresh in the employee’s memory.

#### ❑ *Is personal and tailored to the individual*

Based on their personalities and life situations, employees may be more or less motivated by different types of recognition. It is important to know your employee and understand what might best motivate his or her performance.



## CAPS | Having Difficult Conversations

**Remember**, when having a difficult conversation with an employee:



- Reiterate your expectations
- Discuss the employee's performance standards
- List the Critical Element(s) that the employee is not performing up to standard
- Identify any obstacles keeping the employee from being fully successful. Offer solutions and provide assistance
- Explain what the employee must do to bring his/her performance to an acceptable level
- Discuss the plan to improve and ensure the employee fully understands. Collaborate on a solution.

**TIP:** Most performance problems can be resolved through effective communication between supervisors and their employees. This provides you the opportunity to review and clarify expectations and discuss performance problems.



## CAPS | Having Difficult Conversations

### Employee Behavior

### Supervisor Suggestions



*Disagrees with everything Supervisor is saying*

- Prior preparation is important
- Role plays with peers and ER staff may help
- Bring documentation – stick to facts and evidence
- Start conversation with a positive statement (compliment the employee, thank employee for his time)
- Use a positive/constructive rather than an accusatory tone
- Creating an engaging/collaborative ambience helps
- Option to regroup after a short break
- Stay calm and do not respond angrily or interrupt
- Maintain an objective emotional distance
- Give ample opportunity for employee to state his case
- Acknowledge human emotions, express empathy
- Try to find a common ground, however “slim” it is
- Steer conversation around future next steps
- Offer assistance and support



*Displays overly emotional behavior*

- Bring documentation – stick to facts and evidence
- Start conversation with a positive statement (compliment the employee, thank employee for his time)
- Use positive/constructive rather than accusatory tone
- Creating an engaging/collaborative ambience helps
- Option to regroup after a short break
- Avoid important dates if possible
- Inform employee about EAP services if needed
- Stay calm and do not respond angrily or interrupt
- Maintain an objective emotional distance
- Give ample opportunity for employee to state his case
- Acknowledge human emotions, express empathy
- Try to find a common ground, however “slim” it is
- Steer conversation around future next steps
- Offer assistance and support



*Employee has no reaction*

- Continue conversation as planned
- Bring documentation – stick to facts and evidence
- Creating an engaging/collaborative ambience helps
- Ask employee regarding his/her reaction, probe further
- Stay calm and do not respond angrily or interrupt
- Maintain an objective emotional distance
- Give ample opportunity for employee to state his case
- Acknowledge human emotions, express empathy
- Try to find a common ground, however “slim” it is
- Steer conversation around future next steps
- Offer assistance and support

**REMINDER: If an employee is unwell, reschedule the conversation**



# Post-Annual Performance Review

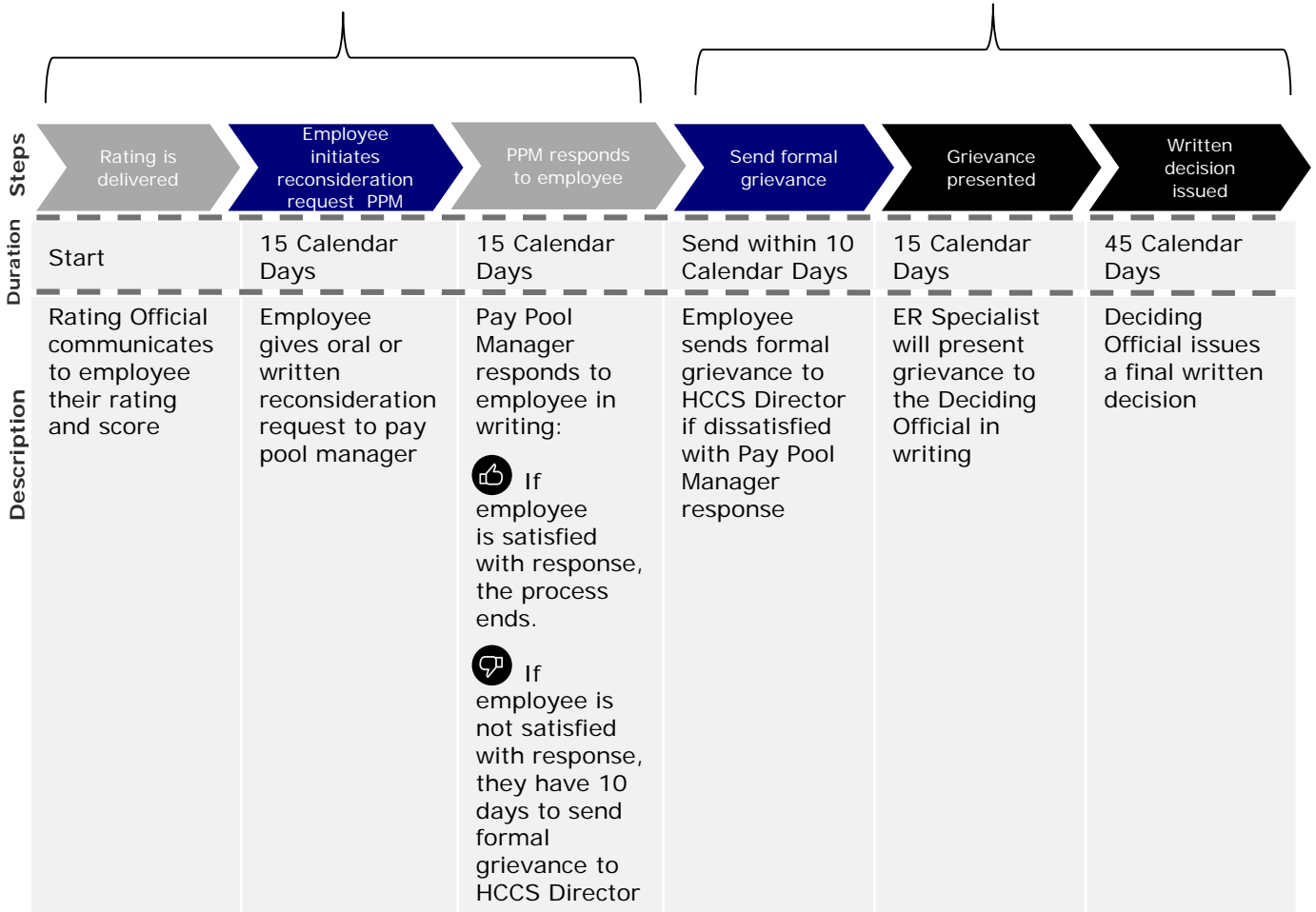




# CAPS | Grievance System Process

**Step 1:** Request for Reconsideration Performance Management Handbook Chapter 9 (click [here](#))

**Step 2:** Formal Grievance DAO 202-771 (click [here](#))\*



\* DAO 202-771 includes detailed requirements for submission of a formal grievance.

Bargaining unit employees must follow the procedures contained in the applicable negotiated grievance procedure

## KEY

Rating Official (RO) / Pay Pool Manager (PPM) Action Needed

Employee Action Needed

HCCS Action Needed



# Additional Resources



## Performance Management and Employee Relations POCs

**Questions on Performance Management?** Rating Officials may contact Carol Davison ([CDavison@doc.gov](mailto:CDavison@doc.gov)), HCCS's Performance Management Specialist.

**Questions on performance management deficiencies or grievance procedures?** Contact your designated Employee Relations Specialist!



Bureau/Office	Specialist	Contact Information
Performance Management	Carol Davison	<a href="mailto:CDavison@doc.gov">CDavison@doc.gov</a> 202-282-2537
BIS/MBDA/EDA	Leanne Southland	<a href="mailto:LSouthland@doc.gov">LSouthland@doc.gov</a> 202-482-3644
NTIA/ITA HQ	Richard Costello	<a href="mailto:RCostello@doc.gov">RCostello@doc.gov</a> 202-482-2191
OAM/OPOG/OFEQ ITA Field	Thomasina Williams	<a href="mailto:TWilliams4@doc.gov">TWilliams4@doc.gov</a> 202-482-4720
All other OS Offices	Kelly Spence	<a href="mailto:KSpence@doc.gov">KSpence@doc.gov</a> 202-482-8015



## CAPS | Performance Management Key Terms

Performance management is a process which:

- 1) Integrates systems for appraising, rewarding, and connecting individual employee personnel with organizational planning and management systems; and
- (2) Results in increased productivity for individuals and organizations

Key Term	Description
<b>Performance Pay Increase</b>	An adjustment to base pay tied to the employee's rating, performance score, and career path and interval.
<b>Performance Plan</b>	The document developed at the beginning of the appraisal period which defines the critical elements and performance standards against which an employee's performance is evaluated.
<b>Performance Review Meeting</b>	The first of two required appraisal meetings between a rating official and employee. The purpose of this meeting is to discuss the employee's accomplishments and give the employee an opportunity to present an assessment of the results achieved against the critical elements and standards established in the approved performance plan.
<b>Progress Review</b>	A formal meeting between the Rating Official and employee at the midpoint of the appraisal cycle at which the employee's progress toward meeting the objectives in his or her performance plan is discussed. If necessary, changes to the plan are discussed at this meeting, and the supervisor makes any necessary changes and obtains approval from the Pay Pool Manager or, if appropriate, the reviewing official. Any performance deficiencies the Rating Official has noted are also discussed at this meeting along with recommendations for improvement.
<b>Rating</b>	The written record of the appraisal of each critical element and the assignment of a rating level (Eligible or Unsatisfactory).
<b>Rating Official</b>	The person responsible for developing the Performance Plan with employee involvement, establishing performance standards for each element, appraising performance.
<b>Major Activity</b>	A task, duty, or project that needs to be accomplished in support of a Critical Element.



## CAPS | Performance Management Key Terms, continued

Key Term	Description
<b>Model Rating</b>	The modal rating is the most frequently assigned rating in the pay pool.
<b>Performance Management Record</b>	CAPS Performance Management Record, CD-541, which documents an employee's Performance Plan, progress review(s), and appraisal.
<b>Objective</b>	A brief statement that defines what a Critical Element is intended to accomplish.
<b>Payout</b>	Term used to describe the decision made regarding performance pay increases.
<b>Pay Pool</b>	The organizational level in which employees in similar career paths (i.e., ZP, ZA, ZT, and ZS) are combined for performance decisions including ratings, scores, pay increases, bonuses, and additional Reduction-in-Force (RIF) service retention credit. If a career path in an organization contains only one employee, this employee will constitute his or her own pay pool. If insufficient funds exist in the pay pool, funds may be transferred from other pay pools according to existing procedures.
<b>Pay Pool Manager</b>	The manager who controls the pay pool for his or her organization and who is responsible for rendering the final decisions on ratings, scores, performance pay increases, and bonuses.
<b>Performance Bonus</b>	A one-time cash award based on the performance cycle, which does not affect base pay.
<b>Performance Improvement Plan</b>	A plan given to an employee for the purpose of identifying performance deficiencies and how to correct them to attain and sustain performance at the Eligible level.



## HCCS Useful Links

### Awards

- [Honor Awards](#)
- [Commerce Alternative Personnel System \(Formerly Demo Project\)](#)
- [Performance Management Recognition Handbook \(General Workforce\)](#)
- [Contractors and Awards](#)
- [Guidelines for SES Special Act Award Nominations](#)

### Performance Management: Commerce Alternative Personnel System (CAPS)

- [Performance Appraisal](#)
- [Pay Administration](#)

### Performance Management: GS, FWS & Wage Marine

- [Performance Management System Handbook](#)
- [DAO 202-430, Performance Management System](#)
- [Performance Management System Definitions](#)
- [Performance Management System Fact Sheet](#)
- [Performance Management Quick Reference Guide](#)

### Other Performance Management Resources

- [Commerce Alternative Personnel System \(Formerly Demo Project\) Operating Manual](#)
- [Form CD-430 - Performance Management Record](#)
- [5-Level Performance Management System \(Broadcast Email\)](#)
- [Department's Briefing Video](#)
- [Commerce Strategic Plan](#)

