



MANUAL TRANSMITTAL

Department of the Treasury
Internal Revenue Service

3.43.405

AUGUST 24, 2016

EFFECTIVE DATE

(08-24-2016)

PURPOSE

- (1) This transmits revised IRM 3.43.405, Integrated Management System, Measured Employees Performance System (MEPS) for Managers.

BACKGROUND

- (1) IRM 3.43.405 provides information for the evaluation of measured employees using the Measured Employees Performance System (MEPS). In addition, this IRM includes Release Recall ranking procedures and Release Recall Listing processing guidelines for seasonal, term, and career/career conditional intermittent employees.

MATERIAL CHANGES

- (1) All subsections of this Internal Revenue Manual (IRM) have been revised to provide current MEPS procedures, provide current information on MEPS Reports, and provide managers with tools required to utilize updated MEPS screens and reports available through the EQSP (Embedded Quality Submission Processing) system and tools to interpret data available through MEPS; IRM 3.43.405 subsections are renumbered based on the revisions. Major revisions, additions, and deletions in subsections are listed below.
- (2) Removed all exhibits for outdated reports.
- (3) Removed all references to TEPS/MEPS parallel.
- (4) 3.43.405.1.1 *IRM Deviation* - Added subsection to address IRM deviation procedures.
- (5) 3.43.405.1.2(4) - Updated various report names and removed MEPFIN. (IPU 13U1209 issued 07/10/2013 - reference was 3.43.405.1(3)).
- (6) 3.43.405.1.2 (4) Note - Added Control-D Campus ID Codes.
- (7) 3.43.405.1.2(5) - Corrected MEPS reports listed to print via Campus Distribution based on the Service Level Agreement (SLA).
- (8) 3.43.405.1.2(10) - Updated link to iManage and removed reference and link to obsolete Administrative Procedures for Managers Website. (IPU 15U0625 issued 04/03/2015 - prior reference was IRM 3.43.405.1.6(2) and (3)).
- (9) 3.43.405.1.4(3) - Added MEPS Control-D Report Names and Job Names on MEPS report run schedule table and provided current information on each report's scheduled run.
- (10) 3.43.405.1.5(1) - Added additional abbreviations including HQW and removed SEp in abbreviation listing. (IPU 13U1209 issued 07/10/2013 - prior reference was 3.43.405.1.4).
- (11) 3.43.405.1.6 - Removed SEp and added Precision Margin to definitions. (IPU 13U1209 issued 07/10/2013 - prior reference was 3.43.405.1.5).
- (12) 3.43.405.1.7 *Functional Responsibilities* - Added managers' functional responsibilities.

- (13) 3.43.405.2 *Performance Plan* - Removed all references to the 63-day on a measured performance plan requirement.
- (14) 3.43.405.2.3 *Assigning Performance Plans* - Add subsection with instructions for assigning performance plans utilizing current EQSP performance plan screens.
- (15) 3.43.405.2.4 *Managing Performance Plans* - Added subsection for managing performance plans with an explanation of current EQSP Manage Plan screen.
- (16) 3.43.405.3, *Employee Master File* is removed; information is included in 3.43.405.12.4, *Missing Employee Report*.
- (17) 3.43.405.5.3 - Clarified **All** efficiency base points are subject to systemic review and deletion after the last weekly processing of the quarter.
- (18) 3.43.405.4 *Learning Curve* - Added additional subsections for Learning Curve Sampling, Learning Curve Status (with an explanation of learning curve monitoring tools and subsections for Learning Curve Sampling Report, Learning Curve Search, Team Learning Curve Report, Learning Curve on Individual Performance Reports, and the Manage Employee Program screen), and Learning Curve Employee Notification.
- (19) 3.43.405.4.3(5) - Provides instructions for managers to keep an employee initialed and dated copy of the Single Event Sample Pull Report that notifies the employee of a last learning curve sample.
- (20) 3.43.405.5.1 *Individual Performance Reports and Management Responsibility* - Added subsection listing managements responsibilities relating to reviewing and verifying employee data on Individual Performance Reports.
- (21) 3.420405.5.2 - Updated description of Individual Performance Reports. (Included IPU 13U1209 changes issued 07/10/2013 - reference was 3.43.405.6.6).
- (22) 3.43.405.5.2.3 - Added subsections describing Weekly Individual Performance Reports.
- (23) 3.43.405.5.2.4 - Added subsections describing Monthly Individual Performance Reports.
- (24) 3.43.405.5.4(3) - Revised table for rating period beginning dates and rating period ending dates. (IPU 13U1209 issued 07/10/2013 - previous reference was 3.43.405.6.2).
- (25) 3.43.405.5.2.5 - Added subsections describing Annual Individual Performance Reports.
- (26) 3.43.405.5.2.6 - Added subsections describing Ad-Hoc Individual Performance Reports.
- (27) 3.43.405.5.7 - Added detailed explanation of Quality Rating Details displayed on all Individual Performance Reports.
- (28) 3.43.405.5.8 - Added detailed explanation of Quality Rating Details for High Quality Work displayed on all Individual Performance Reports.
- (29) 3.43.405.5.9 - Added detailed explanation of Efficiency Rating Details displayed on all Individual Performance Reports.
- (30) 3.43.405.6.2 *MEPS IPR Adjustments and EQSP* - Added subsection with instructions for completing IPR adjustments on the IPR Adjustment screens on the MEPS Menu within the EQSP system.
- (31) 3.43.405.6.3 *Efficiency Measure Codes* - Added MEPS Efficiency Measure Codes Values with an explanation of the "Recalculate Measure Code" function and examples of when to manually recalculate Efficiency Measure Codes.

- (32) 3.43.405.7.1(4) - Clarified HQW is input as individual Review with the employee's SEID; the EQSP system recognizes the OF is HQW if the employee met Learning Curve for the OFP (parent). (IPU 13U1209 issued 07/10/2013 - reference was 3.43.405.12.1(4)).
- (33) 3.43.405.7.2 - Added instructions for manager to keep an employee initialed and dated copy of a Single Event Sample Pull Report for any Individual Performance Review type with defect(s) identified (serves as a record that the employee received notification of the quality review results).
- (34) 3.43.405.7.2.1 *Team Defect* - Added subsection for Team Defect Review with definitions, examples, and coding instructions for multiple identical defects and procedural or systemic defects.
- (35) 3.43.405.7.3(4) - Changed Sep to precision margin. (IPU 13U1209 issued 07/10/2013 - reference was 3.43.405.12.2(3)).
- (36) 3.43.405.7.5 *Sampling Log/Pull Sheets* - Add subsection with requirement for maintaining a sampling log and included required elements.
- (37) 3.43.405.8 *Quality Adjustments* - Added subsection with directions for completing quality adjustments within the EQSP system, an explanation of the Status Filed on the EQSP Search Results screen and the new "Modified" status.
- (38) 3.43.405.9 *Mid-Quarter/Quarterly Efficiency Report* - Provided management with directions for utilizing the mid-quarterly report as a tool to identify issues and actions required and provided systemic base point revision criteria based on the Quarterly Report.
- (39) 3.43.405.10 *Mid-Quarter/Quarterly Quality Report* - Clarified report generates at mid-quarter as well as quarterly, clarified report should be used for monitoring quality and provided management with monitoring suggestions.
- (40) 3.43.405.11 *Measured Performance Plan Rating Statistics Reports* - Includes details of the updated fields on the Operation rating Statistics by Team Report, Service Center Rating Statistics by Operation Report and National Rating Statistics by Service Center Report.
- (41) 3.43.405.12 *Other Monitoring Reports* - Created subsections that includes an explanation and description the "Weekly No Volume OFP Report", "EMF 3-Coded Employees Report", "Grade Mismatch Listing", "Missing Employees Report", and "Minimally Successful and Below Report".
- (42) 3.43.405.12.4 - Updated "Missing Employees Report" name. (IPU 13U1209 issues 07/10/2013 - reference was 3.43.405.3.1).
- (43) 3.43.405.13 *Release Recall* - Includes complete instructions for Release and Recall procedures and process for creating Release Recall Listings utilizing the updated EQSP Release Recall screens.

EFFECT ON OTHER DOCUMENTS

IRM 3.43.405, Integrated Management System, dated June 24, 2011 (effective October 01, 2011, is superseded. IRM Procedural Update (IPU) 15U0625 issued April 03, 2015 and valid updates addressed in IPU 13U1209. issued July 13, 2013 are incorporated into this IRM.

AUDIENCE

Wage and Investment (W&I) Submission Processing MEPS coordinators, managers of measured employees, quality managers, and local NTEU chapter MEPS coordinators; additionally, Technical advisors and managers of employees subject to periodic release and recall in all areas of the Internal Revenue Service (IRS).

Signed by
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3.43.405

Measured Employees Performance System (MEPS) for Managers

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3.43.405.1
(08-24-2016)
Introduction

- (1) Measured Employees Performance System (MEPS) provides evaluative data for the evaluation of GS-08 and below bargaining unit employees assigned to a measured performance plan in quality and/or efficiency under Numerical Performance Standards as mandated in the *2016 National Agreement*. The performance standards concept requires employees are told how well they must perform to achieve rating levels 1 through 5 before the work is performed.
- (2) MEPS was implemented consistent with the *Memorandum of Understanding Covering Measured Employees Performance System For Submission Processing Center Employees between Internal Revenue Service and National Treasury Employees Union*.
- (3) Effective October 1, 2013, MEPS became the system used to generate the data for quality and efficiency ratings used in annual appraisals for measured employees.

3.43.405.1.1
(08-24-2016)
IRM Deviation

- (1) It is important that all campuses adhere to the policy and procedures set forth in this IRM to ensure MEPS is administrated consistently at all sites.
- (2) An IRM deviation request must be submitted in writing following instructions in IRM 1.11.2.2., *Internal Management Documents System - Internal Revenue Manual (IRM) Process, IRM Standards*, and elevated through appropriate channels for executive approval.

3.43.405.1.2
(08-24-2016)
Scope

- (1) IRM 3.43.405, Measured Employees Performance System (MEPS) for Managers of Measured Employees, contains instructions, procedures and additional information required for establishing, maintaining and processing employee performance data for the Measured Employees Performance System. In addition, it covers Release/Recall for all areas where employees are subject to periodic release and recall.
- (2) MEPS includes: measured performance plans, learning curve, employee performance standards (setting, revising, and deleting base points) quality performance data (including individual performance review and high quality work review), and efficiency performance data (including individual performance report adjustments).
- (3) Reports generate from the MEPS data and are stored on Control-D. The primary Control-D folder for MEPS reports is the 37MEP folder. Access to this folder is limited to Site MEPS Coordinators. Many of the MEPS reports are sorted into the individual organization management folder based on Organization Code (12MAN, 31MAN, 32MAN, 34MAN, 35MAN, 36MAN or 37MAN).
- (4) A listing of the MEPS reports with the applicable Control-D Job Name follows:
 - Ad Hoc Individual Performance Report (MEPADH)
 - Annual Individual Performance Report (MEPAIP)
 - Calculated Base Point for Efficiency Report (MEPECL)
 - Calculated Base Point for Quality Report (MEPQCL)
 - EMF 3-Coded Employees (MEPE3C)
 - Employee Performance Standards Report (MEPEPS)
 - Grade Mismatch Listing (MEPEMO)
 - Mid-Quarter/Quarterly Efficiency Report (MEPMQE)

- Mid-Quarter/Quarterly Quality Report (MEPMQQ)
- Minimally Successful and Below Employees by Operation Report (MEPMIN)
- Missing Employees Report (MEPEMS)
- Monthly Individual Performance Report (MEPMIP)
- National Rating Statistics by Service Center (MEPSNA)
- Operation Rating Statistics by Team (MEPSOP)
- Release Recall Final Listing (MEP514)
- Release Recall Form 5141 (MEP514)
- Sampling Report (MEPSAR)
- Service Center Rating Statistics by Operation (MEPSSC)
- Team Learning Curve Report (MEPTLC)
- Weekly Individual Performance Report (MEPWKI)
- Weekly No Volume OFP Report (MEPVOL)

Note: A Campus ID Code follows each MEPS Report's Control-D Job Name and identifies the report specific to that site. The Campus Code IDs are:

Campus	Campus ID
Austin	C
Cincinnati	E
Fresno	F
Kansas City	G
Ogden	I
Headquarters	L

Example: A Release Recall Final Listing generated for Austin appears on Control-D as *MEP514C*; The report generated for Ogden appears as *MEP514I*.

(5) All MEPS reports can be printed from Control-D. The following reports are scheduled to print via normal Campus Distribution per the Service Level Agreement (SLA):

- Weekly Individual Performance Reports (MEPWKI)
- Monthly Individual Performance Reports (MEPMIP)
- Annual Individual Performance Reports (MEPAIP)
- Release Recall Listing (MEP514)

Note: "Printed" may display in the Control-D "Remark" column for any report if the report was added to the Control-D Folder after the report run date; it is not a true indication that the report printed.

(6) IRM 3.43.405, provides managers with the information required to evaluate MEPS reports.

(7) MEPS weekly, monthly and quarterly reports run systemically after the appropriate period ending processing on a server located at the Memphis Computing Center (MCC). After the runs are complete, the output reports are accessible to each applicable campus via Control-D.

- (8) IRM 3.30.30, Work Planning And Control - Embedded Quality for Submission Processing, provides users of the Embedded Quality for Submission Processing (EQSP) system with instructions on how to use the system. This IRM includes all information regarding EQSP from setting up employee profiles through completing quality reviews on employees.
- (9) IRM 6.430.2 Performance Management - Performance Management Program for Evaluating Bargaining Unit and Non Bargaining Unit Employees Assigned to Critical Job Elements (CJE), sets forth policy and guidance for the performance management program covering bargaining (BU) and non-bargaining (NBU) unit employees evaluated by CJE. This section describes the manner in which these employees are evaluated and the steps of the performance appraisal process.
- (10) The iManage, Your Managers' Resource Center, provides managers of all levels with useful information and helpful hints on how to successfully manage employees in the workplace; a Performance Category is included. See url:<https://portal.ds.irsnet.gov/sites/iManage/ME/SitePages/Home.aspx>
- (11) Tax Production Enforcement records are not used to establish individual measured performance standards for Tax Enforcement personnel.

3.43.405.1.2.1
(08-24-2016)
**MEPS Reports and
NTEU**

- (1) The following reports are provided to the local NTEU offices via the applicable NTEU site folder on Control-D (e.g. NTEU-AU):
 - Calculated Base Point for Quality Report
 - Calculated Base Point for Efficiency Report
 - Employee Performance Standards Report
 - Mid-Quarter/Quarterly Report for Quality
 - Mid-Quarter/Quarterly Report for Efficiency
 - Operation Rating Statistics by Team
 - Service Center Rating Statistics by Operation
 - Release Recall Listing
- (2) NTEU representatives are required to have access to their NTEU folder on Control-D to view the MEPS reports.

3.43.405.1.3
(08-24-2016)
MEPS Record Retention

- (1) All MEPS record retention adheres to Document 12990.
- (2) MEPS employee performance data is maintained on the Embedded Quality for Submission Processing (EQSP) system for eight quarters plus the current quarter; this includes all quality reviews input to the EQSP system.
- (3) MEPS reports are available on Control-D for at least five years from the report run date.

3.43.405.1.4
(08-24-2016)
**MEPS Report Run
Schedule**

- (1) MEPS reports run at a predetermined time each day, week, or quarter with the exception of the Ad Hoc IPR and the Release Recall Reports.
- (2) It is important that sites complete required input by cut off times to ensure MEPS reports are accurate and complete prior to the scheduled run times.

Example: The Employee Performance Standards must be finalized no later than 14 days prior to the beginning of the subsequent quarter. Base Points

may not be raised or added by a site after the 14 day cut of and is only is only permitted under special circumstances with Headquarters approval. (Any approved revisions or additions can only be input by Headquarters after 14 days prior to the beginning of the quarter they are effective for.)

- (3) MEPS Control-D Report Name with Control-D Job Name and scheduled run follows:

MEPS Control-D Report Name/Job Name	Scheduled Run
Weekly IPR (MEPWKI) EMF 3-CODED EMP RPT (MEPE3C) GRADE MISMATCH LISTING (MEPEMO) MISSING EMP RPT (MEPEMS) TEAM LEARNING CURVE RPT (MEPTLC) WEEKLY NO VOLUME RPT (MEPVOL)	Weekly, following completion of weekly processing. Week ending processing begins at 2:00 am EST. (Control-D Thursday at 11:50 pm EST.)
Sampling RPT (MEPSAR)	Weekly, Saturday morning at 12:00 am EST (not dependent on weekly processing). (Control-D Sunday at 11:50 pm EST.)
Monthly IPR (MEPMIP)	Monthly, following weekly processing. (Control-D Thursday at 11:50 pm EST.)
MID-QTR/QTRLY EFFICIENCY (MEPMQE) MID-QTR/QTRLY QUALITY (MEPMQQ)	Mid-Quarter – After 6 weeks of the current quarter, following weekly processing. Quarterly – End of quarter following weekly processing. (Control-D Sunday at 11:50 pm EST.)
CALC BP QUALITY (MEPQCL) CALC BP EFFICIENCY (MEPECL)	4:30 am EST on the third Monday of the first month of the quarter. (Control-D Sunday at 11:50 pm EST.)
PERF STANDARDS RPT (MEPEPS)	10:00 pm EST, 14 days prior to current quarter ending and thereafter anytime a base point is modified. (Control-D Sunday at 11:50 pm EST.)
ANNUAL IPR (MEPAIP) MONTHLY IPR (MEPMIP)(end of quarter) MINIMALLY SUCCESSFUL RPT (MEPMIN) STATISTICS FOR OPER (MEPSOP) STATISTICS FOR SC (MEPSSC) STATISTICS FOR NATION (MEPSNA)	Quarterly, 15 days following the last day of the quarter. (Control-D Sunday at 11:50 pm EST.)
AD HOC IPR (MEPADH) RELEASE RECALL FINAL LISTING (MEP514) RELEASE RECALL FORM 5141 (MEP514)	Daily at 10:00 pm (EST), anytime a request is input. (Control-D Sunday at 11:50 pm EST.)

3.43.405.1.5
(08-24-2016)

- (1) Acronyms used throughout IRM 3.43.405 are:

Acronyms

Literal	Description
CJE	Critical Job Element
DCI	Data Collection Instrument
DPH	Documents Per Hour
EMF	Employee Master File
EOD	Enter on Duty Date
EPF	Employee Performance File
EQSP	Embedded Quality for Submission Processing
HQF	High Quality Function
HQS	High Quality Standard
HQW	High Quality Work
I & I	Impact and Implementation
IPR	Individual Performance Report
IQR	Individual Quality Review
IRM	Internal Revenue Manual
MEPS	Measured Employees Performance System
MOU	Memorandum of Understanding
NR	Not Ratable Employee
NTEU	National Treasury Employees Union
OF	Organization, Function
OFF	Organization, Function, Program
OJT	On the Job Training
OPM	Office of Personnel Management
PCA	Production and Control Accounting
PCD	Program Completion Date
PD	Position Description
RAS	Recommended Annual Sample
SCD	Service Computation Date
SEID	Standard Employee Identifier
SETR	Single Entry Time Reporting

Literal	Description
SSN	Social Security Number
WP&C	Work Planning and Control

3.43.405.1.6
(08-24-2016)
Definitions

- (1) 3 Coded - A numeric code generated and stored in HR Connect that identifies a former employee of the Internal Revenue Service.
- (2) 40 or 25 Rule - An employee who has met the measurable work criteria must have spent at least 40% of their direct time on measured work **or** at least 25% of their total time on measured work.
- (3) Accuracy Percent - The total number of correct documents divided by the total number of documents reviewed multiplied by 100.
- (4) Adjusted Accuracy Score - The accuracy percent plus the precision margin (never exceeds 100.0).
- (5) Base Point (Quality) - Represents the accuracy rate of work processed. Quality base points are set nationwide (for all sites) at the Operation Function (OF) level using the accuracy rates from the same quarter prior year. No quality base point is lower than 67.0 percent.
- (6) Base Point (Efficiency) - Represents the median production rate of work processed. Efficiency base points are set at each site at the Operation, Function, Program (OFP) level using the median production rate from the same quarter, prior year.
- (7) Confidence Level - The degree of trust in the results of the sampling process.
- (8) Critical Job Element (CJE) - A work assignment or responsibility that details a number of critical actions, objectives, and results an employee is expected to accomplish during an annual appraisal year.
- (9) Direct Time - The total of all hours worked exclusive of overhead hours. Direct hours include all 880 functions.
- (10) National Ranges (Quality and Efficiency) - A set of values which, when applied to a Base Point, produce the Numerical Performance Standards.
- (11) Employee Index (Quality) - A measure of an employee's effectiveness for Quality computed for Function as $100 * [1 + (.5 * (\text{Adjusted Percent Accurate} - \text{Base Point}) / (100 - \text{Base Point}))]$.
- (12) Employee Effectiveness (Efficiency) - A measure of the employee's effectiveness for Efficiency computed as 100 multiplied by the employee's Documents Per Hour divided by the Base Point. This is calculated for each OFP with Numerical Performance Standards.
- (13) Employee Performance File (EPF) - An Employee Performance File (EPF) is a record of performance-related information and documentation maintained for an employee by the employee's manager.

- (14) High Quality Standard (HQS) - The minimum acceptable accuracy rate of High Quality Work. The High Quality Standard is 97.0%.
- (15) High Quality Function (HQF) - Functions within an operation that historically have an average accuracy rate equal to or greater than the HQS. OF review is performed to determine if the work will be HQF in the same quarter of the subsequent year. The employees working programs within the HQF will systemically receive the minimum employee effectiveness score required to achieve the five (5) rating for that OF.
- (16) High Quality Work - Functions with a historical accuracy rate of 97.0% or higher. These functions are referred to as High Quality Functions.
- (17) IRS EOD - The date an employee entered on duty with IRS, modified to include any prior IRS service. The IRS EOD date is not adjusted for time spent in Federal Service outside of IRS.
- (18) Learning Curve - A specified number of samples containing a specified number of documents within each sample to ensure employees receive quality review feedback on each OFP(parent) worked. Work processed on the OFP(parent) is not be part of any evaluative data until the learning curve has been met.
- (19) Low Hour Restriction - Data is excluded from the calculated base point if an employee works an OFP fewer than ten hours unless on average the employee works more than two hours per week on that OFP. This restriction applies to efficiency only.
- (20) Measurable Work, Quality - Work is considered measurable when it is performed by an employee assigned to a measured performance plan for quality, the OF has Numerical Performance Standards, the employee completed learning curve requirements for the OFP(parent), quality review results are reported, and volume is reported for the OFP reviewed.
- (21) Measurable Work, Efficiency - Work is considered measurable when it is performed by an employee assigned to a measured performance plan for efficiency, the OFP has Numerical Performance Standards, volume is reported, and the employee has completed the Learning Curve for the OFP(parent) (if measured in quality).
- (22) Measured Employees Performance System (MEPS) - An automated system designed to provide measured ratings for Quality and/or Efficiency for GS-08 and below employees who are assigned to a Measured Performance Plan in one or both of the measurable critical elements (quality and/or efficiency). Employees are measured based on comparing actual performance to Numerical Performance Standards which are provided to employees before the work is performed.
- (23) Median - If calculating an odd number of historical rates by OFP, it is the middle production rate. If calculating an even number of historical rates by OFP, it is the average of the two middle rates.
- (24) Numerical Performance Standard - A value against which employee performance is measured. It is expressed as the mean (average) Percent Accurate (Quality) or as the median number of Documents Per Hour (Efficiency).

- (25) OFP Consistency File - A file that contains valid OFP information used to validate OFP codes used in Production Control and Accounting (PCA) runs that regulates and defines Organization/Function/Program combinations against Generalized Mainline Framework (GMF) and Master File; an OFP must be valid on the OFP Consistency File before a MEPS efficiency base point can be set.
- (26) Overhead Hours - The time spent on function code 990.
- (27) Percent Accurate - A percentage for each OFP computed as the number of documents correct divided by the total number of documents reviewed.
- (28) Performance Reports - Reports that provide the most recent information about each program worked by an employee.
- (29) Precision Margin - A value added to an employee's accuracy rate to reach a 90% confidence level.
- (30) Quarter - A three month period of time. The beginning month set for the quarters are January, April, July and October.
- (31) Ratable Employee (Quality and/or Efficiency) - An employee who has met the measurable work criteria requirements of 40% measurable to direct time or 25% measurable to total time.
- (32) Release/Recall - A listing used to determine the release or recall of all Internal Revenue Service employees subject to periodic release and recall.
- (33) Rule of six (6) - At a minimum, at least six employees on a measured performance plan in efficiency must have completed the learning curve and reported time and volume to a specific/established OFP in a quarter with numerical performance standards to be measurable. They must also meet the low hour restriction.
- (34) SEID - Standard Employee Identifier is the five digit code that uniquely ties employees to their data without using their Social Security Number.
- (35) Sixty Day Annual CJE Counter - The period of time an employee on a measured performance plan must be on measured CJEs (quality and/or efficiency) during their rating period before they can receive a measured rating. Time in non-work status and time assigned to an unmeasured performance plan are not counted towards meeting the annual 60 day requirement. Work performed during the annual CJE counter is considered measurable.
- (36) Skill Codes - An alpha/numeric code assigned to an employee upon successful completion of training and/or learning curve for use on Release Recall reports.
- (37) Time/Weight - The measurable hours worked for each OFP or OF divided by the total measurable hours.
- (38) Total Time - The total of all hours worked including function 990.
- 3.43.405.1.7 (08-24-2016)
Functional Responsibility
- (1) Each Submission Processing Center determines the level of management responsible for establishing and monitoring the system.
- (2) Functional responsibility for creating and maintaining an employee's EQSP profile is at the employee's team manager level.

- (3) Functional responsibility for assigning and updating an employee's performance plan on the EQSP profile is at the employee's team manager level.
- (4) Functional responsibility for assigning and maintaining an employee's manage programs for quality review is at the employee's team manager level.
- (5) Functional responsibility for monitoring an employee's learning curve sampling requirements is at the employee's team manager level.
- (6) Functional responsibility for providing an employee's sample pull request to the quality team manager is at the employee's team manager level.
- (7) Functional responsibility for input of efficiency adjustments (IPR Adjustments) is at the employee's team manager level.
- (8) Functional responsibility for input of Quality adjustments is at the quality manager level within the Quality Team of the operation where the review is performed.
- (9) Efficiency base points are to be input at the operation level by the Operation MEPS Coordinator, the Operation Manager, or the Site MEPS Coordinator.
- (10) Release Recall information is to be input by the team managers for the employees within their team.
- (11) Release Recall Listings are to be requested for the Operation at the Operation MEPS Coordinator, Operation Manager, Department Manager, or Site MEPS Coordinator level.

Note: No site will have local agreements differing from procedures set forth in this IRM.

3.43.405.1.8
(08-24-2016)

Site Coordinator Duties

- (1) Each Submission Processing Center will have a Site MEPS Coordinator responsible for over site of the MEPS program.
- (2) Systemic or procedural problems of sufficient complexity and/or scope requiring Headquarters attention should be channeled through the Site MEPS Coordinator.

3.43.405.2
(08-24-2016)

Performance Plan

- (1) A performance plan describes the critical elements of an employee's job and the performance expectations for those elements.
- (2) A Critical Job Element (CJE) is an important part of the job; an employee's failure to perform a CJE at a minimum standard constitutes unacceptable performance by the employee.
- (3) Employees assigned to CJE Performance Plans may either be bargaining unit or non-bargaining unit, as long as they are not managers or management officials.
- (4) The CJE Performance Plans also contain the Retention Standard for the Fair and Equitable Treatment of Taxpayers.
- (5) All employees have the following CJEs:

- Employee Satisfaction-Employee Contribution.
- Customer Satisfaction-Knowledge.
- Customer Satisfaction-Application.
- Business Results-Quality.
- Business Results-Efficiency.

- (6) Depending upon the position, some CJEs may or may not be measured; this is identified by the type of performance plan assigned. There are two types of performance plans:
- Measured Performance Plan.
 - Unmeasured Performance Plan.

3.43.405.2.1
(08-24-2016)

**Unmeasured
Performance Plan**

- (1) The Unmeasured Performance Plan provides the guidelines for evaluating employees performing unmeasured work.
- (2) Unmeasured Performance Plans are assigned to employees when all CJEs are considered unmeasurable; neither volume reported (efficiency) nor work reviewed (quality) are considered measurable.
- (3) Few Submission Processing employees are unmeasured in MEPS because most employees can be measured in at least one CJE – Quality.

3.43.405.2.2
(08-24-2016)

**Measured Performance
Plan**

- (1) For Performance Management System (PMS) purposes, employees covered by MEPS are assigned to performance plans that describe the CJEs and the performance expectations for those elements. The Measured Performance Plan provides the guidelines for evaluating employees performing measured work.
- (2) Measured Performance Plans include CJEs that can be measured against set performance standards. These CJEs are:
- Business Results - Quality: the quality of work performed can be determined by quality review results.
 - Business Results - Efficiency: the employee's efficiency can be determined by time and volume reported for work completed (documents per hour (DPH)).
- (3) Under MEPS, an employee can be measured in one or both of the measurable CJEs - Quality and/or Efficiency. For example, some employees in the Accounting Operation could be measured in quality and unmeasured in efficiency.
- (4) All GS-08 and below Submission Processing employees have the potential of being measured in MEPS in at least one critical element – Quality. This includes Quality Reviewers and Team Leads because employees in these positions often spend a portion of their time completing work subject to quality review.
- (5) Under MEPS, if work in a function can receive quality review, the function should be measured.
- (6) Annual measured ratings for quality and/or efficiency calculate only for employees who have been under critical job elements for sixty days during each annual rating period.

Note: An employee's performance plan is not effective until the manager selects a measured performance plan on the Employee's EQSP Profile Screen; the MEPS measured CJE day counter begins on the Sunday when the manager selects "Measured" for either the Quality Performance Plan or the Efficiency Measured Performance and the employee submits Form 3081 data; seven days count towards the 60 day requirement anytime an employee submits Form 3081 data, regardless of the number of days worked during that week.

Exception: Time in non-work status and time assigned to an unmeasured performance plan are not counted towards meeting the 60 day requirement. Approved leave, AWOL, overhead, training, etc., are counted towards meeting the 60 day requirement.

Caution: An employee newly assigned to measured CJEs should not be placed on a plan until they complete training. For example, newly hired employees in a two week training class are placed on a measured performance plan when the two week training class is completed.

Note: A requirement that all newly hired employees must perform under a measured performance plan for a period of 63 calendar days or more for work to be considered measurable was removed from MEPS programming effective 06/12/2016; all employees are required to be on measured CJEs at least 60 days annually before the work they complete is considered measurable per 2016 National Agreement.

3.43.405.2.3
(08-24-2016)
Assigning Performance Plans

- (1) Use Form 6774, *Receipt of Critical Job Elements and Fair and Equitable Treatment of Taxpayer Retention Standard*, to inform employees of their assigned position description, CJEs, and performance plan. The Form must be signed by the employee and the manager following a discussion of the CJEs; provide one copy to the employee and place one copy in the Employee Performance File (EPF).
- (2) The employee's position description (PD) does not determine the type of performance plan an employee is on. Numerous employees can be on the same PD, some will be measured on a CJE, others will be unmeasured based on the type of work they are processing:
 - Business Results - Efficiency should be measured if the volume of the work processed can be measured.
 - Business Results - Quality should be measured if quality review can be performed on the finished work product.

If Employee Is...	Then Assign Employee To...
Measured in Quality and/or Efficiency	A measured performance plan.
Unmeasured in Quality and Efficiency	An unmeasured performance plan.

- (3) An employee profile must be available in the EQSP system to designate the type of performance plan an employee is assigned. **It is the gaining manager's responsibility to ensure each employee is assigned the correct performance plan.**
- (4) When an employee's profile is created, the employee is placed on a performance plan for quality and efficiency and the performance plan becomes effective.
- (5) The Performance Plan Section of the "Add Employee Profile" screen contains fields for:
 - Quality Plan - defaults to Measured for the Employee role and for the Quality Reviewer role; Unmeasured is available in the plan drop-down list.
 - Efficiency Plan - defaults to Measured for the Employee role and to Unmeasured for the Quality Reviewer role; Unmeasured is available for the Employee role in the plan drop-down and Measured is available for the Quality Reviewer role in the plan drop-down.
 - Plan Date - "Select One" displays in the Plan Date field; the current week's Sunday date and the subsequent week's Sunday date are available in the Plan Date drop-down list.

Note: If not selected "Please Select a Plan Date" message generates. The prompt to select a plan date does not generate on edited profiles.

Caution: A Performance Plan Start date is required when a Quality Reviewer's quality profile is created. the Manager needs to either:

- Provide the Performance Plan start date in the OnLine 5081 request OR
- Create an employee profile for the quality reviewer with the plan start date; profile will then be edited to Quality Reviewer role based on the OnLine 5081 request.

- (6) The performance plan start date is determined by the date selected in the Plan Date field and will therefore always be either the current week's Sunday date or the subsequent week's Sunday date. (A performance plan always begins on a Sunday - the first day of the processing week.)

Reminder: The 60-day annual CJE counter begins on the Sunday that the performance plan begins provided Form 3081 is submitted (time is entered in SETR); from then on, it accrues in increments of 7 days when employee submits Form 3081 (time is entered in SETR) until the 60-day requirement is met.

Caution: It is critical that the employee's profile is created timely and the Plan Date selected based on the effective measured performance plan start date, the date cannot be backdated. The performance plan start date can only be one of two dates, the current Sunday's date or the subsequent Sunday's date.

3.43.405.2.4
(08-24-2016)
Managing Performance Plans

- (1) The Quality Plan and Plan Date and the Efficiency Plan and Plan Date must be kept current to ensure the employee's performance plan is correct. If at any time a measured employee becomes unmeasured in quality and/or efficiency, the performance plan(s) must be changed to unmeasured.

- (2) Performance Plan and Plan Date changes are completed on the “Manage Employee Performance Plans” screen that generates when “Manage Plans” is selected on the Employee Profile Screen.
- (3) When the plan is updated (changed from Measured to Unmeasured or from Unmeasured to Measured), the Performance Plan End Date sets to the current week’s Saturday date and the Start date for the new Plan sets to the next Sunday date. The Manage Employee Plan Performance screen retains and displays a history of the Performance Plans with all Start Dates and End Dates.

Caution: Performance Plans **must be updated timely** as dates can never be earlier than the subsequent week. Individual Performance Reviews cannot be recorded until the employee is on a Measured Performance Plan. IPRs will not generate if the employee’s performance plans are marked as unmeasured in both Quality and Efficiency.

3.43.405.3
(08-24-2016)
**Base Points/Numerical
Standards**

- (1) A base point is a specific performance level. A numerical performance standard is a set value against which employee performance is measured for a measurable CJE (Business Results - Quality and/or Business Results - Efficiency).
- (2) MEPS provides an automated means for setting and monitoring base points that are used to establish Numerical Performance Standards for evaluating employees on a Measured Performance Plan.
- (3) Local NTEU chapters must be notified of proposed changes to Base Points/ Performance Standards at least two weeks prior to their implementation date. NTEU has the right to discuss the proposed changes with management in meetings held at the department level.

Reminder: The Numerical Performance Standards Report (MEPEPS) is supplied to NTEU at each site via Control-D.

- (4) NTEU has the right to bargain over adverse impact in the implementation of new or revised Numerical Performance Standards if:
 - Established procedures for setting base points/performance standards are not followed.
 - The National Ranges are revised.

3.43.405.3.1
(08-24-2016)
Base Points

- (1) Quality base points represent the accuracy rate of work processed nationally (across all sites); they are set at the Operation, Function (OF) level. Headquarters MEPS Coordinators are responsible for establishing Quality Base Point/ Numerical Performance Standards.
- (2) Efficiency base points represent the number of documents processed per hour at each individual site; they are set at the Operation, Function, Program (OFP) level. Each site determines the level of management responsible for establishing Efficiency Base Point/Numerical Performance Standards but the responsibility for a final Efficiency Base Point/Numerical Performance Standards review should not be delegated below the Operation MEPS Coordinator level.

3.43.405.3.1.1
(08-24-2016)
Setting Quality Base Points

- (1) Calculated quality base points are the starting point for setting quality base points.
- (2) Calculated quality base points are computed each quarter using performance data of employees from the same quarter of the prior year who:
 - Were on a measured quality performance plan when the work was performed.
 - Completed the learning curve requirements for the OFP (parent)
 - Reported time and volume to the applicable measured OF.
 - Were grade GS-08 or below.

Note: Base point calculations exclude 3-coded employees.

- (3) Quality base points are calculated:
 - Nationally at Headquarters level for all Submission Processing Sites.
 - At the OF (parent) level.
 - As the average of all measured review performed for the OF during the same quarter, prior year.
 - As High Quality Function (HQF) if Individual Review from the same quarter, prior year produced an accuracy rate equal to the High Quality Standard (HQS) of 97% or higher.

Note: Measured review includes Individual Performance Review, Team Defect Review, and High Quality Work Review.

- (4) Calculated quality base points can be retained, adjusted, or deleted (lowered to zero). Revisions to calculated quality base points occur in rare instances because they include data from all sites and are set by the OF(parent); revisions are completed at the Headquarters level.

3.43.405.3.1.2
(08-24-2016)
Setting Efficiency Base Points

- (1) Calculated efficiency base points are the starting point for setting efficiency base points.
- (2) Calculated efficiency base points are computed each quarter using performance data of employees from the same quarter of the prior year who:
 - Were on a measured efficiency performance plan when the work was performed.
 - Reported time and volume to the applicable measured OFP.
 - Were grade GS-08 or below.

Note: Calculated efficiency base points exclude data worked while an employee is on a quality learning curve for the OFP (parent).

Reminder: Base point calculations exclude 3-coded employees.

- (3) Data is excluded from the efficiency calculated base point if an employee did not work the OFP at least 10 hours during the quarter, unless the employee worked the OFP **more** than average of 2 hours per week. This is referred to as the Low Hour Restriction.
- (4) Employees 1, 2, and 4 listed in the table below met the Low Hour Restriction:

Employee	Volume	Hours	Weeks Worked	Docs Per Hour	Low Hour Restriction
1	338	10.7	5	31.6	Data included - worked at least 10 hours in the quarter.
2	218	8.1	3	26.9	Data included - averaged more than 2 hours per week.
3	100	4.0	2	25.0	Data excluded - did not average more than 2 hours per week
4	53	2.1	1	25.2	Data included - averaged more than 2 hours per week

- (5) The calculated base point process requires at least six records (after employee accountability and low hour restriction is applied) for calculation of an OFP efficiency base point; this is referred to as the Less Than 6 Rule.
- (6) Efficiency base points are calculated:
- For each Submission Processing Site.
 - At the OFP level.
 - As the median efficiency rate for the OFP during the same quarter, prior year after the Low Hour Restriction and Less Than 6 Rule are applied.
- (7) Management determines if an efficiency base point is required for each OFP worked at their site within their operation. Efficiency base points should be set for all measurable work.
- (8) Calculated efficiency base points can be retained, adjusted, or deleted (lowered to zero). Examples of justification for adjusting (raising or lowering) a calculated base point include:
- Current skill level of the employees differs significantly from the skill level of the employees who worked the program the prior year.
 - Work process or procedures changed.
 - New or revised forms were implemented.
- Note:** If four distinct Efficiency Numerical Performance Standards are not produced from the calculated base point, the base point must be raised or deleted (lowered to zero).
- (9) Efficiency base points for OFPs that did not produce a calculated base point may be added. Examples of data used to determine a base point for a program include:
- PCA reports (Production Control Accounting).
 - PCC reports (Production Control and Performance Reporting).
 - History from like programs.
 - Rates from the same program from other sites.
 - Volume reported in SETR (employees reported time and volume for Form 3081).

Note: A OFP must be valid on the OFP Consistently File before it is to be available in the MEPS (EQSP system) add a base point program. Campuses can update the fifth digit of the program codes locally by requesting the program code through their P&A (Planning & Analysis) Analysts. Campuses do not have the capability to add or change OFP parent codes; these changes are generally requested by the Headquarters Program Analysts and approved by the OFP Analyst in the Submission Processing Resource Section.

3.43.405.3.2
(08-24-2016)
Numerical Employee Performance Standards

- (1) Numerical Performance Standards are required to determine levels of employee performance.
- (2) MEPS quality base points and efficiency base points are used to determine Quality Numerical Performance Standards and Efficiency Numerical Performance Standards for ratings levels 2-5 as follows:
 - Below level “2” is certified and rated as “1”, unacceptable performance.
 - Level “2” defines minimally successful performance.
 - Level “3” defines fully successful performance.
 - Level “4” defines exceeding fully successful performance.
 - Level “5” defines outstanding performance.

Note: Encourage employees to perform at level “3”, fully successful, or above.

3.43.405.3.2.1
(08-24-2016)
National Ranges

- (1) There are two unique sets of National Ranges: one set for Quality and the other set for Efficiency.
- (2) These ranges are applied to each Quality OF base point and to each Efficiency OFP base point to establish Numerical Performance Standards.
- (3) Ranges are indexes of performance designed to:
 - Define the amount of effort required to achieve a given rating.
 - Ensure the amount of effort required to achieve a given rating is equal for all base points, regardless of the established base point.
- (4) The National Ranges as stated in the *2016 National Agreement* Article 12, Section 20 F are:

Performance Rating	2	3	4	5
Quality National Range	77	95	125	140
Efficiency National Range	70	90	120	140

3.43.405.3.2.2
(08-24-2016)
Numerical Performance Standards - Formulas

- (1) Formulas used to compute Quality Performance Standards and Efficiency Performance Standards ensure there is a different standard for each rating for a specified quality base point (QBP) and a specified efficiency base point (EBP).
- (2) The Quality Performance Standard formula is: $QBP + \{[(National\ Range\ Level - 100) / 50] (100 - QBP)\} = Quality\ Performance\ Standard.$

- (3) The performance standard to achieve a “5” rating (National Range Level 140) for a quality base point of 89.0 is 97.8. The computation is shown in the example below.

Example: $89 + \{(140 - 100) / 50\} (100 - 89) = 89 + (0.8) (11) = 97.8.$

- (4) The Efficiency Performance Standard formula is: $EBP \text{ (National Range Level)} / 100 = \text{Efficiency Performance Standard}.$

- (5) The performance standard to achieve a “5” rating (National Range Level 140) for an efficiency base point of 30.1 is 42.1. The computation is shown in the example below.

Example: $30.1(140)/100 = 4214/100 = 42.1.$

- (6) Performance Standards calculations appear as rounded to the nearest tenth on all MEPS reports.

3.43.405.3.3 (08-24-2016) Calculated Base Points Reports

- (1) The Quality Calculated Base Point Report and the Efficiency Calculated base Base Point Report run on the third Monday of the first month of the quarter prior to the quarter they are effective. This ensures there is ample time to review the reports and set the base points for the upcoming quarter correctly.

Example: Calculated Base Point Reports generate on the third Monday of October; the reports contain the calculated base points and performance standards for the January through March quarter. Base Points cannot be added for a quarter until after the Calculated Base Point Reports run.

- (2) The quality report lists all OFs (parent) by operation worked by employees measured in quality who met the learning curve for the OFP (parent) and had Individual Performance Review performed and recorded in the EQSP system.
- (3) The efficiency report lists all OFP’s by operation worked by employees measured in efficiency who reported time and volume for the OFP in SETR.
- (4) The Calculated Base Point for Quality Report and the Calculated Base Point for Efficiency Report are available on Control-D. The Control-D Report Names and Job Names are:
- CALC BP QUALITY, MEPQCL.
 - CALC BP EFFICIENCY, MEPECL.
- (5) These reports serve as tools for management to record changes to the base points. Management must review and validate each base point. The calculated base point is used to compute the employee performance standard unless revisions are made to establish a more accurate base point.
- (6) If an efficiency base point needs to be changed, deleted (lowered to zero) or added, management must make the necessary annotations on the report and submit to the designated person for input.
- (7) Input of any revisions, deletions, or additions must be completed prior to fourteen days before the beginning of the quarter they are effective.

Reminder: *The 2016 National Agreement* states “the local chapter will be provided with proposed changes to performance standards at least two (2) weeks in advance of their proposed implementation date.” Local NTEU chapter can request meetings to discuss any change and request justification for the change.

Note: The Calculated Base Point Reports are available to NTEU on Control-D.

(8) The Site MEPS Coordinator should review all Efficiency Base Points. The base points are revised in MEPS through the EQSP system by the Site MEPS Coordinator, Operation Manager, or Operation MEPS Advisor.

Note: All base points (quality and efficiency can be viewed by management on the Base Point Screens in MEPS (EQSP System).

3.43.405.3.3.1
(08-24-2016)
**Quality Calculated Base
Point Report -
Description**

(1) The Calculated Base Point for Quality Report displays:

- *Report Name* - Calculated Base Point For Quality.
- *Site* - National (quality base points are computed nationally).
- *Period* - Quarter covered in MM/DD/YYYY - MM/DD/YYYY format.
- *Report Run Date* - MM/DD/YYYY (third Monday of the first month of the quarter prior to the quarter they are effective).
- *Operation* - Five digit Operation Code.
- *Function* - Three digit Function Code (parent).
- *Quarter* - YYYYMM (the quarter the data is pulled from - same quarter prior year).
- *Site* - All Submission Processing Sites are listed: Austin, Fresno, Kansas City, Cincinnati and Ogden and “National Quality”.
- *# EMP* - Total number of accountable employees reviewed at each site and the total reviewed for the Nation.
- *Best* - Highest quality accuracy rate performed for OF during the quarter at each site and for the Nation.
- *Worst* - Lowest accuracy rate performed for the OF during the quarter at each site and for the Nation.
- *Base Point (per history)* - Average quality accuracy rate at each site and the average for the Nation.
- *Performance Standard (2) (3) (4) (5)* - The standards computed to achieve a 2 , 3 , 4, or 5 rating utilizing the Quality Performance Standard Formula, displayed for the National Quality.

Note: Standards do not compute for any calculated base point of 97.0 or above.

- *Revised Base Point* - Space for annotation of any revised base point for the OF.

Reminder: Any quality base point revision is input by the Headquarters MEPS Analyst.

(2) The above information repeats for each Operation and for each measured Function within each Operation if a base point calculated.

3.43.405.3.3.2
(08-24-2016)

Efficiency Calculated Base Point Report - Description

(1) The Calculated Base Point for Efficiency Report displays:

- *Site* - Applicable site (Austin, Cincinnati, Fresno, Kansas City, or Ogden).
- *Period* - Quarter covered in MM/DD/YYYY - MM/DD/YYYY format.
- *Report Run Date* - third Monday of the first month of the quarter prior to the quarter they are effective.
- *Operation* - Five digit Operation Code.
- *Function* - Three digit Function Code.
- *Program* - Five digit program code.
- *Quarter* - YYYYMM (the quarter the data is pulled from - same quarter prior year).
- *# EMP* - Total number of accountable employees measured in efficiency, met the learning curve (if measured in quality) and reported time and volume to the OFP.
- *Best* - Highest efficiency rate performed for the OFP during the same quarter, prior year.
- *Worst* - Lowest efficiency rate performed for the OFP during the same quarter, prior year.
- *Base Point (per history)* - Median production rate for the OFP from the same quarter, prior year.
- *Performance Standard (2) (3) (4) (5)* - The standards computed to achieve a 2, 3, 4, or 5 rating utilizing the Efficiency Performance Standard Formula.
- *Revised Base Point* - Space for management to annotate any revised base point and submit the report to the designated person at the site for MEPS input.

Reminder: Base Points are input into MEPS by the MEPS Operation Advisor (generally the Operation Technical Advisor), the Operation Manager, or the Site MEPS Coordinator prior to 14 days before the beginning of the quarter they cover).

(2) The above information repeats for each OFP within each operation at the site if there is history from the same quarter, prior year.

3.43.405.3.4
(08-24-2016)

Employee Performance Standards Report

(1) The Employee Performance Standards Report generates 14 days before the standards are effective and thereafter any time a base point is changed.

Example: The Employee Performance Standards Report generates on June 16 for the quarter beginning July 01 (June 30 minus 14 days equal June 16.) The report runs at 10:00 pm EST.

(2) Management must provide a copy of the Performance Standards to employees in formal meetings prior to their proposed implementation date (refer to the 2016 National Agreement II, Article 8, for further information on formal meetings).

(3) An acknowledgement of receipt statement appears on the report that must be signed, dated, and placed in the employee's Employee Performance File (EPF). The statement indicates the employee has been given a copy of the "Employee Performance Standards Report" for the period covered on the report and indicates their manager discussed these standards in a team meeting.

- (4) Employees must also receive a copy of the Performance Standards anytime a base point that pertains to the work an employee performs is changed; the employee signs the statement acknowledging receipt of the revised standards and the report is placed in the EPF.
- (5) The Employee Performance Standards Report generates by Operation and lists all measured Quality OF base points and standards and/or measured Efficiency OFPs for the operation at the applicable site. It is available on Control-D; the Control-D Report Name is "PERF STANDARDS RPT" and the Control-D Job Name is MEPEPS.

3.43.405.3.4.1
(08-24-2016)

**Employee Performance
Standards Report -
Description**

- (1) The Employee Performance Standards Report displays:
 - Report Date - Date the report generated in MM/DD/YYYY format.
 - Site - Site the report generated for (Austin, Cincinnati, Fresno, Kansas City, or Ogden).
 - Period Covered - Quarter the standards apply to in MM/DD/YYYY - MM/DD/YYYY format.
 - Operation - Two digit Operation Code and Operation Name.
 - Quality - Section for Quality Base Point and Standards information.
 - Previous Quality - Section for Previous Quality Base Point and Standards information.
 - Efficiency - Section for Efficiency Base Point and Standards information.
 - Previous Efficiency - Section for Previous Efficiency Base Point and Standards information.
 - Employee Signature - Section for employee acknowledgement of receipt.
- (2) The Quality Section displays:
 - Function - Parent Function(s) with quality base points relevant to the Operation.
 - Base Point - Base point(s) relevant to each parent Function.
 - Numerical Performance Standard (2) - Accuracy level of achievement required for a 2 rating (minimally successful) in quality for the OF Base Point.
 - Numerical Performance Standard (3) - Accuracy level of achievement required for a 3 rating (fully successful) in quality for the OF Base Point.
 - Numerical Performance Standard (4) - Accuracy level of achievement required to achieve a 4 rating (exceeds fully successful) in quality for the OF Base Point.
 - Numerical Performance Standard (5) - Accuracy level of achievement required for a 5 rating (outstanding) in quality for the OF Base Point.
- (3) The Previous Quality Sections displays:
 - Base Point - Quality Base point prior to any revision if the base point was revised.
 - Numerical Performance Standard - Accuracy level of achievement required for each rating if the OF Base Point was revised.
 - Revision Date: Latest revision date if the quality base point was revised.

Note: Previous efficiency data displays only if base point(s) are revised during the quarter covered or after the quarter covered ends.

- (4) The Efficiency Section displays:

- Function - Function(s) with efficiency base points relevant to the Operation.
- Program - Program(s) with efficiency base points relevant to each Function.
- Base Point - Base point(s) relevant to each program.
- Numerical Performance Standard (2) - Level of achievement (documents per hour) required for a 2 rating (minimally successful) in efficiency for the OFP Base Point.
- Numerical Performance Standard (3) - Level of achievement (documents per hour) required for a 3 rating (fully successful) in efficiency for the OFP Base Point.
- Numerical Performance Standard (4) - Level of achievement (documents per hour) required to achieve a 4 rating (exceeds fully successful) in efficiency for the OFP Base Point.
- Numerical Performance Standard (5) - Level of achievement (documents per hour) required for a 5 rating (outstanding) in efficiency for the OFP Base Point.

(5) The Previous Efficiency Section displays:

- Base Point - Efficiency Base point prior to any revision if the base point was revised.
- Numerical Performance Standard - Level of achievement (documents per hour) required for each rating if the OFP Base Point was revised.
- Revision Date: Latest revision date if the efficiency base point was revised.

Note: Previous quality data displays only if base point(s) are revised during the quarter covered or after the quarter covered ends.

(6) Employee Signature: The section appears on a separate page following the base points and performance standards. It contains a statement that the employee has been given a copy of the Performance Standards Report and the manager discussed the standards with the employee during a team meeting. Space designated as "Received by:" is provided for the employee's signature and "Date:" is provided for the date the employee received the performance standards.

Reminder: Employee receives one copy and one copy of the signed and dated receipt is placed in the employee's EPF.

(7) An alpha character indicator (base point indicator code) may be located next to a base point (quality and/or efficiency) if the base point was changed after 16 days prior to the beginning of the quarter they cover. The alpha character indicates the following action for that base point:

- "A" - Added; the base point did not calculate from the same quarter, previous year.
- "D" - Deleted (lowered to zero); the base point was deleted after the quarter begins.
- "R" - Raised; the base point was set higher than the calculated base point before the quarter begins.
- "L" - Lowered; the base point was set lower than the calculated base point before the quarter begins or the set base point was lowered after the quarter begins.

3.43.405.3.5
(08-24-2016)

**Revising or Deleting
Implemented Numerical
Performance Standards**

- (1) Base Points/Numerical Performance Standards cannot be added after the beginning of a quarter they are effective. Implemented Base Point/Numerical Performance Standards (base points set and effective at the beginning of the quarter they cover) cannot be raised after the quarter begins. All revisions (lowered or deleted base points) are retroactive to the beginning of the quarter.
- (2) Quality base points are monitored closely by headquarters; revisions are made only by headquarters because the base points are set nationally at the OF (parent) level.
- (3) MEPS systemically reviews and revises added and raised efficiency base points after the last weekly processing of the quarter based on the following criteria:

If the base point was...	And the median is...	Then the system will...
Raised	Lower than the set BP	Lower the BP to the higher of the calculated BP or median rate.
Raised	Higher than the set BP	Retain the set BP (no change).
Added	Lower than the set BP	Lower the BP to the median rate.
Added	Higher than the set BP	Retain the set BP (no change).

- (4) MEPS systemically reviews and deletes any efficiency base point if less than six employees worked the OFP during the quarter (Less Than 6 Rule).
- (5) MEPS also systemically deletes any efficiency base point if less than 6 employees worked the OFP less than 10 hours, unless the employee worked the OFP more than an average of 2 hours per week (Low Hour Restriction).
- (6) Management is provided a time frame after the systemic revisions and prior to the run date of the Annual and the Monthly Individual Performance Reports to lower efficiency base points.

Reminder: Annual IPR and Monthly IPR run 15 days following the last day of the quarter.

Note: All Base Point Indicator Codes are cleared from the Employee Performance Standards after the quarter ends, before the systemic revisions. Only the base point indicators "L" (Lowered) and "D" (Deleted) display on the Employee Performance Standards that generate after systemic revisions. The "Previous Base Point" and the latest "Revision Date" always display for any adjusted or deleted base point.

Caution: If a base point revision is input incorrectly and then corrected during a current quarter or after a quarter ends, the intermediate base point will display as the Previous Base Point. A correction to ensure the Indicator Code and Previous Base Point displays as it should on MEPEPS can be made by inputting the correct previous base point and then inputting the

correct revised base point; the correction must be made at headquarters level because sites cannot raise a base point after two weeks before the beginning of the quarter.

- (7) Management should revise efficiency base points only if issues prevented the employee from achieving the set rate and not solely because the rate was not met.

Example: Employees failed to achieve processing the set number of documents per hour because of system issues, changes to a form processed, or new procedures that increased the time required to complete the work.

Reminder: If an efficiency base point is deleted (lowered to zero), the work for that OFP is unmeasurable for the entire quarter.

- (8) Efficiency base point revisions must be input through the EQSP system on the MEPS Menu by the Site MEPS Coordinator or the Operation MEPS Coordinator.

Reminder: The Employee Performance Standards Report generates after the MEPS systemic revisions and again if management lowers a base point after the systemic revisions. The report must be shared with the employees if the changes pertain to the OFP's they work and the acknowledgement statement signed.

Caution: Each Site should coordinate with each Operation within the Site to ensure revisions are input on the same day to avoid numerous Employee Performance Standards Reports.

3.43.405.4 (08-24-2016) Learning Curve

- (1) Learning curves are provided to ensure employees receive feedback on their performance prior to their performance data becoming measurable under MEPS.
- (2) MEPS Learning Curves are quality driven and are based on the quality level of the OF and provided for each OFP (parent).

Reminder: OFP (parent) is a program to the 4th digit.

- (3) Any employee measured in quality or in quality and efficiency receives the same amount of learning curve for each OFP (parent) based on the quality level of the OF, regardless of the site, when both of the following occur:
1. The manager adds the OFP (parent) to the employee's "Manage Employee Programs" screen accessed by selecting "Manage Programs" on the employee's EQSP Employee Profile Screen; the program is not available for Quality Reviewers to select and record reviews unless the program is displayed as "active" on the Manage Employee Programs screen.
 2. The employee initially reports time and volume to the OFP (parent) on Form 3081, *Employee Time Report*.

- (4) An employee measured in efficiency only does not receive learning curve for the OFP efficiency base point, if an efficiency base point is set for the OFP, the work is considered measured when time and volume is initially reported to the OFP on Form 3081, **Employee Time Report**.
- (5) None of the work performed (quality or efficiency) for an OFP (parent) while under the quality driven learning curve is considered measured data; neither is it used as part of any employee evaluative data.
- (6) The quality review results are included in the MEPS database and the work performed on the OFP become measurable for quality and/or efficiency after the learning curve requirement is met.

3.43.405.4.1
(08-24-2016)

Learning Curve Sampling

- (1) The quality level of the Operation, Function (OF) for the quarter determines the amount of learning curve the employee receives for each OFP (parent) as follows:

If the OF Accuracy is within...	Then the OFP (parent) Learning Curve is...
97.0% or higher (HQW)	2 sample pulls – minimum of 3 documents per sample.
93.0% to 96.9%	3 sample pulls – minimum of 4 documents per sample.
87.0% to 92.9%	4 sample pulls – minimum of 5 documents per sample.
80.0% to 86.9%	6 sample pulls – minimum of 6 documents per sample.
79.9% and below	7 sample pulls – minimum of 7 documents per sample.

- (2) If a sample is pulled that does not contain the number of required documents, the sample is considered a learning curve review type and is not included in evaluative data but it does not count towards the learning curve requirement.
- (3) Learning curve sampling requirements are programmed into MEPS, eliminating the need for management to notify the Quality Team when the employee has met the learning curve on a particular OFP (parent).

Note: All measured employee's work is subject to quality review sampling and reviews should be recorded in EQSP.

- (4) Once the employee meets learning curve for an OFP (parent), the learning curve requirement is met regardless of any future changes to the quality level for that OF.
- (5) If the learning curve is not met during the quarter the employee is placed on learning curve for an OFP (parent), the requirements change if the quality level of the OF changes in the following quarter; any sample that met the learning curve sample size in one quarter is counted as a required sample in the following quarter even if the documents per sample increases in the following quarter.

3.43.405.4.2
(08-24-2016)
Learning Curve Status

- (1) Managers must monitor learning curve status and ensure employees receive learning curve reviews and meet learning curve requirements for assigned OFPs (parent).
- (2) Learning curve monitoring tools available are:
 - Learning Curve Sampling Report.
 - Learning Curve Search.
 - Team Learning Curve Report.
 - “Learning Curve During Period Covered” section on employees’ Individual Performance Reports (Annual, Monthly, Weekly, and Adhoc).
 - Manage Employee Program screen.

3.43.405.4.2.1
(08-24-2016)
**Learning Curve
Sampling Report**

- (1) Team Managers and Quality Managers can create and print a Learning Curve Sampling Request Report for employees within their span of control through the EQSP system, on the MEPS Menu Screen; the span of control for the sample report is based on the assigned Site, Operation, Department, and Team (ODT) on EQSP profiles.

Note: The report can be requested by individual employee SEID or by assigned Operation, Department, and Team.

- (2) The Learning Curve Sampling Report should be monitored and utilized by managers to ensure learning curve is met for each parent program an employee on their team works.
- (3) The Team Manager should provide the report with requested samples and documents per sample to the Quality Manager as a guide for clerks to utilize to ensure learning curve samples are pulled.
- (4) The report contains a listing of employee(s) in work status within the manager’s span of control who have not met learning curve for the OFPs assigned on their Manage Employee Programs. For each employee listed and for each OFP listed that the employee has not met learning curve the report displays:
 - Required samples.
 - Required documents per sample.
 - Completed samples.
 - Remaining samples.
 - Samples/Documents per sample (for manager to enter requested sample pull).

3.43.405.4.2.2
(08-24-2016)
Learning Curve Search

- (1) Quality learning curve status for employees is available by employee SEID on the Learning Curve Search results accessed through the MEPS Menu Screen in the EQSP system.
- (2) The Quality Learning Curve Search Results display:
 - Operation, Function, Program - the OFPs (parent) assigned to the employee (prior and current).
 - Sample Pulls - the number of sample pulls completed for each OFP (parent) worked by the employee.

- Docs per Sample - the required documents per sample for each OFP (parent) listed.
 - Learning Curve Status - "LC Met" or "LC Not Met" for each OFP (parent) listed.
 - Date LC Met - the date the Learning Curve was met (blank if "LC Not Met" is indicated).
- (3) If "0" sample pulls with LC Met is indicated, the employee either met learning curve while measured in TEPS prior to 10/01/2011 or the manager checked the learning curve met box on EQSP.

Note: A learning curve box was available on EQSP until 03/31/2014. The box was systemically checked if the employee met learning curve for the OFP in TEPS prior to 10/01/2011 and if the employee met the MEPS learning curve sample requirements after 10/01/2011. Managers could also check the box if the employee met the TEPS Learning Curve during the MEPS/TEPS parallel (10/01/2011 through 09/30/2013).

- (4) Searching Learning Curve by Operation and Function is also available on the learning curve search screen; the current quarter's learning curve requirement for the requested OF is returned.

3.43.405.4.2.3 (08-24-2016)

Team Learning Curve Report

- (1) The Team Learning Curve Report is used to monitor learning curve status; it provides managers with learning curve information in real time (up to the time the report runs).
- (2) A report generates for each Site and is formatted by Operation and Team within the Operation.
- (3) The Team Learning Curve report displays:
- Report Title - Team Learning Curve Report.
 - Operation - First two digits of the operation followed by the operation name.
 - Team - Three digit team number.
 - Run Date - Date the report was run.
 - Employee Name.
 - SEID - Employee's Standard Employee Identifier.
 - Quality Performance Plan Start Date - Date the employee was placed on a measured plan for quality.
 - Operation, Function, Program - OFP (parent) the employee has been assigned or is currently assigned to work.
 - # of Samples Pulled - Total number of learning curve samples pulled for the Operation, Function and Program listed.
 - Docs per Sample - Total number of documents required for each learning curve sample.
 - Remaining # of Samples Needed - Total number of learning curve samples remaining to met learning curve for the OFP listed.

Note: An asterisk appears for the "Remaining # of Samples Needed" if the employee met the learning curve in TEPS, or if the manager checked the "Learning Curve Met" box previously located in the employee's profile on the EQSP system. This is referred to as "forced met".

- (4) The Team Learning Curve Report generates weekly after the week ending processing is completed and is available on Control-D. The Control-D Report Name is "TEAM LEARNING CURVE RPT"; the Control-D job name is MEPTLC.

3.43.405.4.2.4
(08-24-2016)

**Learning Curve on
Individual Performance
Reports**

- (1) A "Learning Curve During Period Covered" section on the Employee Individual Performance Report contains quality review learning curve information for any OFP worked under learning curve
- (2) The following Learning Curve information is displayed based on the period covered in the IPR:
- **Organization** – Organization (2 digit) reviewed under Learning Curve During Period Covered on the IPR.
 - **Function** – Function reviewed under Learning Curve During Period Covered on the IPR.
 - **Parent Program** – Parent Program (4th digit) reviewed under the Function shown.
 - **Quarter** – Applicable quarter(s) the Function/Parent Program was reviewed while under learning curve.
 - **OF Quality Level** – Function's accuracy level during the quarter review was performed.
 - **Learning Curve Required Samples** – Number of learning curve samples required based on the accuracy level of the OFP.
 - **Learning Curve Minimum Documents Per Sample** – Minimum number of documents the sample must contain to be considered a learning curve sample.
 - **Total Samples Pulled** – Number of samples pulled for the OFP reviewed under learning curve.
 - **Remaining Samples Needed** – Samples needed to meet learning curve requirement for OFP.
 - **Learning Curve Met Date** – Date learning curve was met for the OFP (if met during the period covered on the IPR).

Note: A sample must contain at least the required minimum documents per sample to be included as a sample in the "Total Samples Pulled".

3.43.405.4.2.5
(08-24-2016)

**Learning Curve on
Manage Employee
Programs Screen**

- (1) The Manage Employee Programs screen on the EQSP Employee Profile includes a column for "LC Met Date".
- (2) The LC Met Date generally displays as blank until reviews completed meet the learning curve sampling requirements (determined by the OF quality level); when the learning curve sampling requirements are met, the "LC Met Date" displays.

Reminder: Learning curve begins for an OFP (parent), when the manager adds the program to the Manage Employee Programs screen and the program status is "Active".

3.43.405.4.3
(08-24-2016)

**Learning Curve
Employee Notification**

- (1) Management is required to provide written notification to the employee when the learning curve is met for each OFP (parent).
- (2) A notice generates on the “Single Event Sample Pull Report” that indicates when quality review sample pulls are applied to learning curve; the notice reads: “This sample is under Learning Curve and will not be used in evaluative data.”

Note: The Single Event Sample Pull report is available for quality reviewers and quality managers on the EQSP Quality Reports Selection screen. See IRM 3.30.30, Embedded Quality for Submission Processing (EQSP) System.

- (3) A notice also generates on the “Single Event Sample Pull Report” when the employee receives their last learning curve review for the specific OFP (parent); the notice reads: “This is your last review while under Learning Curve. All future individual reviews may be used in evaluative data.”
- (4) The Single Event Sample Pull Report must be provided to the employee and serves as the official written notification that learning curve is met for the OFP (parent).

Caution: Each Single Event Sample Pull Report is printed for every quality review sample input to the employee’s SEID; the quality review team manager must provide the report to the employee’s team manager; the team manager must provide the employee with a copy. The notification serves as a record for the employee and for the manager of all quality reviews completed for each employee as well as a record of any defect(s) identified.

- (5) The employee should initial and date any Single Event Sample Pull Report indicating “This is your last review while under Learning Curve....” and the manager should retain a copy of the initialed report; this serves as an acknowledgment that the employee received the learning curve notification.

Note: An employee initialed and dated copy of any Single Event Sample Report with defect(s) identified must also be retained by the manager.

- (6) After the learning curve requirement is met for an OFP (parent), the review results are included in the MEPS measured database and the work performed on the OFP becomes measurable for quality and/or efficiency.

Note: Quality becomes measurable immediately after the learning curve is met. The EQSP system tracks quality review in real time. Efficiency becomes measurable the following week; efficiency data is tracked weekly on the IPRs and cannot be determined on a specific day.

Caution: Individual Performance Reviews must not be performed for an employee for the OFP (parent) on the same day Learning Curve was met for that OFP (parent). The employee must receive the “Single Event Sample Pull Report” with the notification indicating the review is the last review while under learning curve with the review results/feedback prior to measured review. Effective Sept. 29, 2016, quality reviewers receive an error message if an Individual performance review is created for the same OFP

with the same review date as the last learning curve review required for the OFP; the ESP system does not allow completion of the sample pull DCIs.

3.43.405.5
(08-24-2016)
**Individual Performance
Reports**

- (1) Individual Performance Reports (IPR) generate for GS-08 and below employees on a measured performance plan in quality and /or efficiency if Form 3081, *Employee Time Report* data was submitted for the time period covered on the report, if an IPR adjustment was completed, or if measured quality review was completed.
- (2) Data for the IPR is received from time and volume information in SETR and from quality review results input to the EQSP system.
- (3) MEPS provides the following Individual Performance Reports:
 - Weekly Individual Performance Report.
 - Monthly Individual Performance Report.
 - Annual Individual Performance Report.
 - Ad Hoc Individual performance Report.
- (4) Two copies of each IPR print at each site as part of the routine campus print distribution. One copy must be provided to employee and one copy maintained in the EPF.
- (5) The reports are also available on Control-D. The Control-D Report Names and Job Names are:
 - “WEEKLY IPR”, MEPWKI.
 - “MONTHLY IPR”, MEPMIP.
 - “ANNUAL IPR”, MEPAIP.
 - “AD HOC IPR”, MEPADH.

3.43.405.5.1
(08-24-2016)
**Individual Performance
Reports and
Management
Responsibility**

- (1) Managers must actively review and distribute IPRs timely.
- (2) Managers must verify all employees on a measured performance plan for quality and/or efficiency receive an IPR; if an IPR does not generate for a measured employee, the manager must determine the reason(s) and take corrective action to resolve the issue. Common issues are:
 - An employee’s EQSP profile does not correctly reflect a measured performance plan.
 - The employee’s assigned organization code in Employee Masterfile (EMF) is incorrect (ensure all PAR actions are completed timely).
- (3) Managers must verify the entity, performance plan, quality, and efficiency data:
 - Ensure the dates placed on measured plans are correct and verify the Annual Measured CJE counter is correct.
 - Ensure the quality data is correct - compare Single Event Sample Pull Reports with the quality review data for accuracy.
 - Ensure the efficiency data is correct - compare SETR data with the IPR data for accuracy.

- (4) Managers should review the Learning Curve during Period Covered and utilize the data as a tool to ensure learning curves are met.
- (5) Managers should discuss the performance data with employees and utilize the data to identify changes needed to performance goals, a need for action plans, and tracking employee performance improvement.
- (6) Managers must ensure employees have a clear understanding of data on the IPRs and provide training as needed. Managers should also encourage employee's to regularly review the reports for accuracy.

3.43.405.5.2
(08-24-2016)

Individual Performance Reports - Description

- (1) Weekly Individual Performance Reports generate weekly, Monthly Individual Performance Reports generate monthly, and Annual Individual Performance Reports generate annually (15 days after the end of the quarter) for employees based on their annual rating period. Ad Hoc Individual Performance Reports are requested for specific time periods.
- (2) The employees performance data is displayed on the report by Assigned Organization Code and then in employee last name order within each assigned Org.
- (3) The section formatting on each IPR is alike; the differences are in the data contained within the sections and depend upon the period covered by each report. The sections of the Monthly, Weekly, Annual and Ad Hoc IPR are listed below.
- (4) Heading: The Weekly, Monthly, Annual, and Ad Hoc IPR include information identifying the report as follows:
 - Report Title - Individual Performance Report.
 - Report Subtitle - Quality and Efficiency Rating.
 - Site - Austin, Cincinnati, Kansas City, Ogden, or Fresno.
 - Reporting Period - Weekly, Monthly, Annual, or Ad Hoc.
- (5) Entity: The Weekly, Monthly, Annual, and Ad Hoc IPR includes information identifying the employee as follows:
 - Org - 5 digit employee's assigned Organization Code (Operation, Department, Team).
 - Name - Employee's last name, first name, and middle initial.
 - Employee SEID - 5 digit employee's SEID (Standard Employee Identifier).
 - Grade/Step - Employee's grade and step at the time the report runs.
 - Employee Appt - Permanent, Seasonal Includes Part Time Permanent, Term, Intermittent. or Temporary.
- (6) Performance Plan: The Weekly, Monthly, Annual, and Ad Hoc IPR includes information identifying the employee's measured performance plan as follows:
 - Date Placed on Quality Plan - MM/DD/YYYY; date employee was last placed on a measured performance plan for quality.
 - Date Placed on Efficiency Plan - MM/DD/YYYY; date employee was last placed on a measured performance plan for efficiency.
 - Annual Measured CJE Counter - Days counted towards the 60 day annual requirement.

Reminder: Employees are not considered ratable until they have been on their CJE's at least 60 calendar days during their annual rating period. Seven calendar days accrue each week an employee submits Form 3081 until 60 days are displayed.

- (7) Report Dates: The Weekly, Monthly, Annual, and Ad Hoc IPR includes information identifying the report dates as follows:
- Report Run Date -The date the Weekly, Monthly, Annual or Ad Hoc IPR generated.
 - From Date - The beginning date of the week covered on the Weekly IPR, the beginning date of the appraisal period on the Monthly IPR and the Annual IPR, and the date requested on the Ad Hoc IPR.
 - To Date -The ending date of the week covered on the Weekly IPR, the ending date of the appraisal period on the Monthly IPR and the Annual IPR, and the date requested on the Ad Hoc IPR.

Note: The data contained on the Monthly IPR can be determined by the report run date. For example, a report run date of 12/08/2016 indicates the data is through month ending November, 2016; a report run date of 02/02/2017 indicates the data is through month ending January, 2017.

- (8) Quality Rating Details - Includes all measured OFs with the total documents reviewed and total documents in error for the period covered.
- (9) Learning Curve During Period Covered - Details any learning curve quality review performed during the period covered.
- (10) Efficiency Rating Details - Includes hours worked on all direct OFPs with time and volume (if applicable) reported for the period covered (includes Function 880).
- (11) Total Overhead Hours -Includes time reported for any overhead OFPs for the period covered (Function 990).
- (12) Total Direct Hours - All direct time reported during the period covered (exclude Function 990).
- (13) Total Hours for the Period - The total of all hours reported during the period covered (overhead hours and direct hours).
- (14) Adjustments Made During the Period Covered - Reflects IPR Adjustments made during the "From Date" and "To Date" to reported time (direct or overhead) and/or volume.

3.43.405.5.3
(08-24-2016)
**Weekly Individual
Performance Report**

- (1) A Weekly Individual Performance Report generates for any GS-08 and below employee measured in quality and/or efficiency who submitted Form 3081 for the week ending and/or received quality reviews for the week ending of the report.

Note: A weekly IPR generates when Form 3081 is not submitted if quality review results are entered in the EQSP system for the employee. Quality review results entered with a review date for the week covered input prior to Thursday of the subsequent week will appear on the Weekly IPR.

Note: Caution:

A weekly IPR will generate even if a quality review input for the week is deleted prior to the run date of the IPR. The quality section will indicate there is no quality data for the time frame requested and the efficiency section will indicate there is no efficiency data for the time frame requested.

- (2) If the last day of the June 30, September 30, and/or December 31 quarter ends on a Monday through Thursday, employees are required to submit two Forms 3081 for the calendar week; this is referred to as split week processing. As a result, two weekly IPRs generate for the split week processing; one for the final days in the last week of the ending quarter and one for the first days in the week of the new quarter.
- (3) The Weekly IPR heading indicates *Reporting Period: Weekly*; the report includes:
 - Entity information and Performance Plan information for each employee.
 - Report information with the “From Date” and “To Date” covering one week.
 - Quality data and Efficiency data for the week covered.
 - Learning Curve information for the week covered.
 - Overhead time reported for the week covered.
 - Total Overhead Hours, Total Direct Hours, and Total Hours for the week covered.
 - IPR Adjustments input during the week covered for time and/or volume for any prior week.
- (4) The weekly IPR does not include a quality rating or an efficiency rating; fields used to compute the ratings appear as blank.

3.43.405.5.4
(08-24-2016)

**Monthly Individual
Performance Report**

- (1) A Monthly Individual Performance Report (IPR) generates for any GS-08 and below employee measured in quality and/or efficiency who submitted Form 3081 during their rating period and/or received quality reviews during their rating period. A monthly IPR also generates if an unmeasured employee had measured data during the month (submitted Form 3081 and/or had measured quality review results entered in EQSP system).
- (2) The Monthly IPR includes data from the beginning date of the employees rating period through the last week of the month covered on the report.

Note: If a month ends on a Saturday, Monday, or Tuesday, the last day of the month is considered the previous Saturday. If the month ends on a Wednesday, Thursday, Friday, or Saturday, the last day of the month is considered that Saturday.

Exception: The Monthly IPR contains data through the actual last day of the month for split week processing.

- (3) The beginning date of an employee’s rating period is determined by the last digit of the employee’s Social Security Number. Rating period beginning date and ending date are:

If the Last Digit of the SSN is ...	Then the Rating Period is ...
0, 1, or 2	October 1 through September 30.
3, 4, or 5	January 1 through December 31.
6, 7, 8, or 9	April 1 through March 31.

- (4) The Monthly IPR heading indicates *Reporting Period: Monthly*; the report includes the following:
- Entity information and Performance Plan information for each employee.
 - Report information with the “From Date” as the beginning of the employee’s rating period and the “To Date” as the ending of the employee’s rating period.
 - Quality and efficiency data for the period covered.
 - Learning Curve information for the period covered.
 - Overhead time reported for the period covered.
 - Total Overhead Hours, Total Direct Hours, and Total Hours for the period covered.
 - IPR Adjustments input for any week from the beginning of the employee’s rating period through the end of the month covered by the IPR.
- (5) A rating generates and appears on the Monthly IPR if the employee:
- Was on a measured quality performance plan and/or a measured efficiency performance plan for at least 60 days during their annual rating period.
 - Spent at least 40% of their direct time or 25% of their total time on measurable work.

Reminder: The 60 days on measured CJE counter starts over at the beginning of the annual rating period. The work is considered measurable and included in the rating data after the 60 day counter is reached.

- (6) The Monthly IPR is not always indicative of the employee’s performance. Base points are often revised after the quarter ends; the precision margin and adjusted accuracy often decrease as the number of documents reviewed and time spent working the program increase.

Note: The Monthly IPR that generates after the quarter ends runs after all quarterly processing is complete; therefore, ratings reflect any lowered or deleted base points through the end of the quarter.

3.43.405.5.5
(08-24-2016)
**Annual Individual
Performance Report**

- (1) Annual IPRs generate quarterly based on employees’ rating periods. An annual IPR generates for any GS-08 and below employee who was measured at any time during their rating period and who submitted Form 3081 and/or received quality reviews at any time during their rating period. A measured rating appears on the IPR if:

- The employee was assigned to a measured performance efficiency at any time during their rating period and was on measured CJEs at least 60 days.
- Performance data was reported for quality (quality review results) and/or efficiency (work had base points assigned) during their rating period.
- The employee spent at least 40% of their direct time on measurable work or at least 25% of their total time on measurable work.

Exception: Annual IPRs do not generate for the quarter ending June 30; there are no rating periods for July 1 through June 30.

- (2) The Annual IPR heading indicates “Reporting Period: Annual”; the report includes the following:
 - Entity information and Performance Plan information for each employee.
 - Report information with the “From Date” as the beginning of the employee’s rating period and the “To Date” as the ending of the employee’s rating period.
 - Quality and efficiency data for the employee’s rating period.
 - Learning Curve information for the employee’s rating period.
 - Overhead time reported during the employee’s rating period.
 - Total Overhead Hours, Total Direct Hours, and Total Hours reported during the employee’s rating period.
 - IPR Adjustments input for any week of the employee’s rating period.
- (3) The Annual IPR generates after the quarterly runs are complete. Management should complete the following prior to the run date of the report to ensure rating calculations on the reports are correct:
 - All required IPR adjustments for time and/or volume for all weeks during the employee’s rating period are input.
 - Quality review data is complete and correct.
 - Any base point revisions and deletions are completed.
- (4) Annual IPRs are provided to assist management with preparation of the employee’s annual evaluation. Performance summaries are not, in and of themselves, performance appraisals; they are evaluative recordations (refer to *2016 National Agreement*, Article 12, Section 15.)

3.43.405.5.6
(10-01-2011)

**Ad-Hoc Individual
Performance Report**

- (1) An Ad Hoc IPR can be requested by management to cover any amount of time within an employee’s rating period.
- (2) The Ad Hoc IPR may be requested for various reasons. Example are:
 - Obtain data for a specific period of time if an employee changes jobs.
 - Assist with quarterly and mid-year counseling.
 - Release/Recall in absence of an annual appraisal (if employee has been on measured CJEs for 60 days).
 - Assist with any type of performance counseling.
- (3) The Ad Hoc IPR heading indicates *Reporting Period: Ad Hoc* and includes entity information, performance plan information, and report information with the *From Date* as the beginning date requested and the *To Date* as the ending date requested.

- (4) The Ad Hoc IPR contains all individual performance data for the employee and includes a rating if the rating criteria has been met.
- (5) The Ad Hoc is requested through the EQSP MEPS Menu and is available to Management based on the Manager’s span of control; the span of control is the assigned Site and Operation/Department/Team located on the Manager’s EQSP profile and the Employee’s EQSP profile.

Note: Ops MEPS Advisors can request an Ad Hoc IPR based on assigned Operation and Site Admins can request an Ad Hoc based on Site span of control.

- (6) To request an Ad Hoc IPR through the EQSP system:
 1. Click “MEPS” on the EQSP Main Menu.
 2. Click “IPR Adhoc” on the MEPS Menu.
 3. Enter employee’s SEID on the Performance Parameter Screen and click “Find SEID”.
 4. Select “Current” or “Prior” rating period.
 5. Select the Start Date - date cannot be prior to the beginning of the employee’s rating period selected.
 6. Select the End date - date cannot exceed the last week of the rating period if prior is selected or exceed the latest week ending date processed if current is selected.
 7. Click “Send to Control-D”.

Note: The report will be available on Control D:

If the Ad Hoc is Requested ...	Then the IPR will be available ...
Prior to 10:00 pm EST	The following day.
After 10: pm EST	2 days after the request.

3.43.405.5.7
(08-24-2016)
Quality Rating Details

- (1) The Quality Rating Details section of the IPR contains all data required to determine a quality rating.
- (2) Individual Performance Review results for the period covered on the IPR displays based on the OF (parent) and quarter the review occurred. A rating is determined as follows:
 - Total Docs Rev’d - Total number of documents sampled for the applicable Org and Function (OF parent) after learning curve has been met for the OFP (parent).
 - Total Docs in Error - Total number of defective documents identified in the samples (documents reviewed).

- Measured Hours Worked - Based on the hours **with volume** reported on Form 3081 for the OF after learning curve has been met for the OFP (parent); the sum of the OF hours is displayed as Total Measured Hours - Quality.

Note: The percent to direct time is determined by the Total Measured Hours - Quality divided by the Total Direct Hours (includes all hours on Form 3081 except Function 990). The percent to total time is determined by the Total Measured Hours - Quality divided by the Total Hours for the Period (includes all direct and overhead hours).

Reminder: Only hours with volume reported is considered as measured hours for quality.

- Base Point - Specific performance level for the OF, displayed to the tenth.
- Performance Standards - Accuracy levels required to achieve 2, 3, 4, or 5 level of performance for the function determined by the National Ranges and the base point.
- Accuracy - The total number of correct documents divided by the total documents reviewed multiplied by 100 displayed to the tenth.

Note: The formula reads: $[(\text{Total \# of Documents Correct} / \text{Total \# of Documents Reviewed}) * 100]$.

- Precision Margin - A value added to an employee's accuracy rate to reach a 90% confidence level: $1.64 * [\text{square root of } ((\text{Accuracy} * (100 - \text{Accuracy})) / \text{Review Count}) * \text{square root of } (1 - (\text{Review Count} / \text{Function Volume}))]$ displayed to the tenth.
- Adjusted Accuracy - Accuracy plus Precision Margin displayed to the tenth, but never more than 100.0.
- Employee Index - A measure of the employee's effectiveness for quality computed for each specific OF: $(100 * [1 + (.5 * (\text{Adjusted Accuracy \%} - \text{Base Point}) / (100 - \text{Base Point}))])$ displayed to the thousandth.
- Time Weight - The Measured Hours Worked for each OF divided by the Total Measured Hours - Quality; the sum of time weight for each OF should equal 100 percent of employee's time on measured work.
- Time Weighted Index - The Employee Index times the Time Weight for each specific OF: $(\text{Employee Index}) * (\text{Time Weight})$ displayed to the thousandth.
- Employee Time Weighted Score - The sum of each OF Time Weighted Index displayed to the thousandth (the result is compared to the National Ranges to determine the quality rating for a 2, 3, 4, or 5)
- Rating - The numerical rating for Quality, 1-5, appears on a Monthly IPR, Annual IPR, and Ad Hoc IPR if the Annual CJE Counter reached 60 days, and % to Direct is at least 40.0 **or** % to Total is at least 25.0.

Note: An asterisk appears in place of the numerical rating if ratable requirements are not met.

Reminder: A rating does not ever appear on a Weekly IPR; Precision Margin, Adjusted Accuracy, Employee Index, Time Weight, Time Weighted Index, and Employee Time Weighted Score appear as blank.

3.43.405.5.8
(08-24-2016)
**Quality Rating - High
Quality Work**

- (1) If a Function is considered high quality, the Total Documents Reviewed, Total Documents in Error, Accuracy, Precision Margin, and Adjusted Accuracy display as N/A. The Base Point displays as 97.0 and the Employee Index is always 140.000 (representing a “5” rating on the National Ranges).
- (2) If an employee works only HQF, the rating will be a “5”. If HQF and other OFs are worked, the employee must achieve the minimum Employee Time Weighted Score of 140.000 for an overall “5” rating in all functions worked during the rating period.

Reminder: An employee must meet learning curve for each OFP (parent) in a HQF before the review is considered measured.

Caution: An employee may work all high quality functions and the rating display as “4” due to a system error. Anytime the Employee Time Weight Score is equal to 140.00, the rating calculation must be considered a “5”.

3.43.405.5.9
(08-24-2016)
Efficiency Rating Details

- (1) The Efficiency Rating Details section of the IPR contains all data required to determine an efficiency rating.
- (2) Direct time reported on employee’s Form 3081 displays for the Organization, Function, Program and quarter the OFP was worked. A rating is determined as follows:
 - Volume - Number of documents reported on Form 3081 for each OFP listed.

Reminder: Volume must be reported for all OFPs measured in quality.

- Hours - Time spent working the OFP reported on Form 3081 for each OFP listed.
- Total measured - Efficiency - Sum of the volume reported for each measured OFP and sum of the hours reported for measured OFPs (excludes learning curve volume and hours).
- Total Unmeasured - Efficiency - Sum of the volume reported for OFPs with no base points and sum of the hours for OFPs with no base points.
- Total Learning Curve - Efficiency - Sum of the volume reported and sum of the measured hours for OFPs under Learning Curve.
- Total with no volume - Sum of measured hours for OFPs (with base points) without volume reported.

Note: The percent to direct time is determined by the Total Measured Hours - Efficiency divided by the Total Direct Hours (includes all hours on Form 3081 except Function 990). The percent to total time is determined by Total Measured Hours - Efficiency divided by the Total Hours for the Period (includes all direct and overhead hours).

- Documents per Hour - The OFP Volume divided by the Hours reported to the OFP displayed to the tenth.
- Base Point - Specific performance level for the OF displayed to the tenth.
- Performance Standard - Number of documents processed per hour to achieve 2, 3, 4, or 5 level of performance for the OFP determined by the National Ranges and the base point displayed to the tenth.

Note: Performance Standards display only for measured OFPs with efficiency base points when volume is reported on Form 3081.

If the ...	Then the...
OFP is unmeasured (no efficiency BP)	Standards are blank.
OFP is measured but no volume is reported	"NA" displays under each standard.
OFP is measured and quality based learning curve has not been met	"LC" displays under each standard.

- Employee Effect - A measure of the employee's effectiveness for efficiency computed as 100 multiplied by the documents per hour divided by the efficiency base point.
- Time Weight - The measured hours worked for each OFP divided by the Total Measured Efficiency- Hours; the sum of time weight for each OFP should equal 100 percent of employee's time on measured efficiency work.
- Time Weighted Effect - Employee Effectiveness times Time Weight for each specific OFP.
- Employee Time Weighted Score - Sum of each OFP Time Weighted Effectiveness (it is compared to the National Ranges to determine the efficiency rating for a 2, 3, 4, or 5).
- Rating - Appears on a Monthly IPR, Annual IPR, and Ad Hoc IPR if the Annual CJE Counter reached 60 days, and % to Direct is at least 40.0 or % to Total is at least 25.0.

Reminder: An asterisk appears in place of the numerical rating if the ratable requirements are not met. A rating does not ever appear on a Weekly IPR and does not appear on a Monthly IPR until the Annual CJE Counter reaches 60 days.

3.43.405.6
(08-24-2016)

Individual Performance Report (IPR) Adjustments

- (1) An IPR Adjustment is required when a correction is needed to an employee record input to Single Entry Time Reporting Online (SETR) for direct **and** overhead programs for any week other than the current week; Direct Hours are defined as the total of all hours worked exclusive of overhead hours and include all 880 functions. Overhead Hours are defined as time spent on 990 function codes.
- (2) MEPS IPR Adjustments are not required for time code changes.
- (3) IPR Adjustments are necessary to ensure employees' performance data reported to a specific OFP for hours and volume are recorded correctly on all Individual Performance Reports.
- (4) An IPR Adjustment is based upon errors found on the Employee's Weekly IPR and/or Form 3081 (SETR input).

Reminder: The manager is responsible to review and verify data on employees' IPRs; managers should also encourage employees to regularly review and verify all quality and efficiency data on their IPRs.

- (5) IPR Adjustments are entered directly into the EQSP system through MEPS and can include data that needs to be added, changed, or deleted for an OFP for time and/or volume.
- (6) IPR Adjustments can be made for any week ending date covering the last 52 weeks; however, IPR Adjustments should be made weekly as errors are identified. Failure to process timely MEPS IPR Adjustments may result in:
 - Incorrect employee measured efficiency ratings for performance appraisals.
 - Incorrect “Total Measured Hours - Quality” and “Total Measured Efficiency” used to calculate employee’s time on a measured plan and meet the MEPS requirement that an employee spends 40% of direct time or 25% of total time on measured work to receive a measured rating.
 - Incorrect efficiency calculated base points.

Note: Quality Review Adjustments required to correct erroneous Individual Performance Reviews are made directly to the review results in the EQSP System by the Quality Team Manager. A Quality Review Adjustment will change the quality review results (total documents reviewed and/or total documents in error) reflected on the Monthly and Annual IPRs. If reviews for the prior week ending are corrected by COB of the subsequent Wednesday, the Weekly IPR will display the correct data.

- (7) MEPS IPR Adjustments appear on the Weekly IPR after the adjustment is completed; they subsequently appear on the Monthly IPR and on the Annual IPR and on any applicable Ad Hoc IPR.

Reminder: IPR Adjustments appear in the “Adjustments Made During the Period Covered” section of each IPR.

- (8) **Always verify the adjustment appears on the IPR and verify the adjustment was completed correctly.**

Caution: Form 6489, *IPR Adjustments*, **must be submitted** through the Reports Staff to ensure necessary adjustments to the WP&C (Work Plan & Control) are completed and the PCA (Production Control and Accounting) reports are correct.

- (9) IPR adjustments for MEPS are input through an adjustment screen accessed from the EQSP Edit Employee Profile screen. The button, IPR Adjustment, is located at the bottom of the screen and is used to begin the process.
- (10) After clicking on the IPR Adjustment button, the EQSP IPR Search/Add Adjustment Screen will be displayed. Input the period ending date (will usually always be a Saturday, except during split week processing) of the adjustment needing to be made; then click on Search. The EQSP IPR Search Results Screen will be displayed.
- (11) This screen will display every OFP input from Form 3081 for that period ending. Click on the line item where the adjustment is needed. After the change is input, click on Save. You will be taken back to the EQSP IPR Search Results Screen where additional adjustments can then be made.

- (12) If a line needs to be added to the week ending, from the EQSP IPR Search/Add Adjustment Screen, click on Add. Input the information and click on Save.
- (13) Form 14243, the MEPS IPR Adjustment Form, can be utilized to record adjustments needing to be input to the EQSP IPR Adjustment Screen.

3.43.405.6.1
(08-24-2016)
Form 14243

- (1) Form 14243, "MEPS IPR Adjustments" is available to record adjustments required in MEPS when incorrect performance data is identified on a Weekly IPR. The information on Form 14243 is then entered into MEPS through the EQSP System.

Note: The Team Manager can notate the adjustment made on the Weekly IPR and on Form 3081 (or SETR print) as recordation rather than on Form 14243; however, using Form 14243 is recommended.

- (2) Form 14243 is available on the Electronic Publishing Website and can be completed online. Complete the blocks provided on Form 14243 as follows:
 - Enter your name, your title, the date Form 14243 is completed, and your phone number and your mail stop.
 - Week Ending - Enter the week ending date from the weekly IPR the adjustment is correcting (a Saturday date unless it is for a split week processing).
 - Organization, Function, Program - Enter the 5-digit Organization Code, 3-digit Function Code, and 5-digit Program Code the employee reported time to or, if adding data, the OFP the employee should have reported time to.
 - SEID - Enter the employee's SEID.
 - Last Name - Enter the employee's last name.
 - Hours - Enter the hours as they should have appeared on the Weekly IPR (enter "0.0" to remove all hours and enter "NC" if hours are not being adjusted).
 - Volume - Enter the volume as it should have appeared on the Weekly IPR (enter "0" to remove all volume and enter "NC" if volume is not being adjusted).

Example: If 3.4 hours and 24 documents reported to OFP 31-140-00008 should have been reported to OFP 31-140-00009, correct the hours for OFP 31-140-00008 to "0.0" and the volume to "0". Add OFP 31-140-00009 with 3.4 hours and 24 volume.

Caution: If an adjustment is made to remove volume from a measured OFP and add volume to the same OFP because an employee failed to report volume on a time code, remove the hours from the OFP with no volume reported and add the hours to the OFP with time and volume reported. (MEPS recognized the OFP with time but no volume as unmeasured and the OFP with time and volume as measured. If the employee had reported time and volume on the OFPs for both time codes, weekly processing would have combined them into one record on the IPR.)

- (3) Form 14243 should be attached to the Weekly IPR and to Form 3081 or to a SETR print for the week the adjustment is correcting. It is recommended that the Team Manager input the adjustment directly into the EQSP System. If a

designated Operation MEPS Coordinator inputs the correction, a copy of the Weekly IPR and Form 3081 or SETR print **must** be attached to Form 14243 and forwarded to the Coordinator.

3.43.405.6.2
(08-24-2016)
**MEPS IPR Adjustments
and EQSP**

- (1) IPR adjustments for MEPS are input through an adjustment screen accessed from the MEPS Menu in the EQSP system based on span of Control.
- (2) To access the IPR Adjustment Search Results screen and view the OFPs and time and volume reported on an employee's Weekly IPR:
 1. Click "MEPS" on the EQSP Main Menu and click "IPR Adjustment" on the MEPS Menu.
 2. Enter the employee's "SEID".
 3. Select the quarter from the "Quarter" drop down menu (the current and previous 4 quarters are available for selection in the Quarter drop down menu).
 4. Select the week ending date from the "Week Ending Date" drop down menu (the week ending dates that fall within the quarter selected are available in the Week Ending Date drop down menu.).
 5. Click "Search".

Note: "No time and volume were reported for this week ending date" message appears if SETR data was not available for the employee.

Caution: IPR Adjustments for the prior week ending cannot be input until Thursday (after week ending processing is completed).

- (3) To access the "IPR Adjustment - Add Record" screen and add data that should appear on the Weekly IPR for the week ending date:
 1. Click "Add Record" on the IPR Adjustment Search Results screen.
 2. Enter the 2-digit "Operation", 3-digit "Function", 5-digit "Program", correct "Hours" and correct "Volume" in the applicable fields on the IPR Adjustment – Add Record screen.
 3. Click **Save**.

Note: All fields require an entry. Enter "0" if the OFP adjustment does not include volume; adding hours for overhead OFPs would require a "0" in the volume field. If the SETR user does not enter a volume, SETR processes it as "0". The files received for weekly processing show "0" volume for overhead codes, even though the user did not input a volume in SETR. This also occurs when a regular production code with no volume is entered; SETR processes the volume as "0".

- (4) To access the "IPR Adjustment – Edit Record" screen and correct data previously reported in SETR that appears incorrectly on the Weekly IPR for the week ending date (or correct data previously added on the IPR Adjustment – Add Record screen):
 1. Click the edit icon on the IPR Adjustment Search Results screen for the line item being adjusted.
 2. Enter the correct hours in the "New Hours" field and the correct volume in the "New Volume" field on the IPR Adjustment – Edit Record screen.

3. Click "Save".

3.43.405.6.3
(08-24-2016)

Efficiency Measure Code

- (1) The MEPS process analyzes efficiency hours and volume in conjunction with performance plan, quality learning curve, and efficiency base point data to determine the Efficiency Measure Code. The Efficiency Measure Code Values for an OFP are:
 - M = Measured (has an efficiency base point).
 - T = Learning Curve (has an efficiency base point but employee is on learning curve).
 - N = Time reported but volume reported is "0" (has an efficiency base point).
 - U = Unmeasured - employee is not on a measured performance plan for efficiency.
 - U = No efficiency base point.
- (2) The OFP hours and or volume are analyzed any time efficiency data is changed and recalculation occurs as required. For example: Measure Code recalculates from "N" to "M" or "T" if volume is added to an OFP with base points after hours only were reported. Likewise, the measure code recalculates from "M" to "U" if a base point systemically deletes after the quarter ends.
- (3) A "Recalculate Measure Codes" function is available on the IPR Adjustment Search Results screen; it allows a user (based on span of control) to request the system to recalculate the Efficiency Measure Code(s) for the selected week ending.
- (4) When "Recalculate Measure Codes" is clicked, the system analyzes each OFP listed based on the Measure Code Values and determines the correct Measure Code. The user receives a message indicating the Measure Codes were updated successfully.

Note: Because each OFP listed for the week ending date is selected through the recalculate function, a recalculation was completed successfully message generates even if no changes are made to a Measure Code Value.

- (5) Examples of when to manually recalculate the Efficiency Measure Code Values include:
 - A manager adds an OFP to the Manage Employee Programs screen after a measured (quality and efficiency) employee reported time and volume to the OFP with an efficiency base point; the Measure Code Value recalculates from "M" (Measured) to "T" (Leaning Curve).
 - Quality Learning Curve reviews are corrected to revise the Learning Curve Met Date for an OFP after the employee reported time and volume to the OFP; the Measure Code Value recalculates from "T" (Learning Curve) to "M"(Measured).
- (6) Efficiency Measure Code recalculation is not considered an IPR Adjustment and therefore does not appear in the "Adjustments Made During the Period Covered" section of any IPR.

3.43.405.7
(08-24-2016)

Quality Review

- (1) Quality Review for MEPS is performed for all OF work that has a quality base point. There are two types of review performed:

- OF/Product Review - performed for High Quality Work.
 - Individual Quality Review - performed for work completed by employees measured in quality that is not HQW.
- (2) Because employees may be measured in quality and unmeasured in efficiency, few Submission Processing employees will be unmeasured in quality. It follows that most Submission Processing employees will be subject to quality review - either Individual Performance Review or HQF Product Review.
- (3) The quality manager must ensure every Single Event Sample Pull Report is printed and provided to the team manager for every sample reviewed and input to the employee's SEID. The team manager must provide the employee with a copy of the report for their records; the report provides details of the sample reviewed including:

- Review Type.
- Number of correct documents.
- Number of defects identified.
- Defect details (if defects are identified).

Caution: If the Single Event Sample Pull Report indicates includes identified defects, the manager must ensure a copy is initialed and dated by the employee as an acknowledgment that the employee received the quality review results.

Reminder: The employee should initial and date any Single Event Sample Pull Report indicating the sample is the last Learning Curve Review and the manager should ensure retain a copy of the initialed report.

- (4) The process of selecting a portion of completed work for review is called sampling. Random sampling is the process of choosing a sample in such a way that all completed work has the same chance of being included in the sample regardless of when the work is completed.
- (5) When quality review results for an OF produces an accuracy rate of 97.0% or higher, the work is considered High Quality Work (HQW) and is quality reviewed as High Quality Function (HQF). HQW does not require the same degree of sampling as work producing a lower accuracy rate. Therefore, HQW is sampled as OF/Product Review review rather than Individual Quality Review. Resources are saved and focus can be directed to OFs with lower quality accuracy rates.
- (6) Individual review samples must be pulled across the week with at least four samples per week for each employee. Product Review (HQW Review) samples should be pulled each day but at a minimum of 4 days per week.
- (7) Quality Reviewers record review results in the EQSP system. Review results should be input timely for each week ending (weeks run Sunday through Saturday). Review results must be entered and the review completed by COB Wednesday of the subsequent week in order for quality results to appear on the employee's weekly IPR.

3.43.405.7.1
(08-24-2016)
**High Quality Work
Review**

- (1) Any time quality review performed for an OF produces an accuracy rate equal to or greater than the High Quality Standard (HQS) of 97.0%, the OF is considered High Quality Function (HQF) and is reviewed as High Quality Work during the same quarter of the subsequent year.
- (2) If a quality base point calculates at 97.0% accurate or higher for any OF, product review is performed for all programs within the HQF for that quarter. If an OF is HQW, it remains HQW for the entire quarter regardless of the OF quality review results.
- (3) Employees receive learning curve for any OFP (parent) the employee works that falls within a HQF (HQW sampling requirement is 2 sample pulls with a minimum of 3 documents per sample).
- (4) Quality Reviewers input HQF review results into the EQSP System as Individual Review with the employee's SEID. If learning curve is met for the OFP (parent), the review is HQW; if learning curve is not met for the OFP (parent) the review is Learning Curve.

Caution: Learning curve is quality driven. If an employee measured in efficiency reports time and volume for an OFP with base points, the work will be measured in efficiency if the OFP is not displayed as "Active" on the EQSP Manage Program Screen.

- (5) A 97.0% or above accuracy rate indicates the performance standard base point is 97.0 and the level of performance rate is **5**, designating outstanding performance.
- (6) An employee working OFPs within a HQF automatically receives the minimum employee effectiveness score of 140.0 required to achieve a "5" rating for all time spent working programs in that OF.
- (7) HQW does not guarantee a "5" rating in quality. The employee must also:
 - Work sufficient hours on measured programs to receive a MEPS rating.

Reminder: MEPS requires that an employee spends 40% of direct time **or** 25% of total time on measurable work; an employee must also complete the 60 days on CJE's annual requirement to receive a measured rating.

- Achieve the minimum effectiveness score for a "5" rating overall in all functions worked during the rating period (if other than HQW is performed).
- (8) Because an employee is required to receive notification of all quality review performed and input under their SEID, the employee is therefore required to receive the Single Event Sample Pull Report for HQW reviewed and input into EQSP. The Review Type indicates High Quality Work.

Note: High Quality Work defects are tracked by employee SEID so the employee can receive feedback.

3.43.405.7.1.1
(08-24-2016)
OF Sampling

- (1) Any function that is HQF receives OF sampling. A random sample is taken from the work processed for all programs within the HQF. The OF sampling must be selected in such a way that all completed documents/cases/items in the OF are equally available for review.

(2) Samples from all shifts must be included to ensure the integrity of HQW; this includes work processed during regular tours of duty, overtime, comp time, and/or credit hours.

(3) Sampling requirements for HQF for the quarter are:

- A minimum of 1,500 documents/cases Nationwide.
- A minimum of 300 documents/cases per Submission Processing Site.
- An average of five documents per day at each Submission Processing Site.

Note: The nationwide sample requirement applies if all sites work the OF. The requirement decreases according to the number of sites working the OF if it is not worked at all sites.

(4) HQF requires a minimum sampling of 4 days per week; all OFP work processed within the function must be available for random sampling.

Note: If sampling averages 4 days per week, the average daily sample must be increased to ensure the minimum 300 documents/cases per quarter is reviewed. There is no maximum sample.

(5) If any HQF fails to meet the HQS nationally, the function will not be considered High Quality during the same quarter of the following year. Individual sampling and individual review will be performed.

3.43.405.7.2
(08-24-2016)
**Individual Quality
Review**

(1) Individual Quality Review is performed on an employee's work if:

- "Measured" is selected as the employee's Quality Performance Plan.
- The OF has a Quality Performance Standard.

Exception: High Quality Work is excluded from Individual Review.

(2) Individual Quality Review process is designed to randomly sample an employee's completed work for the purpose of providing feedback to the employee and to provide the basis for evaluation of the employee's performance on the measured CJE Business Results – Quality. Individual Review results determine the employee's accuracy rate and the evaluative rating level 2 through 5.

(3) Quality reviewers are responsible for completing Individual Quality Review on a designated sample of an employee's work to determine how well the employee has followed established procedures and guidelines.

(4) A defect is defined as any error condition(s) identified on a document/case within the sample. Defects and the number of correct documents/cases within the sample are recorded.

Note: Quality Reviewers must ensure all defects are supported by an IRM reference and provide the reference to support the defect; IRM references are not required for "Finger Errors" for routine required edits or routine entry omissions, or for any data transcription defect.

Reminder: Manager must keep an employee initialed and dated copy of a Single Event Sample Pull Report for any Individual Performance Review type

with defect(s) identified; this serves as a record that the employee received notification of the quality review results.

3.43.405.7.2.1
(08-24-2016)
Team Defect

- (1) Team Defect Review is used when a defective document(s) identified in an employee's sample of completed work is recorded to the team rather than to the individual.
- (2) Team defects include:
 - Multiple identical defects removed from the employee's sample.
 - Procedural or systemic defects removed from the employee's sample.

Note: Team defects are not included as documents reviewed for an employee; therefore, they are **not** included in an employee's measured performance sample. Team Defects are included in the accuracy rate calculations of the Team, Department, Operation, and Site.

3.43.405.7.2.2
(08-24-2016)
Multiple Identical Defects

- (1) Defects are considered multiple identicals when a quality reviewer identifies the same error on every document that the opportunity for error is available on within the sample. Multiple identical defects are entered into EQSP as follows:
 - One defect is considered as Individual Quality Review for the employee.
 - The remaining like defect(s) are considered Team Defect Review(s) for the team.
 - All defects are considered Individual Quality Review for the employee if at least one document within the sample with the same opportunity for error is worked correctly.
 - Any additional defect(s) identified within the sample that is not considered a multiple identical is considered Individual Performance Review for the employee.

Note: If a Team Defect and a defect other than the Team Defect is identified on the same document, the document remains part of the employees sample and the review results are entered as Individual Review rather than Team Defect. The document is considered one defective document with 2 defects.

3.43.405.7.2.3
(08-24-2016)
Procedural or Systemic Defects

- (1) A procedural or systemic defect is removed from the employee's Individual Review (and sample) and entered into the EQSP System as a Team Defect Review.
- (2) Procedural or systemic defects are considered team defects when the defect is attributed to:
 - Training deficiencies – no training or inadequate training.
 - Erroneous instructions provided to the employee.
 - IRM procedures are not available.
 - Procedural changes not shared with the employee.
 - Systemic deficiencies rather than a result of employee actions or inactions.

Note: Multiple Identical Defects and procedural or systemic defects cannot be entered in EQSP as Team Defect Review for any OFP (parent) if the employee's learning curve requirements are not met for that OFP (parent); they remain as employee Learning Curve Reviews.

3.43.405.7.3
(08-24-2016)
**Individual Quality
Review Sampling**

- (1) The Recommended Annual Sample (RAS) is the recommended number of reviews required for each OF the employee works during the employee's annual rating period, regardless of the number of programs worked or the length of the season.
 - (2) The RAS provides the sample size required during an annual rating period to achieve a 90% confidence level within a plus or minus 2% sampling error.
 - (3) The RAS for each OF is 260 documents per employee.
 - (4) A value is added to the employee's accuracy rate to ensure a 90% confidence level is obtained based on the documents reviewed; the value is identified as the "Precision Margin" on Monthly IPRs and on Annual IPRs.
 - (5) The total documents reviewed should never be lower than the RAS of 260 documents; additional documents can be sampled, but the annual sample should remain as close as possible to the RAS.
 - (6) If the RAS is reached prior to the end of an employee's rating period, sampling must continue.
 - (7) The team manager is responsible to establish weekly sample sizes for each employee.
 - (8) A Sampling Report generates in MEPS and should be utilized by Team Managers to monitor and adjust employee sample sizes to ensure the RAS is being met for each employee. Team Managers should provide the Sampling Report to the Quality Team Manager as a guide for clerks to utilize while pulling samples for review.
 - (9) MEPS relies on correct sampling to ensure the sample adequately represents an employee's actual performance. Sampling requirements include the following criteria:
 - Samples must be randomly pulled from all measured work the employee completes.
 - Samples must be pulled across the week.
 - Each employee should have at least 4 sample pulls per week per function.
 - A sample must contain at least 1 document but there is no maximum limit in a sample.
- Note:** The sample should be selected by a quality team's clerk after the work is released by the employee. The work must include the date it was completed and at least one employee identifier (SEID should be included when possible) to ensure the employee's work is correctly identified.
- (10) Sampled work must be counted as specified in the 5995a database (located on the Operation, Function, Program (OFP) Code Resource Center Online.
 - (11) To determine sample size, the manager estimates the number of weeks an employees is expected to work programs within an OF. The following should be considered:
 - Learning Curves.
 - Length of season.
 - Projected receipts and Program Completion Dates (PCD's).

- Details out of the team.
 - Percent of time on collateral or project duties.
 - Vacation schedules.
 - Leave usage patterns.
- (12) MEPS suggested sample size is programmed based on **permanent employees working 48 weeks** during their annual rating period and **seasonal and term employees working 24 weeks** during their annual rating period. The manager needs to plan for any difference in weeks worked when determining the weekly reviews required during the employee's rating period.

Note: Intermittent and Temporary (Temp) employees' sampling requirements are programmed based on working 24 weeks during their rating period. Temp employees should be profiled only if they are expected to work more than 90 days. Temporary Employees should consistently receive feedback review.

- (13) The sample size should generally remain constant throughout the weeks of the employee's annual rating period. Changes to the weekly sample size can occur if a change to any condition affects the number of weeks an employee works the OF, such as:
- Length of season changes.
 - Extended leave.
 - Details out of the function.
 - Collateral duties change
- (14) The sample size must not be increased based on an employee's accuracy rate. If an employee is not achieving a fully successful rating, options include:
- On-the-Job Training (OJT).
 - 100% review of work not selected for Individual Quality Review.

3.43.405.7.4
(08-24-2016)
Sampling Report

- (1) The Sampling Report generates weekly for each Site; it is used as:
- A monitoring tool to ensure the RAS is being met for each employee.
 - A Guide for quality review clerks to utilize while pulling samples.
- (2) The sampling report contains data for employees who met all of the following criteria:
- Assigned to a measured performance plan in quality.
 - In work status as of the period ending date of the report.
 - Met learning curve requirements for at least one OFF.
- (3) The Sampling Report is sorted by:
- Assigned organization.
 - Employee Class (Permanent, Seasonal, Temp, Term, Intermittent).
 - Employee last name (alpha order).
- (4) The Sampling Report contains the following information:
- Employee Information: Name, SEID, annual rating period, and the type of appointment – Permanent, Seasonal, Term, Temp or Intermittent.
 - Function: Displays each measured OF the employee works.
 - Period: Indicates Week and Rating Period (Sampling Report displays information for the week ending and for the employee's rating period).

- Recommended Document Sample: 260 for each OF for the Rating Period.
- Recommended Sample Pull: 4 weekly and 192 per rating period for permanent and 96 for seasonal, term, and intermittent employees.
- Actual Documents Sampled: Number of documents sampled during the week (shown as week ending on the report) and the number of documents sampled during the rating period.
- Actual Samples Pulled: Number of samples pulled during the week and the actual number of samples pulled during the rating period.
- Remaining Documents Needed: Number of documents needed to reach the RAS for the rating period.
- Requested Documents Per Week (Completed by Manager): Column provided with space for the manager to notate the weekly number of documents required for the employee to reach the RAS of 260 documents per rating period per function.

Note: HQW is not subject to individual quality review sampling; HQF samples are not credited to the employee's RAS. Therefore, if the OF is HQW:

- "HQF" displays in the Requested Documents Per Week column.
- "NA" displays as Actual Documents Sampled and Actual Samples Pulled.
- "NA" also displays for the Rating Period if the OF was HQW during the employee's entire rating period.

- (5) The Sampling Report must be provided to the Quality Review Team Manager anytime the employee's sample size changes; it is not necessary if the weekly sample remains constant.
- (6) The employee's team manager should ensure that the OF sampled and the documents sampled are consistent with the information requested on the Sampling Report.
- (7) The quality team manager should contact the employee's team manager for a sample size on any OF worked by the employee if a sample size has not been requested.
- (8) The Sampling Report is available on Control-D after weekly processing. The Control-D Report Name is "SAMPLING RPT"; the Control-D Job Name is MEPSAR.

3.43.405.7.5
(08-24-2016)
**Sampling Log/Pull
Sheets**

- (1) A sampling log/pull sheet must be maintained as a record for each employee's individual quality review (will include learning curve sampling). The log serves as an audit trail for research purposes. The sampling log must contain the following:
 - Employee's name and identification number (SEID recommended).
 - Employee's Organization Code (Operation/Department/Team).
 - Indication that 4 weekly sample pulls are required for each OF worked for each employee.
 - The weekly requested documents per OF as requested by the employee's team manager.
 - The daily documents sampled for each OFF.

Caution: HQW receives OF sampling and must be a random sample across all work processed by all employees for all programs within the HQF (after

learning curve is met for the OFP(parent) within the HQF). The HQF is not included on the Sampling Request Report and the sample must not be pulled based on a specific SEID.

- (2) Local forms that contain the required elements may be used to record the sampling statistical data.

Note: Effective 09/29/2016, managers will generate a Sampling Request Report from MEPS within the EQSP system with the capability to export the report to Excel; the report will be formatted with all required sampling log data and should be used to record the data required on the sample log/pull sheets.

- (3) Retain sample log/pull sheets for 4 quarters plus the current quarter; authorized disposition is 1 year after the end of the current quarter (per Document 12990).

3.43.405.8
(08-24-2016)

Quality Adjustments

- (1) Adjustments to quality data are required to correct erroneous Individual Performance Reviews and are made directly to the review results in the EQSP system by the **Quality Team Manager**.

- (2) Defects may be adjusted as follows:

- Removed from the employee and charged to the team.
- Changed from a defective review to a correct review.
- Deleted if the review should not have been input to the employee's SEID.

- (3) When the review results are changed, the Status Field on the EQSP Review Search Results screen indicates "Modified"; when the review is deleted, the Status Field on the EQSP Review Search Results screen indicates "Deleted". The Status Date field indicates the date the action was taken, and the Action By field indicates the SEID of who took the action.

- (4) Employees must receive the Single Event Sample Pull Report any time a quality adjustment is made to the employee's reviewed sample.

Reminder: Managers and employees receive a Single Event Sample Pull Report for every Sample Pull that receives quality review. Managers and employees should compare all Single Event Sample Pull Reports with their IPRs to ensure the quality data is corrected.

- (5) A Quality Review Adjustment will change the quality review results (total documents reviewed and/or total documents in error) reflected on the Monthly and Annual IPRs. If a change to a quality review input for the prior week ending is completed by Wednesday evening (COB) of the subsequent week, the data will appear correctly on the Weekly IPR (weekly processing begins Thursday morning at 4:00 am).

3.43.405.9
(08-24-2016)

Mid-Quarter/Quarterly Efficiency Report

- (1) The Mid-Quarter/Quarterly Efficiency report displays measured employees' efficiency data for measured OFPs with time and volume reported in SETR during the quarter of the report.

Exception: Data reported while an employee is on the quality learning curve is not included in the efficiency data.

- (2) The report generates at mid-quarter after weekly processing is completed for week 6 of the quarter. Utilize this report as a management tool to monitor:
 - Number of employees working an OFP to prevent the Less Than 6 Rule issue.
 - Number of hours employees reported to an OFP to prevent the Low Hour Restriction issue.
 - The median efficiency performance rate for an OFP compared to the base point.
- (3) Take the following actions if issues are identified:
 - Adjust the number of employees to ensure at least 6 employees work the OFP for at least 10 hours (or averages more than 2 hours per weeks worked) during the quarter to ensure the base point is not deleted at the end of the quarter.
 - Implement corrective actions to improve efficiency, such as process improvements.
- (4) The report generates again after the final weekly processing for the quarter. The quarterly report includes efficiency data from the beginning of the quarter through the end of the quarter. The performance results are utilized to systemically adjust efficiency base points.

Reminder: MEPS systemically adjusts efficiency base points as follows:

- All base points - Lowers to zero if less than 6 employees worked the OFP or if 6 or more employees did not meet the Low Hour Restriction.
 - Added base points - Lowers to the median rate if the median is lower than the set base point.
 - Raised base points - Lowers to the higher of the median or the calculated base point if the median is lower than the set base point; otherwise, the base point does not adjust.
- (5) The end of quarter report is a management tool to determine if additional efficiency base points should be lowered.

Reminder: Management is provided a window after the systemic revisions and prior to the quarterly reports run date to determine if additional base points should be lowered. Utilize the following guidelines:

- Consider revising if there is a large discrepancy between the median and the calculated base point.
 - Lower base points if identified issues prevented employees from achieving the set rate.
- (6) The Mid-Quarter/Quarterly Efficiency Report is available on Control-D. The Control -D Report Name is "MID-QTR/QTRLY EFFICIENCY"; the Control-D Job Name is MEPMQE.

3.43.405.9.1
(08-24-2016)
**Mid-Quarter/Quarterly
Efficiency Report -
Description**

(1) The Mid-Quarter/Quarterly Efficiency Report generates for each site. The efficiency data is listed in Operation, Function, and Program order for every measured OFP at the applicable site. The report includes:

- Period Covered, Site, and Run Date.
- Operation, Function and Program.
- Calculated Base Point for the OFP (if applicable).
- Base Point for the OFP.
- Performance DPH Median (median documents per hour).
- Original BP Status - displays as “Added”, “Raised”, or “No Change”.

Note: No change indicates the calculated base is the set base point.

- Mid-Quarter Section - dates for the first 6 weeks of the quarter.
- Quarter Ending Section - beginning and ending dates of the quarter.
- Row # - numerical list, indicates the number of employees who work the OFP.
- Volume, Hours, Weeks, and DPH for each employee listed Mid-Quarter and Quarter Endings sections.

(2) An asterisk appears by the line(s) used to determine the median on the end of quarter efficiency report. An asterisk appears by the median if an odd number of employees worked the OFP; an asterisk appears by the 2 lines used to determine the median if the OFP is worked by an even number of employees. (The DPH for the 2 middle lines are added together and divided by 2 to determine the median.)

Note: The Performance DPH Median displays as 0.0 if at least 6 employees did not meet the Low Hour Restriction.

3.43.405.10
(08-24-2016)
**Mid-Quarter/Quarterly
Quality Report**

(1) The Mid-Quarter/Quarterly Quality report displays measured employees' quality data for measured OFs with time and volume reported in SETR during the quarter of the report

Exception: Data reported while an employee is on the quality learning curve is not included in the quality data.

(2) The Mid-Quarter/Quarterly Quality Report generates after weekly processing is completed for week 6 of the quarter (mid-quarter) and again after final weekly processing for the quarter is completed (quarterly). The report is used for monitoring quality as follows:

- Sites can compare their quality performance to the national quality performance and recognize OFs needing quality improvement.
- Headquarters utilizes the quarterly quality performance data to determine if quality base points should be lowered.

Reminder: Quality base points are set nationally and revisions are across all sites.

(3) The Mid-Quarter/Quarterly Quality Report is available on Control-D. The Control-D Report Name is “MID-QTR/QTRLY QUALITY”; the Control-D Job Name is MEPMQQ.

3.43.405.10.1
(08-24-2016)
**Mid-Quarter/Quarterly
Quality Report -
Description**

(1) The Mid-Quarter/Quarterly Quality Report generates for each site. The quality data is listed in Operation and Function order for every measured OF at the applicable site. The report includes:

- Period Covered, Site, and Run Date.
- Operation and Function.
- Calculated Base Point for the OF (if applicable).
- Base Point for the applicable OF.

Note: If the set base point is not the calculated base point, an indicator “A”, (added), “R”, (raised), or “L” (lowered) populates next to the base point.

- Current National Average for the applicable OF.
- Mid-Quarter Section - dates for the first 6 weeks of the quarter.
- Quarter Ending Section - beginning and ending dates of the quarter.
- Row # - numerical list, indicates the number of employees who received quality reviews for the OFP.
- Total Documents Reviewed, Total Documents in Error, and Accuracy Rate for each employee listed under both the Mid-Quarter (generates after 6 weeks of the quarter) and Quarter Ending sections.
- Total Documents Reviewed, Total Documents in Error, and Accuracy Rate for the applicable Site OF.
- Total Documents Reviewed, Total Documents in Error, and Accuracy Rate for the National OF.

Reminder: Accuracy is calculated as the mean (average) of all measured reviews recorded in MEPS.

3.43.405.11
(08-24-2016)
**Measured Performance
Plan Rating Statistics
Reports**

(1) The Measured Performance Plan Rating Statistics Reports generate quarterly at each site for rating period ending March 31, for rating period ending September 30, and for rating period ending December 31. Reports do not generate for quarter ending June 30 (no rating period end in June). There are 3 types of Measured Performance Plan Statistics Reports:

- Operation Rating Statistics by Team Report.
- Service Center Rating Statistics by Operation Report.
- National Rating Statistics by Service Center Report.

(2) The reports each compile statistical data on measured employees due ratings during the period covered on the reports. The Rating Statistics Reports provide:

- An annual summary of quality measured ratings and efficiency measured ratings received by employees on their Annual Individual Performance Report at the rating period end date.
- Information regarding the distribution of measured ratings at the Operation level, Service Center level, and National level.

Note: The *2016 National Agreement*, Article 14, Section 3, D, indicates 66% of employees measured in quality and/or efficiency should receive a measured annual evaluation. If a Submission Processing Center does not meet the minimum 66% at the end of each year of the National Agreement, NTEU may open negotiations at the national level to make changes that will increase the number of measured employees to 66%.

- (3) Each Rating Statistics Report covers the four previous quarters; each report details the following for measured employees due an annual rating for the period for quality and for measured employees due an annual rating for the period for efficiency:
- The number that received a rating for level 1, level 2, level 3, level 4, or level 5.
 - The total number due a rating.
 - The total number that received a rating.
 - The total number that received a rating and the percentage that receive a rating.
 - The number and percentage with less than 60 days on measured CJEs for the rating period.

3.43.405.11.1
(08-24-2016)
**Operation Rating
Statistics by Team
Report**

- (1) The Operation Report provides a summary of data for measured employees with measured ratings 1–5 at the specified Site in each Operation by Team. The data is captured from the Annual IPR's for Quality and for Efficiency.
- (2) The Report compiles the data for each team within an Operation and provides the Operation totals for quality and the Operation totals for efficiency for the total number of employees who received a rating of 1 through 5, the total number of employees who were due a rating, the total number and percentage of employees who received a rating, and the number of employees with less than 60 days on measured CJEs during their rating period for quality and/or efficiency.
- (3) A discrepancy between the number of employees receiving a rating and the number on a measured plan indicates a need for management within the Operation to determine the cause of the discrepancy and take corrective action.

Reminder: Sixty-six percent of employees measured in quality and/or efficiency should receive a measured annual evaluation.

- (4) The Operation Rating Statistics by Team Report must be posted for employees assigned within the Operation to view until the next quarterly processing when a new report generates.

Note: Three consecutive reports may be posted if Operations wish to provide the statistical rating data for all rating periods for an entire year.

- (5) The Operation Rating Statistics Report by Team is available on Control-D after the quarter end processing is complete (15th day of the month following the end of the quarter). The Control-D Report Name is "STATISTICS FOR OPER"; the Control-D Job Name is MEPSOP.

3.43.405.11.2
(08-24-2016)
**Service Center Rating
Statistics by Operation
Report**

- (1) The Operation Report provides a summary of data for measured employees with measured ratings 1–5 at the specified Site by Operation. The quality and efficiency data is captured from the Operation Rating Statistics by Team Report.
- (2) The report provides information by Operation for the current period covered and for the same period covered, prior year. It also provides the Service Center total for the current period covered and for the same period covered,

prior year. This affords ease in recognizing areas of improvement or decline when comparing current year to previous year rating statistics.

- (3) The discrepancy between the number of employees receiving a rating and the number on a measured plan due a rating indicates a need for management within the Site to determine the cause of the discrepancy and take corrective action.
- (4) The Service Center Rating Statistics Report by Operation is available on Control-D after the quarter end processing is complete (15th day of the month following the end of the quarter). The Control-D Report Name is "STATISTICS FOR SC"; the Control-D Job Name is MEPSSC.

3.43.405.11.3
(08-24-2016)
**National Rating
Statistics by Service
Center Report**

- (1) The National Report provides a summary of data for measured employees with measured ratings 1–5 for the Nation by Site. The quality and efficiency data is captured from the Service Center Rating Statistics by Operation Report. The National Rating Statistics by Service Center Report provides a summary of measured Ratings 1 through 5 for all measured employees at each Submission Processing Center.
- (2) The report provides information by Site for the current period covered and for the same period covered, prior year. It also provides the National total for the current period covered and for the same period covered, prior year.
- (3) The report is compiled for Headquarters use only. The Control-D Report Name is "STATISTICS FOR NATION"; the Control-D Job Name is MEPSNA.

3.43.405.12
(08-24-2016)
**Other Monitoring
Reports**

- (1) MEPS reports provide tools to enable management to monitor specific data and resolve issues identified on the reports.
- (2) The monitoring reports include:
 - Weekly No Volume OFP Report.
 - EMF 3-Coded Employees Report.
 - Grade Mismatch Listing.
 - Missing Employees Report.
 - Minimally Successful and Below Employees by Operation Report.

3.43.405.12.1
(08-24-2016)
**Weekly No Volume OFP
Report**

- (1) The Weekly No Volume OFP Report provides a weekly listing of measured employees with time but no volume reported for any measured OFP.
- (2) Management should review the report weekly and determine if volume should have been reported for any OFP listed on the report. Determine if the omission of volume was intentional or if the employee intended to report volume. Compare the employee's Form 3081 (if employee is required to submit) with SETR and verify the correct data was input. If discrepancies are identified, MEPS IPR adjustments are required to correct the data.

Note: Swing shift employees may inadvertently fail to report volume on one of the time codes worked. The Weekly No Volume Report serves as a tool to identify this common omission. The time with no volume is considered unmeasured and an IPR adjustment must be completed to combine the data reported for the two time codes.

Reminder: Hours are considered measured for the applicable OF in quality only if time is reported for the OFP. The tool serves as a tool to monitor for no volume for measured quality as well as measured efficiency. However, at this time, the OFP must have an efficiency base point in order to appear on the report.

3.43.405.12.1.1
(08-24-2016)

Weekly No Volume OFP Report - Description

- (1) The Weekly No Volume OFP Report generates during weekly processing for each Site by Operation.
- (2) The employees are listed by Assigned Org and then by SEID within the Assigned Org.
- (3) The report contains:
 - Report Title: Weekly No Volume OFP Report.
 - Site: Site Name.
 - Operation: 2 digit Operation Code.
 - Week Ending Date: MM/DD/YYYY.
 - Run Date: MM/DD/YYYY.
 - SEID: Employee 5 digit Standard Employee Identifier.
 - Name: Employee last name, first initial and second initial.
 - Assigned Org: 5 digit Organization Code.
 - Detailed Org (displays if the employee is detailed to the Assigned Org): 5 digit Organization Code.
 - Function: 3 digit function reported in SETR.
 - Program: 5 digit program reported in SETR.
 - Hours: Time reported in SETR for the measured OFP.
 - Grade: Employee's grade.
 - Step: Employee's step.
- (4) The report is available on Control-D. The Control-D Report Name is "WEEKLY NO VOLUME RPT"; the Control-D Job Name is MEPVOL.

3.43.405.12.2
(08-24-2016)

EMF 3-Coded Employees Report

- (1) The EMF 3-Coded Employees Report provides a weekly listing of employees 3-coded by Personnel.
- (2) An employee is 3-coded when they are no longer employed by the Internal Revenue Service (IRS); the employee may have retired, resigned, been terminated, or is deceased.
- (3) Management should review the report weekly to ensure employees listed on the report have not been incorrectly coded. If discrepancies are identified, contact Personnel to have the employee's record corrected.
- (4) Employees remain on the Employee Master File (EMF) Production and Control (PCA) for nine months and therefore appear on the MEPS EMF 3-Coded Employees Report for nine months after leaving IRS.

3.43.405.12.2.1
(08-24-2016)

EMF 3-Coded Employees Report - Description

- (1) The EMF 3-Coded Employees Report generates during weekly processing for each Site by Operation.
- (2) The employees are listed on the report by Assigned Org and then by employee SEID within the Assigned Org.
- (3) The report contains:

- Report Title: EMF 3-Coded Employees.
- Site: Site Name.
- Organization: 2 digit Organization Code and Organization Name (such as 31 - Receipt and Control).
- Week Ending: MM/DD/YYYY.
- Run Date: MM/DD/YYYY.
- SEID: Employee 5 digit Standard Employee Identifier.
- Name : Employee Name, displayed as last name and first initial and second initial.
- Organization: Employee's assigned 5 digit organization code.

(4) The report is available on Control-D. The Control-D Report Name is "EMF 3-CODED EMP RPT"; the Control-D Job Name is MEPE3C.

3.43.405.12.3

(08-24-2016)

Grade Mismatch Listing

(1) The Grade Mismatch Listing provides a weekly report of employees listed at one grade on the Employee Masterfile (EMF), but at a different grade on Employee Performance File (IMS05).

Note: The Employee Performance File provides the efficiency data – PCA hours and volume. The EMF updates the grade on the EQSP Employee Profile. If the EQSP Employee's Profile displays a different grade than indicated on the Performance File, the employee will appear on the Grade Mismatch Listing.

(2) Management should review the report weekly and work with their Headquarters Report Team to resolve the grade discrepancy. The listing generates for an employee each week until the issue is resolved.

3.43.405.12.3.1

(08-24-2016)

Grade Mismatch Listing - Description

(1) The Grade Mismatch Listing generates during weekly processing for each Site by Organization when there is a grade mismatch identified.

(2) The employees are listed on the report by assigned Organization and then in employee SEID and Function order. If the SEID is missing, the last 4 digits of the employee's SSN displays.

(3) The report contains:

- Report Title: Grade Mismatch Listing.
- Site: Site Name.
- Organization: 2 digit Organization Code.
- Week Ending: MM/DD/YYYY.
- Run Date: MM/DD/YYYY.
- SEID: Employee 5 digit Standard Employee Identifier (or SSN if SEID is not available).
- Organization: Employee's assigned 5 digit organization code.
- Function and Program: Each Function and Program reported in SETR.
- Grade From Weekly EMF: Employee's grade on the Employee Masterfile.
- Grade from Weekly IMS05: Employee's grade on the IMS05 File.
- Hours: Hours reported in SETR by employee for each Function and Program listed for the report week ending date.
- Volume: Volume reported in SETR by employee for each Function and Program listed for the report week ending date.

- (4) The report is available on Control-D. The Control-D Report Name is "GRADE MISMATCH LISTING"; the Control-D Job Name is MEPEMO.
- 3.43.405.12.4
(08-24-2016)
Missing Employees Report
- (1) The Missing Employees Report provides a listing of employees with records on the Employee Master File but without profiles established in the EQSP System.
- Note:** Employee Master File data is downloaded from the IMS 01 file, on a weekly basis to create the MEPS Employee Master File
- (2) Management should review the report weekly to determine if employees listed on the report should be profiled in EQSP and, if so, take action to create the profile. (See IRM 3.30.30, *Embedded Quality for Submission Processing (EQSP) System*, for creating employee profile instructions.)
- 3.43.405.12.4.1
(08-24-2016)
Missing Employees Report - Description
- (1) The Missing Employees Report generates during weekly processing for each Site by Operation.
- (2) The employees are listed on the report by Organization and then in employee last 4 SSN order.
- (3) The report contains:
- Report Title: Missing Employees Report.
 - Site: Site Name.
 - Organization: 2 digit Organization Code.
 - Week Ending: MM/DD/YYYY.
 - Run Date: MM/DD/YYYY.
 - Organization: Employee's assigned 5 digit organization code.
 - Last 4 SSN: Last 4 digits of employee's SSN.
 - SEID: Employee's 5 digit Standard Employee Identifier.
 - Name: Employee last name and first initial and second initial.
- Note:** "N/A" appears when the SSN from the EMF (PCA data) does not match with an SSN and SEID from the SETR File. Managers may appear on the Missing Employees Report with an SEID designated as N/A. They are sometimes included in the PCA data that does not match the GS grade employee data from SETR
- (4) The report is available on Control-D. The Control-D Report Name is "MISSING EMP RPT"; the Control-D Job Name is MEPEMS.
- 3.43.405.12.5
(08-24-2016)
Minimally Successful and Below Employees by Operation Report
- (1) The Minimally Successful and Below Employees by Operation Report provides a quarterly listing of all employees within each Operation at each Site with a rating of a "2" or below in either quality and/or efficiency on their Monthly IPR through the quarter ending on the report.
- Reminder:** The Monthly IPR displays data from the beginning of each employee's rating period through the month ending on the report. Therefore each employee's rating listed on the Minimally Successful and Below Employees by Operation Report is determined by measurable data from the beginning of the employee's rating period through the month ending of the quarter the report generated.

- (2) Management should utilize the report as a tool to identify employees who need additional assistance to achieve a fully successful rating in quality and/or efficiency.
- 3.43.405.12.5.1
(08-24-2016)
The Minimally Successful and Below Employees by Operation Report - Description
- (1) The Minimally Successful and Below Employees By Operation Report generates quarterly after base point revisions for each Site by Operation.
- (2) The employees are listed on the report by Organization and then in employee last name order.
- (3) The report contains:
- Report Title: Minimally Successful and Below Employees By Operation Report.
 - Site: Site Name.
 - Organization: 2 digit Organization Code and Organization Name (such as 31 - Receipt and Control).
 - Quarter Ending: MM/DD/YYYY.
 - SEID: Employee 5 digit Standard Employee Identifier.
 - Name: Employee last name and first initial and second initial.
 - Organization: Employee's assigned 5 digit organization code.
 - Rating Period End Date: MM/DD/YYYY.
 - Current Measured Quality Rating: Quality rating calculated on the employee's current Monthly IPR.
 - Current Measured Efficiency Rating: Efficiency rating calculated on the employee's current Monthly IPR.
- (4) The report is available on Control-D. The Control-D Report Name is "MINIMALLY SUCCESSFUL RPT"; the Control-D Job Name is MEPMIN.
- 3.43.405.13
(08-24-2016)
Release and Recall
- (1) Seasonal, term, and career/career-conditional intermittent employees are subject to periodic release and recall when workload fluctuations affect organizations' staffing needs. Employees subject to release/recall are ranked on a Release Recall Listing and are released or recalled based on their skills and position on the list.
- (2) The Release Recall Final Listing is created in the EQSP system through a Release/Recall Menu.
- (3) MEPS release/recall listings contain employee information obtained from:
- Employee Master File (EMF) that flows to MEPS Release Recall.
 - Pertinent release/recall data added on screens accessed through the EQSP system.
- Note:** Management has rights to view and add or modify release/recall information for employees within their span of control.
- (4) Separate listings are generated for each employee class - Seasonal, Term, and Intermittent.
- Note:** The 2016 National Agreement does not address temporary employees, but MEPS provides a separate Temp Release Recall Listing.

- (5) Refer to the procedures in the *2016 National Agreement* , Article 14 for guidance when Releasing and Recalling employees.
- (6) Unless the local parties agree otherwise, the basis for release and recall at Center Campuses is by Department in Accounts Management and by Operation in Submission Processing and Compliance Services. For all other employees, the basis is by the highest organizational level at the post of duty (POD).

3.43.405.13.1
(08-24-2016)
Ranking Seasonal and Term Employees

- (1) Seasonal and term employees are ranked according to performance (based on annual appraisals) and seniority (based on Enter on Duty (EOD) date).

Reminder: Seasonal and term employees are placed on separate Release/Recall Listings.

- (2) Employees receive an overall performance rating based on their most recent annual performance appraisal for their Critical Job Elements (CJE).
- (3) A new employee who has not received an annual evaluation may receive an ad-hoc evaluation for release/recall purposes if the employee has been on their CJE's for at least 60 days.
- (4) Seasonal Employees and Term Employees are placed in categories and in ranking order based on their category as follows:

If the employee has...	Then the employee is placed in category...	And the ranking order is based on the...
Critical element rating of "3" or above in all CJEs	Fully Successful	Ranking score (performance and seniority points).
One or more critical element rating of "2"	Minimally Successful	EOD – descending order (below Fully Successful).
One or more critical element rating of "1"	Unacceptable	EOD – descending order (below Minimally Successful).
No performance appraisal with a training test score	Training Test Score	Test score (below Unacceptable).
No performance appraisal with an OPM Certificate Score	OPM Rating	OPM score (below Training Test Score).
No performance appraisal, training test score, or OPM Score	No Scores	Alphabetical; last name, first initial (below other categories).

3.43.405.13.1.1
(08-24-2016)
**Seasonal and Term
Ranking Score**

- (1) If an employee is rated as fully successful or above in all CJEs (receives at least a level “3” rating), then a critical element score is computed and seniority points are added to the critical element score to determine the ranking score.
- (2) The “critical element score” is computed by dividing the sum of the CJE ratings on the employees Performance Appraisal by the total number of CJEs.

Example: An employee receives the following ratings on their most recent appraisal:

- Employee Satisfaction – Employee Contribution – 3.
- Customer Satisfaction – Knowledge – 4.
- Customer Satisfaction – Application – 3.
- Business Results – Quality – 5.
- Business Results – Efficiency – 4.

Result: The employee received ratings of 3 or above in all CJEs; the employee is therefore placed in category “Fully Successful”. The sum of the critical element score (19) is divided by the number of critical elements (5) and the critical element score is 3.80.

- (3) An employee rated as fully successful in all 5 CJEs receives “seniority” based on the employee’s years of service (EOD) through the week ending of the release recall request. Seniority points are earned as follows:

If years of service equal...	Then Seniority Points are...
Two	.5
Three	1.0
Four	1.33
Five or more	1.67

Example: The employee rated as fully successful with a 3.80 critical element score has worked with IRS for 4 years.

Result: 1.33 seniority points are added to 3.80 CJE score for a ranking score of 5.13.

- (4) Tied ranking scores are broken by in the following order:
 1. EOD: Oldest EOD is ranked first.
 2. Service Computation Date (SCD): Oldest SCD ranked first.
 3. Social Security Number (SSN):
 - In odd-numbered years, employees with the lowest last 4 digits are placed first.
 - In even-numbered years, employees with the highest last 4 digits are placed first.

Note: If ties exist after all ranking criteria is applied, all tied employees receive the same rank number. The program then skips the appropriate numbers.

- (5) Newly hired Data Conversion employees (Data Transcribers) who have no performance appraisals and do not meet the minimum requirement of 60 days on their CJE's for an ad-hoc appraisal are ranked on their Training Test Scores below employees with appraisals.
- (6) Other Submission Processing newly hired seasonal employees are ranked based on their Office of Personal Management (OPM) Score. For release/recall purposes:
 - Category A represents a numerical score of 90.
 - Category B represents a numerical score of 80.
 - Category C represents a numerical score of 70.
 - Category D represents a numerical score of 60.

Note: Ties are broken by EOD, SCD, and the last four digits of the employee's SSN.

- (7) An employee is "Not Ratable" (NR) if the employee's performance has not been observed for a minimum of sixty days during the appraisal period or the employee has not received a performance plan for a minimum of 60 days. (NR designation indicates that the employee was not ratable for the current appraisal period for release recall purposes only; it is not considered a rating of record.). NR employees appear in alphabetical order at the bottom of the listing.

3.43.405.13.2
(08-24-2016)

Ranking Career/Career-Conditional Intermittent Employees

- (1) Intermittent employees are ranked for release/recall according to oldest EOD order.

Reminder: A separate Release Recall Listing is constructed for intermittent employees.

- (2) Tied scores (identical EODs) are broken based on SCD and then by the last four digits of the SSN.

3.43.405.13.3
(08-24-2016)

Skill Codes

- (1) Skills are determined by management and are assigned to an employee based on a listing management establishes for each organizational level at each site; skill codes may differ from Operation to Operation.
- (2) An employee can be assigned up to 15 alpha/numeric/special characters (skill codes) indicating the skills of the employee.
- (3) When release is necessitated due to decreased work volumes, the employees with skill codes assigned applicable to the decreased work are subject to release. When recall is implemented, those employees assigned the skill codes needed are recalled first. (Release and Recall are based on the ranking order and skills needed).
- (4) **An employee does not have to be fully successful in order to receive a skill code.**
- (5) Skill Code information is found in *2016 National Agreement*, Article 14, Section 2 ,D and includes the following:
 - A current Skill Code Listing must be maintained for each Operation although Skill Codes are non-negotiable.

- A skill code is assigned to the employee upon the successful completion of initial training and/or the learning curve.
- The employee must successfully complete update training each year to retain the skill code; the employee retains the skill if update training is not provided.
- If skill codes are not assigned, an employee is presumed to possess skills assigned to other employees in identical positions.
- The employee must receive written notice when a skill code is specifically assigned.
- Any change to skill code assignment(s) must be discussed with affected employee before the change is implemented.

(6) Skills codes are retained or lost for release/recall purposes as follows:

If the employee...	Then the skill code(s)...
Permanently moves from one Operation to another	From the "home" Operation is lost.
Temporarily placed in another Operation	From the "home" Operation is retained.
Returns to "home" Operation	From the temporary assignment is lost.

3.43.405.13.4
(08-24-2016)
Release/Recall Listings

- (1) Release Recall Listings are generated through the EQSP System, Release Recall Menu; they are created based on data loaded onto the Release Recall EMF Screen from PCA Files and TIMIS Files and from information managers enter into the system on employees' Release Recall Records.
- (2) Three reports that generate for Release Recall are:
- Preliminary Release Recall Report.
 - Final Release Recall Report.
 - Final Release Recall with Forms 5141.

3.43.405.13.4.1
(08-24-2016)
Preliminary Release Recall List

- (1) In anticipation of a release or recall, management requests a Preliminary Release Recall List through Release/Recall Screens in the EQSP System. The Preliminary Listing:
- Must be requested for the current processing week ending date to ensure employee data is correct to the report's week ending date.
 - May be requested by Operation (first 2 digits of the Operation Code) or by Operation and Department (first 3 digits of the Organization Code) but should always be requested by Organization in Submission Processing.

Reminder: Accounts Management should request by Department (first alpha digit of the Operation code followed by the numeric Department code.)

- Must be ordered separately for each class code: seasonal, term, career/ career-conditional intermittent and temp employees.

- Is sorted by assigned Organization Codes (Operation, Department, and Team); the employees are then listed alphabetically by last name, first name, and middle initial.
- Is utilized to add, update, or delete information on a Release Recall Employee Table (a holding file for the employee records on MEPS) through EQSP before the Final Report is requested.
- Must include employees detailed to areas other than their home assigned organization on both release recalls.

Example: A Data Conversion employee is detailed to Input Correction. That employee should be listed on Data Conversion's release/recall listing as a detail out and on Input Corrections Release/recall listing as a detail in.

- (2) The Preliminary Release Recall Report can be viewed immediately in the EQSP System; the listing is not sent to Control-D. The report is available for managers to view employees based on their span of control.

Example: Team Managers can view the preliminary for employees assigned to the team they manage. A Department Manager can view the preliminary for all teams assigned to the Department they manage.

- (3) Managers should ascertain that all employees for their assigned Org Code are included on the Preliminary Listing for the Class Code requested and review all elements for correctness; any additions or changes are input directly to the system utilizing "Add/Edit Release Recall" screens.

3.43.405.13.4.2 (08-24-2016)

Final Release Recall List

- (1) A Final Release Recall List is requested through Release/Recall Screens in the EQSP System after any corrections required are completed to the Preliminary Listing; it displays immediately in the EQSP System The Final Listing:
 - Must be for the class code and the same week ending as the most current Preliminary Release Recall created.
 - Is sorted in rank order.
 - Is intended to serve as a tool to view and ensure all elements are correct before the Final Report with Form 5141 is requested.
- (2) This Final Report is not sent to Control-D. Changes must be input directly to the system utilizing "Add/Edit Release Recall".

3.43.405.13.4.3 (08-24-2016)

Final Release Recall with Form 5141

- (1) The Final Release Recall with Forms 5141 Report contains the listing utilized to release or recall employees and a Form 5141, *Form 5141 Release Recall* for each employee on the listing, the report is requested through the EQSP system after the Final List is perfected on the Release Recall Screens and when a release or recall is imminent.
- (2) Article 14 of the *2016 National Agreement* requires that employees are informed of their position on the Final Release Recall Listing. Form 5141 contains the employee's ranking and the data that contributed to the ranking.
- (3) Two copies of Form 5141 are printed as part of the campus print distribution; one for the employee and the other for the employee's EPF.
- (4) The Final Listing and the Forms 5141 are available on Control-D on the day after it is requested.

- (5) On Control-D, the Final Release Recall with Form 5141 is separated into a Final Listing Report and into a Forms 5141 Report. The Final Listing Report is made available to NTEU through the applicable NTEU Control-D folders; Forms 5141 are not sent to NTEU folders.
- (6) The Control-D Final Listing Report Name is “RELEASE RECALL FINAL LISTING” and the Control-D Forms 5141 Report Name is “RELEASE RECALL FORM 5141”; the Control-D Job Name for both reports is MEP514.

3.43.405.13.5
(08-24-2016)
**Release and Recall
Procedures**

- (1) “2016 National Agreement” outlines specific procedures for management to follow when releasing or recalling employees.
- (2) Release procedures are:

Step	Action
1	Attempt to provide at least five days notice of release to employees unless unexpected reductions in inventory require an earlier release date.
2	Prepare a Final Release Recall Listing.
3	Identify the employees subject to release based on skill codes.
4	Canvass the identified employees for volunteers.
5	Determine which employees will be released.

- (3) To determine which employees to released:

If ...	Then...
More employees volunteered than needed	Release employees with the oldest EOD.
Fewer employees volunteered than needed	Release employees lowest on the Final Listing.

Note: Term employees are released prior to seasonal employees if released in rank order.

- (4) Recall Procedures are:

Step	Action
1	Prepare an updated Final Release Recall Listing based on the most recent performance appraisals. Note: If the employee received an ad-hoc evaluation and receives an annual appraisal during the release, the annual appraisal is used to update the Release Recall Listing.
2	Identify the specific skills required by employees to perform the work.
3	Recall the employees based on ranking in descending order (highest first) as indicated in the chart below.

- (5) Recall the employees based on ranking order as follows:

If the employee...	Then ...
Is seasonal (career status)	Notice of recall is by one telephone call during the day and a second during evening hours if needed.
Is reached by telephone	Arrangements are made for return to work.
Is not reached by direct telephone contact	Written confirmation of the attempted contact is sent to the employee by regular mail on the day following the telephone calls.
Contacts the manager within 48 hours	Employee is returned to work providing: <ul style="list-style-type: none"> • Essential training has not been missed. • Remaining work is expected to last for at least one administrative work week.
Is term appointment or intermittent	Only telephone contact is required.

Note: Seasonal employees are returned to duty before term appointment employees; intermittent employees are returned after term employees; temp employees after intermittent.

3.43.405.13.6
(08-24-2016)
**EQSP Release Recall
Screens**

- (1) The assigned role and permissions within the EQSP System determine which actions management can complete and which employees management has access to when completing the release/recall on screens located in the EQSP system. The span of control is based on the role and on the assigned organization code entered in the Manager's EQSP Profile "Assigned Org" field.

Exception: A “Release Recall Only” role provides permissions for employees to access the EQSP Release Recall menu only. An Online 5081 approval is required. Instructions to gain access are located on the Embedded Quality Submission Processing web page.

(2) Becoming familiar with the Release/Recall Screens is essential to completing the process. Click Release Recall on the EQSP home page to access the Release Recall Main Menu. The Main Menu includes:

- “EMF Screens”
- “Release Recall Screens”
- “Release Recall Reports”

3.43.405.13.6.1
(08-24-2016)
EMF Screens

(1) Employee data feeds into MEPS Release Recall and appears on the EMF Screen on Thursday after weekly processing. (Week ending processing begins at 2:00 am on Thursdays.). The employee data on the EMF feeds into the Release Recall when a Release Recall is created; therefore, employees should appear correctly on the EMF screen prior to creating a release recall.

(2) Click “Search/Edit EMF Records” to access “Search EMF Records”; EMF Records can be requested for an employee by SEID or for an Organization by Org Code and Class Code. EMF data displays for the employee if searched by SEID, or a list of all employees in the Organization if searched by Org Code.

(3) If changes need to be made, click the edit icon next to the employee’s SEID to access the “Edit EMF Record” screen. Temporary edits can be made to:

- Name.
- Grade and/or Step.
- EOD Date.
- SCD Date.
- Organization.
- Class Code.
- Work Status Code.
- Success Code.

Note: Organization changes are available in a drop down menu based on span of control. If an employee changes to a different Site, a System Administrator must complete the edit.

(4) A delete icon is available for a Site Administrator (Site MEPS Coordinator) to delete EMF records. Contact your Site Administrator if deletions are required.

Caution: All employees in work status 3 (Terminated) initially appeared on the EMF screen. Programming resolved that issue and once deleted, those employees do not reappear. However, terminated employees appear on the EMF for nine months after they no longer work for IRS but they do not appear on the created Release Recall.

Note: Effective October, 2017, a programming change will provide a filter for 3-coded employees to prevent their appearance on the EMF screen.

- (5) If an EMF record does not exist for an employee, an “Add EMF Record” screen is available.

Reminder: Detailed employees can be added with work status 4 (Detailed In) or with work status 5 (Detailed Out).

Caution: A Validation Error “A SSN does not exist in the EMF for this SEID. Please enter the employee’s SSN” generates with a SSN field if there is no EMF record for the employee; add the SSN.

- (6) Changes or additions made on the EMF Screens ensure the Release Recall contains current information prior to a report request. However, the Reports Team must be notified and procedures followed to correct the EMF if PAR actions have not been submitted to correct the EMF (TIMIS File); the edited fields will revert back to the EMF data that feeds into MEPS during the next week ending processing. After changes are made on EMF screens, a Release Recall must be created prior to the weekly processing to ensure the edits made on the EMF Screens appear on the listing.

3.43.405.13.6.2
(08-24-2016)

Release Recall Screens

- (1) The Release Recall Screens provide options to search for a history of prior release recall reports, create a release recall, and add/edit the created release recall.

- (2) To search for a prior release recall:

- Click “Search Release Recall History”; the *Search Release Recall History* screen appears with fields available to search prior release recalls by Assigned Org and Class Code.
- Enter the Assigned Org and Class Code of the desired search and click “Search”.
- A *Release Recall History* screen returns a history of previously created release recalls and requested Final Reports with Forms 5141 for the requested Organization and Class Code. A Validation Error “Please correct the following error(s) before proceeding: No records match the Organization xx, Class Code x” if there is no history available for the requested Organization and Class Code.

Note: The history includes: Week Ending Dates (MM/DD/YYYY in descending order), Action (Create Release Recall and Final Report with 5141 (if requested), Action Date (MM/DD/YYYY the release recall was created and MM/DD/YYYY the Final Report with Form 5141 was requested), and Action By (SEID of who created the release recall or requested the Final Report with 5141).

- (3) The Release Recall must be created to pull the employee EMF data into the Release Recall before a Preliminary Report can be requested. The Release Recall can be created by the following EQSP roles:

- Operation Manager.
- Department Manager.
- Operation MEPS Advisor.
- Site Administrator.
- Release Recall Only.

an Operation Manager, a Department Manager, an Operation MEPS Advisor, or a Site Administrator (EQSP Roles.

(4) To create a release recall:

- Click “Create Release Recall”; the *Create Release Recall Request* screen generates with fields available for Organization, Class Code, and Week Ending.
- Enter the Organization, Class Code, and select the Week Ending from the drop down list.

Note: Only weeks ending after the most recent release recall created for the requested Org Code available for selection with a maximum of eight week ending dates. Release Recall should always be run for the most current week available.

- Click “Save”; a confirmation screen appears confirming the Release Recall was created for the Week Ending, Service Center, Organization, and Class Code entered.

(5) The “Search, Add/Edit Release Recall” screen provides managers with a screen to edit employee release recall information or add if an employee’s record is missing.

Note: Editing and adding employees to the release recall edit screens ensures the requested Preliminary Release Recall Listing will be correct. The Preliminary Report can be requested and reviewed first and edits made to employee records based on the manager’s findings.

(6) To add or edit an employee’s release recall record:

- Click “Search, Add/Edit Release Recall” to access the *Search Release Recall* screen which provides options to search for an individual employee by SEID or for an Organization by Org Code, Class Code, and Week Ending.
- Enter an employee SEID or Assigned Org, Class Code and Week Ending; the *Release Recall Search Results* screen is returned with a display of the employee data if searched by SEID or a list of all employees in the Organization if searched by Assigned Org (within span of control).

Note: Release Recalls for weeks ending during the last six months populate in the Week Ending Field. The prior week’s release recall employee records are available for view only; edits can only be made to the records displayed for the most current week’s release recall.

- Click the edit icon next to the employee’s SEID; an *Edit Release Recall Record* screen generates.
- Review the record and ensure the elements are correct; edit as needed (see below for elements that must be complete and correct).
- Click “Add Release Recall Record” if an employee(s) record is missing from the release recall list and add.

Note: A delete icon is available to delete an employee’s record if they should not appear on the list, such as a recently retired employee.

- (7) The above steps may need to be repeated after the Preliminary Report and Final Report are requested and reviewed if corrections to the reports are required. Ensure the SEID is correct, the employee is in the correct Org Code with the correct class code, and the following elements are correct:
- Last Name, First Initial, and Middle Initial.
 - Grade.
 - Work Status Cd:
 - W - Working.
 - R - Released.
 - O - Detailed Out.
 - I - Detailed In.
 - Enter on Duty Date.
 - Service Comp Date.
 - Skill Codes.
 - Rating Type:
 - A - Performance Appraisal.
 - H - Ad-hoc Appraisal for release recall only.
 - S - Test/OPM Score.
 - NR - Not Ratable.
 - Critical Elements (if applicable).

Caution: Critical elements are required entries if “A” or “H” rating type is selected.

Five critical element fields are available (the number of critical elements on an employee performance plan). Although there is no specific order required, it is suggested they appear in the same order as listed on the performance appraisal.

Note: The Critical Element Score (determined by dividing the sum of the CJE ratings by the total number of CJEs) calculates and displays next to the critical elements. Be aware it does not include any applicable seniority points that may be added to the final ranking score that appears on the Final Release Recall Report.

- Test Score Indicator (if applicable) required if “S” rating type is selected:
 - Training Test Score (Data/CRS) (T).
 - OPM Category Rating “0”.
- Score (required if “T” or “F” test score indicator is selected).

Reminder: Only seasonal and term employees receive ranking scores; Intermittent and Temp employees are ranked in EOD order. Therefore, the Rating Type is not applicable and cannot be selected.

3.43.405.13.6.3 (08-24-2016)

Release Recall Reports

- (1) The Release Recall Reports screen provides access to a request screen for viewing the Preliminary Release Recall Report, for viewing the Final Release Recall Report, and for Requesting a Final with Form 5141. Additionally, a blank Form 5141 can be requested and viewed by selecting “Blank 5141”.
- (2) The Preliminary Report and the Final Report can be viewed on EQSP immediately after requesting (if the Release Recall has been created). The Final with Form 5141 is available on Control-D the following day.

Reminder: The Final with 5141 should be requested when Release or Recall is anticipated because Form 5141 informs employees of their position on the list. The Listing is made available to NTEU in Control-D.

(3) To view the Preliminary Report:

- Click “Preliminary Report” to access the *Preliminary Report* screen.
- Enter the Organization and the Class Code; the latest week ending auto populates if the parameters match a created Release Recall.
- Click “View Report”; a confirmation screen appears asking “Do you want to run the preliminary report?” - Click “OK”.
- The RELEASE RECALL PRELIMINARY LISTING generates in 5-digit Org Code order (view is based on span of control).

(4) To view the Final Report:

- Click “Final Report” to access the *Final Report* screen.
- Enter the Organization and the Class Code; the latest week ending auto populates if the parameters match a created Release Recall.

Note: A Preliminary is not required in order to request a Final.

- Click “View Report”; a confirmation screen appears asking “Do you want to run the preliminary report?” - Click “OK”.
- The RELEASE RECALL FINAL LISTING generates in rank order.

(5) To request a Final with Forms 5141 Report:

- Click “Final Report with 5141” to access the *Final with 5141 Report* screen.
- Enter the Organization and the Class Code; the latest week ending auto populates if the parameters match a created Release Recall and a Final.
- Click “Send to Control-D”; a screen appears asking “Do you want to run the Final with 5141 Report?” - Click “OK”
- A confirmation message returns indicating the Final with 5141 Report will be available on Control-D on the next business day.

Note: A Validation Error message generates if all required fields are not entered in each employee’s Release Recall Record; the message indicates the errors must be corrected before the report can be generated.

(6) The following conditions are required before requesting a Release Recall Report:

- A Release Recall can only be created once for a specific week ending.
- A Final Report can be run only if a Release Recall has been created with the same week ending.
- A Final Report with 5141 can be requested only if a Final Report has been requested in EQSP.

(7) Release Recall Final Listings with Form 5141 are correct if the Final Report viewed on EQSP is correct. Exercise caution when preparing Reports viewed in EQSP to avoid re-requesting Final Listings with Form 5141 and needlessly wasting resources.

