

## **ASSESSMENT GUIDE**

Interim Review, End of Year Performance Assessments, Closeout Assessment, Early Annual Recommended Rating

### **Interim Review**

Reference: DoD 1400.25-M, Subchapter 1940, SC1940.6.4.

- At least one formal interim review shall be prepared, communicated to the employee, and documented in the Performance Appraisal Application (PAA) during the appraisal period. This documentation will serve as a copy of the interim review that is available to the employee.
- A formal interim review shall acknowledge achievements and suggest areas for improvement based on job objectives and contributing factors assigned, and provide meaningful dialogue between the rating official and the employee. In the event that the immediate supervisor is unable to accomplish the review, he or she shall provide meaningful input to the designated official responsible for completing the interim review. The designated official is determined on a case by case basis.
- Although not mandatory, employees are strongly encouraged to provide a self-assessment to document accomplishments and help judge progress.
- DoDEA requires higher level reviewer approval for the interim review.
- An interim review is required when an employee is hired in a position and is put under an approved performance plan for 90 days or more in a rating cycle.
- Interim review for temporary assignment - At the time of an employee's temporary assignment, the employee (provides input), temporary supervisor, and supervisor of the permanent position jointly determines whether to adjust the employee's assigned job objectives. Both supervisors will also jointly determine when to provide feedback on performance to the employee to allow at least one formal interim review to be documented.

### **Closeout Assessments**

Reference: DoD 1400.25-M, Subchapter 1940, SC1940.6.5., SC1940.AP2.

- A closeout assessment is a narrative description of an employee's accomplishments and contributions based on job objectives and contributing factors during the current appraisal period.
- The purpose of a closeout assessment is to provide the gaining supervisor with data he or she can use to complete the employee's annual performance appraisal.
- A rating official shall prepare a closeout assessment for an employee when either the employee or the rating official changes positions (due to promotion, retirement, etc.) resulting in a new rating official for the employee.

- A closeout assessment is only required if an employee has been assigned to a specific supervisor and has been on an approved performance plan for more than 30 consecutive days. Multiple closeout assessments can be done in one rating cycle.
- If the rating official or employee movement occurs within 90 days before the end of the rating cycle, the rating official will prepare an Early Annual Appraisal and early recommended annual rating of record instead of a closeout assessment. The pay pool manager may allow exceptions to this policy based on individual circumstances.
- A supervisor shall prepare a closeout assessment for employees when they complete a temporary reassignment (detail, temporary assignment, etc.) or a rotational assignment (employees in developmental positions, interns, etc.), of at least 30 days as input for the employee's recommended rating of record.
- If a rating official leaves before providing an employee with a written closeout assessment, the employee should contact the higher level reviewer (HLR), and the HLR will prepare the closeout assessment.
- Although it is not mandatory, employees are strongly encouraged to prepare a self-assessment specifically for the closeout assessment.
- If an employee leaves the organization and the rating official does not prepare a closeout assessment, the rating official should "close" the record in the PAA.
- PAA Implications:
  - a. If the employee changes jobs, a new performance plan may be necessary. The previous performance plan/appraisal will need to be "closed" by the rating official using the "Close" functionality under Plans/Appraisals in Progress. In this case, after the closeout assessment is documented, the Rating Cycle End Date on the original performance plan/appraisal must be changed to 1 day prior to the effective date of the job change. The new performance plan is initiated by the gaining supervisor with a Rating Cycle Start Date equal to the effective date of the job change.
  - b. If the employee changes jobs and a new performance plan is not required, the rating official may transfer the current performance plan to the new rating official following completion of the closeout assessment.
  - c. If the supervisor changes jobs, the supervisor must complete closeout assessment and use the Change Rating Official feature to route the existing performance plan to the new supervisor. No changes to the Rating Cycle dates are needed.

### **Early Annual Recommended Rating**

Reference: DoD 1400.25-M, Subchapter 1940, SC1940.9.3.2 and SC1940.AP4.1 - AP4.1.2

- When the rating official or employee leaves a position (reassigned, resigned, promoted, demoted, retired, etc.) resulting in the rater and ratee relationship ending within 90 days of the end of the

rating cycle, the rating official shall prepare an early recommended annual rating of record for the employee.

- Rating officials should address achievements for each job objective and the associated contributing factor(s) to complete a narrative assessment similar to the end of year appraisal, and must include the recommended rating of record, share assignment, and payout distribution.
- Higher level review is required for the recommended rating of record, share assignment, and payout distribution prepared by the rating official.
- Employees are strongly encouraged to prepare self-assessment for an early annual rating of record.
- The period of time between the date of the event that triggered the early annual recommended rating of record and the normal end of the rating cycle shall be carried forward into the next appraisal period, resulting in a longer rating period for the following rating cycle. For instance, an employee is promoted 60 days before the end of regular appraisal period. The supervisor shall prepare an early annual recommended rating of record as of that date which, when reviewed, reconciled, and approved by the pay pool panel, shall be the employee's rating of record. The 60 days that were not covered or rated by the early recommended rating of record shall be appended to the new performance year, making it 14 months in length, and shall be assessed and rated at the normal end of the new appraisal period.
- When documenting the early annual recommended rating, the rating official must change the Rating Cycle End Date to reflect 1 day prior to the effective date of the event triggering the change.
- The gaining supervisor may submit additional comments to the pay pool panel in support of or in disagreement with the early annual recommended rating. However, the new supervisor may not change the recommended rating submitted by the previous supervisor.

### **End of Year Performance Assessments**

Reference: DoD 1400.25-M, Subchapter 1940, SC1940.9., SC1940.AP2.29

- A rating official will complete an end of year performance assessment for each eligible employee to include (1) a narrative assessment addressing each job objective, describing the employee's accomplishments and contributions relative to the performance expectations previously communicated to the employee, and (2) a recommended rating of record, number of shares and suggested distribution.
- Employees are encouraged but not required to provide a narrative self-assessment for each job objective to address their performance and contributions for the appraisal period.
- While conduct is a factor in employee performance assessments, a rating of record may not be lowered based solely on an employee's approved absence from work.
- The supervisor shall assign a rating to each job objective, factoring in all applicable supplemental information if the supervisor has limited direct knowledge of the employee's performance. Supplemental information can include, but is not limited to closeout assessments, work products, productivity metrics and customer feedback.

### End of Rater/Ratee Relationship

The following chart outlines the responsibilities of a Gaining and Losing Supervisor when there is an end to the Supervisor/Employee relationship *for any reason*. For special circumstances please contact the NSPS Program Office.

<b>Rater/Ratee Relationship Ends</b>	<b>Employee assigned to losing RO</b>	<b>Appraisal Action by losing RO</b>	<b>Appraisal Action by gaining RO</b>	<b>Dates to Use</b>	<b>Performance Plan Disposition</b>
Within 90 days of rating cycle end date	90 days or more and under an approved performance plan for 90 days or more	Early annual recommended rating if employee is continuing NSPS covered service. Closeout assessment if employee is separating from NSPS covered service.	May add comments in support of or disagreement with recommendation. Set new objectives as necessary.	- Rating Cycle End Date: one day prior to the event that triggered the Early Annual Appraisal  -New Rating Cycle start date: Date of event	Transfer to new RO
	31-89 consecutive days with approved performance plan of 31-89 days	Closeout assessment, even if employee is separating from NSPS covered service	Narrative closeout assessment. No recommended rating, shares, distribution if less than 90 days total under approved performance plan.	No change to plan dates	Transfer to new RO for Close in MyBiz
	30 days or less*	No action	No action if approved plan for ≤ 30 days	N/A	Transfer to new RO (if plan was established)
All other times	More than 30 days	Closeout assessment	Normal end of year assessment	No change to plan dates**	Transfer to new RO
	30 days or less	No action	Normal end of year assessment	No change to plan dates	Transfer to new RO (if plan was established)

\*Temporary supervisors of detailed employees should provide the employee's Rating Official of record with a closeout assessment, no matter the duration of the assignment. This includes details, temporary assignments, rotational assignments, etc, of at least 30 days.

\*\*If a new performance plan must be established to reflect new objectives due to supervisory change during the Rating Cycle, the losing supervisor should change Rating Cycle End Date to reflect 1 day before the change of supervisor. The new performance plan Rating Cycle Start Date should reflect the effective date of the change, and the Rating Cycle End Date should be the end of performance cycle ending date.