

For: FAS, FSA, and RMA Employees

Annual Performance Appraisals

Approved by: Acting Deputy Administrator, Management



1 Overview

A

Purpose

This notice informs employees and supervisors of information needed to complete the annual performance appraisals for the rating period ending September 30, 1999.

Note: Performance elements and standards shall be established within 30 calendar days of an employee's assignment to a position. An employee must serve under elements and standards in the current position for **90 calendar days** or more before supervisors complete the employee's performance appraisal.

B

Labor Relations Obligations

Where exclusive representation exists, this notice does not apply until bargaining takes place. Where contract language addresses these policies and procedures for bargaining unit employees, contract language prevails.

C

Performance Appraisal Systems

The FFAS Performance Management System applies to:

- all RMA employees nationwide
- all FAS employees except Foreign Service
- all FSA employees at geographic locations where there are recognized bargaining units.

See 5-PM.

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<p>Disposal Date</p> <p>January 1, 2000</p>	<p>Distribution</p> <p>All FAS, FSA, and RMA employees; State Offices relay to County Offices.</p>
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1 Overview (Continued)

C

Performance Appraisals Systems (Continued)

The PASS/FAIL Performance Management System covers all FSA employees, including County Office employees, at locations where there are no recognized bargaining units. For additional information, refer to either of the following:

- the USDA Service Center Agencies, Performance Management Site at: <http://DC.FFASINTRANET.USDA.GOV/HRD/>
 - obsolete Notice PM-2100.
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2 Performance Appraisal Forms

A

Obtaining and Completing Forms

Supervisors shall:

- use WordPerfect versions of AD-435, AD-435A, AD-435B or the SCA Performance Work Plan (SCAPWP)
 - except for block 2, complete AD-435 according to the instructions on the form
 - enter Agency, program, and division or office, such as, FSA, DAM, HRD, in AD-435, block 9
 - sign and print name in each signature block.
-

B

Due Date

AD-435's, AD-435A's, AD-435B's, and SCAPWP shall be completed and distributed:

- by **October 29, 1999**
 - according to paragraph 6.
-

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3 Supervisor Action

A Reviewing Performance

Supervisors shall review employee performance by:

- comparing the employee's performance of each element with the standards established on AD-435A, AD-435B, and SCAPWP
- checking the appropriate rating level for each element on AD-435A, AD-435B, and SCAPWP
- if necessary, obtaining written documentation of the employee's performance under a previous position.

Notes: Supervisors of record shall review, sign, and print name on AD-435 and SCAPWP.

Supervisory employees detailed from their positions of record shall:

- provide input to the new supervisor of record about an employee's performance
 - include a recommended rating for each performance element.
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B Accountability for AD-435

Supervisors shall ensure that AD-435:

- contains all elements, as reflected on AD-435A and AD-435B
- designates critical and noncritical elements
- weights are properly assigned; that is, 2 points for critical and 1 point for noncritical

Note: EO/CR element or element incorporating EO/CR standard must be a **critical** element weighed as 2.

- totals are added correctly in blocks 15 E through 15 H
-

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3 Supervisor Action (Continued)

B

**Accountability
for AD-435
(Continued)**

- summary rating is properly designated using decision table in block 16 B
 - block 17 is checked
 - contains the required signatures and timely dates
 - **includes initials near any corrections and/or changes.**
-

C

**Accountability
for SCAPWP**

Supervisors shall ensure that:

- employees are informed of the overall Agency mission, objectives, and employee's duties and responsibilities
 - employee participates in developing performance work plans
 - employee has written work plans which identify critical elements and expected levels of performance
 - at least 1 performance review is conducted and documented
 - the employee's performance ratings are completed by evaluating and documenting the employee's actual accomplishments then determining a summary level of "Results Achieved" or "Results Not Achieved"
 - SCAPWP contains required signatures
 - **corrections and changes are initialed by rating officials.**
-

D

**Providing
Additional
Information**

Supervisors shall provide additional documentation by completing the "Accomplishment" block on AD-435A and AD-435B or by attaching a separate accomplishment statement for:

- each element rated "Does Not Meet Fully Successful"
 - all elements when the employee received a summary rating of "Outstanding."
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3 Supervisor Action (Continued)

D
Providing
Additional
Information
(Continued)

Under the PASS/FAIL appraisal system:

- provide written comments if an employee receives a “Results Not Achieved” performance rating

Note: The documentation shall be attached to the performance work plan and must be signed by the rating official and the reviewing official before employee signs.

- when a QSI is granted for sustained, high quality performance significantly above that expected at the “results achieved” level, the supervisor must provide documentation that specifically describes all of the following:
 - the actual results achieved and their linkages to established targets
 - how the employee substantially exceeded the performance standards and the expected work results communicated to the employee by the supervisor
 - how the employee’s performance has been sustained at this high level throughout the performance appraisal period.
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E
Completing
AD-435

Supervisors shall complete AD-435 according to this table.

Step	Action
1	Complete AD-435 by transferring the performance elements and appropriate rating level information from AD-435A and AD-435B.
2	Obtain the reviewing official's approval on AD-435.
3	Discuss the approved rating and basis for the rating with the employee.
4	Forward AD-435, AD-435A, and AD-435B to HRD or KCMO according to paragraph 6.

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4 Reviewer and Employee Action

A

Reviewer Action Reviewers shall:

- discuss the performance and rating of employees with supervisors
 - change the ratings, if appropriate
 - sign AD-435 certifying approval of original or revised ratings
 - return AD-435 to the supervisor for distribution according to paragraph 6.
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B

Employee Action Employees shall:

- sign AD-435 certifying receipt of the rating.

Note: If the employee refuses to sign the rating, the supervisor shall:

- indicate the refusal on AD-435, block 18
 - forward AD-435 to the appropriate servicing personnel office according to paragraph 6.
 - complete AD-435, block 17, about USDA regulations about employee's responsibilities and conduct.
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5 Completing SCAPWP

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Supervisor and Employee Action Supervisor and employee shall:

- ensure that block 11 reflects that the employee has served under the elements for 90 calendar days
 - sign and print name and date in block 12
 - ensure that corrections and changes are initialed by rating official.
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B

Reviewer Action Sign in block 12 if summary of rating is "Results Not Achieved".

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6 Distributing AD-435's, AD-435A's, and AD-435-B's, and SCAPWP

A
Distributing
Completed
Forms

Supervisors shall distribute the completed performance appraisals according to this table.

Step	Action
1	Forward the original, completed copies of AD-435, AD-435A, AD-435B, and SCAPWP to either of the following servicing personnel offices by October 29, 1999 : <ul style="list-style-type: none">• HRD, Domestic Operations Branch, Services Group, STOP 0594• KCMO, Personnel Division (PD).
2	Provide the employee with: <ul style="list-style-type: none">• 1 copy of AD-435 and SCAPWP• 1 copy of AD-435A and AD-435B.
3	Retain the following for the supervisor's files: <ul style="list-style-type: none">• 1 copy of AD-435 and SCAPWP• 1 copy of AD-435A and AD-435B.

7 Unratable Employees

A
Rating
Requirements

To be rated, an employee must have:

- elements and standards established on AD-435A, AD-435B, and SCAPWP
- been under signed elements and standards for at least **90 calendar days**.

Note: If the employee disagreed with elements and standards and refused to sign them, the supervisor should have noted this in the employee's signature block on AD-435A and SCAPWP.

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8 Additional Information

A

Contacts

If there are questions about rating employees, supervisors may contact the appropriate servicing personnel office according to this table.

If the supervisor is located in...	contact...
National Office	Performance Management, Benefits, and Awards Branch, HRD on 202-418-8973 or TTY 202-418-9116.
1 of the following: <ul style="list-style-type: none">• APFO• KCCO• KCMO• State Offices	KCMO, PD, Employee and Labor Relations Branch on 816-926-6643 or TTY 816-926-3063.
County Office	State Office.

B

Filing Grievances

Nonbargaining unit employees must grieve their performance appraisals under the Agency grievance procedure. Bargaining unit employees must use the negotiated grievance procedure.
