

Instructions for Preparing Performance Appraisal Plan (DI-3100 and DI-3100S)

The DI-3100/DI-3100S form is now available. Please use the version DI-3000 – Employee Performance Appraisal Plan and DI-3100S – Supervisory Performance Appraisal to establish new plans for the appraisal period October 1st to September 30th

A. Establish Performance Plans

1. The employee, Rating Official, and/or support staff designated by the Rating Official can prepare the performance plan in SharePoint Webforms. The Rating Official may grant read-only access to others for organizational tracking purposes. To grant this access, the Rating Official should scroll to the bottom of the first page of each performance plan and enter up to 3 names to have read-only access. The names can be deleted or added as needed.
2. Logon to SharePoint Web Tools. Click on Department of the Interior Forms (DI).
3. Scroll down to DI-3100 or DI-3100S and find the appropriate fiscal year and click on “Create Tool.”
4. At the top of the form on Page 1, select the Employee by **clicking on the book icon** and browsing for the employee by last name. After selecting the correct name, the employee’s name and other information is entered on the form. The “Duty Station” field can be manually changed. The information for the “**Series/Grade**” fields **must be manually entered**. Click on the blank box under “Series/Grade.” These are all required fields. The rating period is 10/1 to 09/30. If the form is established after November 30, please use the current date as the “From” date.
5. Next you will select the **Rating Official** by following the instructions in #4 above to populate the “Rating Official” name field.
6. The system may give an option to import the Critical Elements and Standards from the previous year. However, please note that in some cases the import button doesn’t import the information, so you may need to enter the information manually.
7. Click on the “**CE 1**” tab and enter the text in the first box. Performance standards **must** be focused on results and **must** include credible measures such as quality, quantity, timeliness, and cost-effectiveness. Benchmark standards may be used for each element. The standards **at the Fully Successful** level for each critical element must also be augmented, except for the mandatory supervisory element (Element 1 on the DI-3100S).
8. Repeat this process for each critical element.
9. DOI requires all supervisors to have an Individual Development Plan (IDP) that is updated annually. Part A-4 was added to the DI-3100 and DI-3100S to facilitate documentation of the IDP. **All employees on the DI-3100S are required to sign Part A-4** of the plan indicating that an IDP has been created. The IDP is optional for employees on a DI-3100. The DI-3100/3100S includes a

blank IDP form, instructions and a supervisory guide to developing IDPs. The forms are available by clicking on the tabs at the top of the form titled “Developing IDP,” “IDP” and “Completing IDP.” .

10. To save the performance plan, click on the “**Save**” button at the top left corner of the page. A form may be saved before it is completed and accessed later to complete it. To open a saved form, click on “view forms.”

11. The designated “**Creator**” of the plan will need to send the completed plan to the Rating Official by clicking on the “**Submit to Rating Official**” button located at the top left hand corner of the form. The “**Rating Official**” will need to send the plan to the Employee by clicking on the “**Submit to Employee**” button located at the top left hand corner of the form.

12. The employee will receive an email notification containing a link to open the form. The Rating Official and the Employee will discuss the plan and make any necessary changes. If everyone is in agreement everyone will close out of the plan so the Rating Official can “**electronically sign**” Parts A1-A3 and A-4 (required for DI3100S)

13. The employee will then go and sign by clicking on the “**Electronically Sign**” button beside the word “**Employee**” for **Parts A-1, A-2, A-3 and A-4 (required for DI-3100S)** and an electronic signature for the employee and a date will populate the fields. The employee must either electronically sign or indicate refusal to sign by clicking on the “Refused to Sign” checkboxes for A-1, A-2, and A-3. A-4 may be left unsigned on a DI-3100 but not on a DI-3100S. Click on the “**Save**” button to save the document.

14. If the employee refuses to sign and refuses to check the “Employee Refuses to Sign” checkbox (es), the Rating Official can check the checkbox(es) as appropriate after confirmation from the employee that they are choosing not to sign the performance plan. *Note:* Refusing to sign does not invalidate the performance plan.

15. The employee emails the plan back to the Rating Official using the “**Submit to Rating Official**” button located in the upper left hand corner of the form.

16. If you need to “Delete” a plan from your queue, and you are the creator of the plan, simply click on the “Delete” button at the top of the screen. You will receive a pop-up window that asks “Are you sure you want to delete this request? If so, click OK. If not, click Cancel.”