

For: FAS, FSA, and RMA Employees

**Annual Performance Appraisals**

Approved by: Deputy Administrator, Management



**1 Overview**

**A Purpose**

This notice provides employees and supervisors with information needed to complete the annual performance appraisal for the rating period ending September 30, 2000, and reminds employees and supervisors that:

- 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 FFAS Performance Management System**

The FFAS Performance Management System applies to all of the following:

- FAS employees except Foreign Service
- FSA employees
- RMA employees.

**Note:** See 5-PM and AFSCME Local 3925 negotiated agreement (March 8, 2000).

<p><b>Disposal Date</b></p> <p>March 1, 2001</p>	<p><b>Distribution</b></p> <p>All FAS, FSA and RMA employees; State Offices relay to County Offices</p>
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## Notice PM-2206

### 2 Supervisor Action

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#### A

#### Obtaining and Completing AD-435, AD-435A and B, and Form 4140

Supervisors shall:

- use WordPerfect versions of AD-435, AD-435A and B, or Form 4140
  - except for item 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, item 9
  - sign and print name in each signature block on the applicable AD-435 or Form 4140
  - complete and distribute AD-435, AD-435A and B, or Form 4140:
    - by **October 27, 2000** (FAS)
    - by **October 31, 2000** (FSA/RMA)
    - according to paragraph 5.
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#### B

#### Reviewing Performance

Supervisors shall review employee performance by:

- ensuring that the employee has served under elements and standards in their current position for **90 calendar days** or more
  - comparing the employee's performance of each element with the standards established on AD-435A and B or Form 4140.
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2 Supervisor Action (Continued)

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**B**  
**Reviewing**  
**Performance**  
**(Continued)**

- if necessary, obtaining written documentation of the employee's performance under a previous position if:
  - the employee is on detail for 120 calendar days or more
  - a change in supervisor occurs and the employee works under a new supervisor for 90 calendar days or more
  - the employee changes positions and serves in the new position for 90 calendar days or more
  - the employee transfers outside FAS, FSA, or RMA

**Note:** The former supervisor should provide a copy of AD-435 to the employee's new supervisor.

- the employee performs collateral duties, then the rating shall reflect both of the following:
    - primary duties of the position
    - primary collateral duty
  - checking the appropriate rating level for each element on AD-435A and B and Form 4140.
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**C**  
**Accountability**  
**for AD-435**

Supervisors shall ensure that AD-435:

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

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

- totals are added correctly in items 15 E through 15 H
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**2 Supervisor Action (Continued)**

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**C**

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

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

**Accountability  
for Form 4140**

Supervisors shall ensure that:

- employees are informed of the overall Agency mission and objective, and employee's duties and responsibilities
  - employee participates in developing performance work plans
  - employee has written work plans that 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"
  - Form 4140 contains required signatures and dates
  - corrections and changes are initialed by rating officials.
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**E**

**Providing  
Additional  
Documentation**

Supervisors shall provide additional documentation by doing either of the following:

- completing AD-435A and B, item 10, "Accomplishments"
  - attaching a separate accomplishment statement for each element rated, "Does Not Meet Fully successful".
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**2 Supervisor Action (Continued)**

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**E  
Providing  
Additional  
Documentation  
(Continued)**

Under the 2-level appraisal system, provide written comments if an employee receives a "Results Not Achieved" performance rating.

**Note:** The documentation shall be attached to Form 4140 and must be signed by the rating official and the reviewing official before employee signs.

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**F  
Completing  
AD-435**

Supervisors shall complete AD-435 according to this table.

<b>Step</b>	<b>Action</b>
1	Transfer the performance elements and appropriate rating level information from AD-435A and B.
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 B to HRD or KCAO according to paragraph 5.

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**3 Reviewer and Employee Action**

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**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 5.
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**3 Reviewer and Employee Action (Continued)**

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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, item 18
  - forward AD-435 to the appropriate servicing personnel office according to paragraph 5.
  - complete AD-435, item 17 about USDA regulations on employee's responsibilities and conduct.
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**4 Completing Form 4140**

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**A**

**Supervisor and Employee Action**

Supervisor and employee shall:

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

**Reviewer Action**

Sign in item 12 if summary of rating is "Results Not Achieved".

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**5 Distributing AD-435, AD-435A and B, and Form 4140**

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**A  
Distribution**

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

<b>Step</b>	<b>Action</b>
1	Forward the original, completed copies of AD-435, AD-435A and B, and Form 4140 to either of the following servicing personnel offices by <b>October 27, 2000</b> (FAS) or <b>October 31, 2000</b> (FSA/RMA): <ul style="list-style-type: none"><li>• HRD, Performance Management, Benefits, and Awards Branch, STOP 0595</li><li>• KCAO, Personnel Division (PD).</li></ul>
2	Provide the employee with: <ul style="list-style-type: none"><li>• 1 copy of AD-435 and Form 4140</li><li>• 1 copy of AD-435A and B.</li></ul>
3	Retain the following for the supervisor's file: <ul style="list-style-type: none"><li>• 1 copy of AD-435 and Form 4140</li><li>• 1 copy of AD-435A and B.</li></ul>

**6 Unratable Employees**

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**A  
Rating  
Requirements**

To be rated, an employee **must** have:

- elements and standards established on AD-435A and B, and Form 4140
- been under signed elements and standards for at least **90 calendar days**.

**Note:** If the employee disagrees with elements and standards and refuses to sign them, the supervisor should note this in the employee's signature block on AD-435A and Form 4140.

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7 Additional Information

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A

**Contacts**

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

<b>IF the supervisor is located in...</b>	<b>THEN contact...</b>
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"><li>• APFO</li><li>• KCCO</li><li>• KCAO</li><li>• KCFO</li><li>• KC-ITSTO</li><li>• KC-ITSDO</li><li>• State Offices</li></ul>	KCAO, PD, Employee and Labor Relations Branch on 816-926-6643 or TTY 816-926-3063.
County Office	State Office

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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.

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