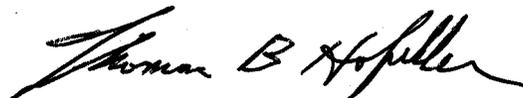


For: FSA Employees

New FSA Performance Management System

Approved by: Associate Administrator for Operations and Management



1 Overview

A Background

One of the standards for success USDA must meet on the President’s Human Capital initiative is to have a result-oriented performance culture. According to OPM, a performance management system must effectively differentiate between high and low performance and develop employee performance plans that are aligned with and support organizational goals.

During FY 2005, all employees, starting with senior managers, developed and implemented new performance plans that were better aligned with and supported the Agency’s organizational goals. This alignment is an ongoing process and will be strengthened in the future.

For FY 2006, FSA is implementing a new performance management system that will effectively differentiate between high and low performance.

B Legal Authorities

The new FSA Performance Management System is based on:

- 5 U.S.C. Chapter 43
- 5 CFR Parts 430 and 432
- USDA Performance Management System established on June 12, 1996.

C Effective Date

The new FSA Performance Management System is effective October 1, 2005.

Note: For FY 2005 only, supervisors shall rollover an employee's current performance plan until detailed training is completed in November. New plans shall then be put into place by December 31, 2005.

Disposal Date	Distribution
November 1, 2007	All FSA employees; State Offices relay to County Offices.

Notice PM-2482

1 Overview (Continued)

D Coverage

The new FSA Performance Management System applies to all FSA employees nationwide, except for Senior Executive Service (SES), Senior Level (SL), and Scientific or Professional (ST) employees.

E Responsibilities

Agency Administrators are responsible for:

- monitoring program compliance with applicable laws and regulations, Department policies, and collective bargaining agreements
- ensuring program compliance with policy and program direction and administration
- communicating the Agency mission, strategic goals, and objectives to all levels within their operating administration.

Servicing Personnel Offices (SPO) are responsible for:

- providing technical and operational support and advice to the rating and reviewing officials to help them administer the performance management program in a manner consistent with applicable laws, rules, and regulations
- ensuring that performance plans and ratings of record are maintained in the SPO in accordance with the requirement of 5 CFR Parts 293 and 297
- providing training on the performance management program for rating and reviewing officials responsibilities.

F Labor Relations Obligations

Where exclusive representation exists, bargaining may be requested to the extent allowed by applicable statutes. Where contract language addresses these policies and procedures for bargaining unit employees, contract language prevails.

2 Establishing Performance Plans

A Appraisal Period and Documentation

The appraisal period starts October 1 of each year and ends September 30 of the following year.

Performance plans should be established within 30 calendar days of the start of the appraisal period or of an employee's assignment to a position.

Performance plans are documented:

- in I*CAMS for offices using I*CAMS
- on AD-435A and AD-435B for offices not using I*CAMS (Exhibit 1).

Note: Employee participation is recommended in establishing or revising performance plans. The final decision, however, shall be made by the employee's supervisor.

B Number of Elements

Establish at least 3 but no more than 5 performance elements. See Exhibit 2 for a menu of elements from which the 3 to 5 elements can be selected. Other job specific elements may be created, if necessary, including the Mission Results element that was established for National Office employees in FY 2005.

The following elements are **mandatory**:

- supervisors and managers **must** select the "Supervision" element and the supervisory "Equal Opportunity and Civil Rights" element
- nonsupervisory employees **must** select the nonsupervisory "Equal Opportunity and Civil Rights" element.

C Critical and Noncritical Elements

Determine what elements shall be critical and noncritical. Critical elements cover duties that are essential to the successful performance of the position. Elements linked to Agency goals, the "Equal Opportunity and Civil Rights" element, and (for supervisors and managers) the "Supervision" element **must** be critical. At least 1 element must be noncritical. On the summary rating:

- critical elements will be scored as 2 points
- noncritical elements will be scored as 1 point.

2 Establishing Performance Plans (Continued)

D Standards

For each element selected, there **must** be written standards for measuring performance of the element after “Further Clarification As Needed”. Standards must be observable, measurable, and attainable by the employee. Do **not** include phrases like “other duties as assigned”. Further guidance on the standards will be issued before December 31, 2005.

E Alignment

As mentioned in subparagraph 1 A, performance plan alignment is an ongoing process and offices **must** continue this process in FY 2006. Supervisors should develop performance plans that include a critical element with standards that identify clear and measurable tasks and results that are aligned to organizational goals.

Note: These standards can be put in the Mission Results element or be inserted parenthetically into an existing critical element.

Notice PM-2482

3 Processing Performance Plans

A Supervisory Responsibilities

Managers and supervisors using I*CAMS shall take the following actions to process a performance plan.

Step	Action
1	Establish performance plan. For each element selected, there must be a standard for measuring performance of the element after "Further Clarification As Needed".
2	Review performance plan for accuracy.
3	Send performance plan to reviewing official so the reviewing official can enter a check mark in the box next to "Reviewed".
4	<p>On receipt of performance plan from reviewing official, send it to employee.</p> <p>After discussing each element and standard with the employee, ensure that the employee has entered a check mark in the box next to "Viewed Discussed".</p> <p>Note: Supervisors should attempt to resolve concerns the employee may have regarding their performance plan. If the employee refuses to sign their performance plan, the employee shall be advised that they will still be placed under the plan and they will still be held accountable for the elements and standards as described in the plan.</p>
5	<p>If the employee refuses to sign the performance plan, print out a hard copy of the screen and annotate the copy as follows:</p> <p>"The performance plan was presented to, and discussed with, the employee. The employee refused to sign the date the plan was presented to the employee".</p>
6	The finalized performance plan will flow to the employee electronically. Hard copies are not required.

Notice PM-2482

3 Processing Performance Plans (Continued)

A Supervisory Responsibilities (Continued)

Managers and supervisors not using I*CAMS shall take the following actions to process a performance plan.

Step	Action
1	Establish performance plan. For each element selected, there must be a standard for measuring performance of the element after “Further Clarification As Needed”.
2	Review performance plan for accuracy.
3	Give performance plan to reviewing official for signature.
4	Present performance plan to employee. After discussing each element and standard with the employee, request that the employee sign and date AD-435A, item 5. Note: Supervisors should attempt to resolve concerns the employee may have regarding their performance plan. If the employee refuses to sign their performance plan, the employee shall be advised that they still will be placed under the plan and that they will still be held accountable for the elements and standards, as described in the plan.
5	If the employee refuses to sign, annotate the performance plan as follows: “The performance plan was presented to, and discussed with, the employee. The employee refused to sign the date the plan was presented to the employee”.
6	Give a copy of the signed or unsigned performance plan to the employee.

B Reviewing Official Responsibilities

If using I*CAMS, the reviewing official shall take the following actions to process a performance plan.

Step	Action
1	Review employee’s elements and standards, as submitted by the supervisor, to ensure that the performance plan is: <ul style="list-style-type: none"> • in conformance with FSA policy and guidelines • consistent with other performance plans in the work unit.
2	Enter a check mark in the box next to “Reviewed”.

Notice PM-2482

3 Processing Performance Plans (Continued)

B Reviewing Official Responsibilities (Continued)

If not using I*CAMS, the reviewing official shall take the following actions to process a performance plan.

Step	Action
1	Review employee's elements and standards, as submitted by the supervisor, to ensure that the performance plan is: <ul style="list-style-type: none">• in conformance with FSA policy and guidelines• consistent with other performance plans in the work unit.
2	Sign and date AD-435A.

C Employee Responsibilities

If using I*CAMS, the employee shall take the following action to process a performance plan.

Step	Action
1	Review presented performance plan with supervisor.
2	Discuss elements and standards needing clarification.
3	Sign and date AD-435A. The employee's signature certifies that: <ul style="list-style-type: none">• a discussion took place with the supervisor about the performance plan• the employee has seen the performance plan• the employee has viewed the standards of conduct and has had any questions answered to his/her satisfaction. <p>Note: If the employee refuses to sign the AD-435A the employee will still be held accountable for the elements and standards of the performance plan.</p>

3 Processing Performance Plans (Continued)

C Employee Responsibilities (Continued)

If not using I*CAMS, the employee shall take the following action to process a performance plan.

Step	Action
1	Review presented performance plan with supervisor.
2	Discuss elements and standards needing clarification.
3	<p>Enter a check mark in the box next to “Viewed Discussed”. The employee’s “signature” certifies that:</p> <ul style="list-style-type: none"> • a discussion took place with the supervisor about the performance plan • the employee has seen the performance plan • the employee has viewed the standards of conduct and has had any questions answered to his/her satisfaction. <p>Note: If the employee refuses to sign the AD-435A the employee will still be held accountable for the elements and standards of the performance plan.</p>

4 Progress Reviews

A Mandatory Progress Reviews

The supervisor shall:

- conduct at least 1 progress review during the 12-month appraisal period between the 6th and 9th month
- inform the employee of their level of performance as it relates to their performance elements and standards.

B Periodic Optional Progress Reviews

Even though only a midyear progress review is required, it is in the best interest of the supervisor and employee to periodically hold performance discussions. An employee may request a meeting for this review. Periodic performance reviews with the employee will:

- provide regular feedback
- keep the channels of communication open
- assist in identifying strengths and weaknesses
- help avoid an unexpected performance rating at the end of the appraisal period.

5 Documenting Performance

A Rating of Record and Reduction-in-Force (RIF)

The Rating of Record is the performance appraisal that is issued at the end of the appraisal period and becomes part of the employee's performance file. Annual Ratings of Record are used to establish service credit and retention standing in the event of RIF.

B Obtaining and Completing Performance Appraisals

If using I*CAMS, supervisors shall:

- enter summary ratings in Manager Self-Service of I*CAMS
- review/respond to written comments entered by employees as applicable
- verify the employee entered a check mark in the box next to "Employee Viewed/Discussed Rating".

If not using I*CAMS, supervisors shall:

- use MSWord versions of AD-435 (Exhibit 3), AD-435A, and AD-435B
- complete AD-435 according to the instructions on the form, except for block 2
- enter agency, program, and division or office, like FSA, DAM, or HRD, in block 9.

Note: AD-435, AD-435A, and AD-435B are available from the FFAS Employee Forms Online Website at <http://165.221.16.90/dam/ffasforms/forms.html>.

C Appraising Elements

The supervisor will evaluate each performance element and determine which 1 of the following 3 rating levels is most appropriate when comparing the employee's performance with the Fully Successful performance standard established for that element.

- **Exceeds Fully Successful:** This level generally describes performance that exceeds the Fully Successful standard for the element being evaluated. Employees performing at this level may display initiative, ownership, and/or unusual independence.
- **Meets Fully Successful:** This level generally describes performance of the solid, effective employee whose work meets normal expectations in terms of quality, quantity, and timelines, as outlined in the Fully Successful standard.
- **Does Not Meet Fully Successful:** This level describes performance that has failed to fulfill the basic expectation for the work.

Note: With assistance from SPO, the rating official **must** prepare a written statement describing the employee's deficiencies for all elements rated at this level. Early identification and correction of poor performance is strongly recommended.

5 Documenting Performance (Continued)

D Summary Ratings

A 5 level summary rating system summarizes the employee's overall performance and is calculated using the description on AD-435. The 5 summary levels are:

- **Outstanding:** all appraisal units are rated Exceeds Fully Successful
- **Superior:** more appraisal units are rated Exceeds Fully Successful than Meets Fully Successful and no elements are rated Does Not Meet Fully Successful
- **Fully Successful:** as many or more appraisal units are rated Meets Fully Successful than Exceeds Fully Successful and no critical element is rated Does Not Meet Fully Successful
- **Marginal:** more appraisal units are rated Does Not Meet Fully Successful than Exceeds Fully Successful and no critical element is rated Does Not Meet Fully Successful
- **Unacceptable:** 1 or more critical elements are rated Does Not Meet Fully Successful.

Note: If the Unacceptable level occurs, the rating official should contact their SPO for guidance.

E Due Date

I*CAMS processing or AD-435's, AD-435A's, and AD-435B's shall be completed and distributed:

- by **October 30**
- according to subparagraph 7 A.

6 Reviewing Performance

A Supervisor Action

Supervisors using I*CAMS shall review the performance of their employees by:

- comparing the employee's performance of each element with the standards established in I*CAMS
- checking the appropriate rating level for each element
- if necessary, obtaining interim ratings from the employee's prior supervisors.

Note: Supervisor of record shall review and process in I*CAMS.

6 Reviewing Performance (Continued)

A Supervisor Action (Continued)

Supervisors not using I*CAMS shall review the performance of their employees by:

- comparing the employee's performance of each element with the standards established on AD-435A and AD-435B
- checking the appropriate rating level for each element
- if necessary, obtaining interim ratings from the employee's prior supervisors.

Notes: Supervisor of record shall review and sign AD-435.

Supervisory employees detailed from their positions of record shall:

- provide input to the new supervisor of record regarding an employee's performance
- include a recommended rating for each performance element.

B Accountability for Performance Appraisals

Supervisors shall ensure that the performance appraisal:

- contains all elements
- designates critical and noncritical elements
- weights are properly assigned, that is 2 points for critical elements and 1 point for noncritical elements
- totals are added correctly
- summary rating is properly designated
- employee has checked "responsibilities and conduct" box
- contains the required signatures
- for offices using I*CAMS, has the correct boxes checked
- for offices not using I*CAMS, contains the required signatures.

Notice PM-2482

6 Reviewing Performance (Continued)

C Providing Additional Information

Supervisors shall provide additional documentation for each element rated “Exceeds Fully Successful” or “Does Not Meet Fully Successful” by:

- entering an accomplishment statement in the “Accomplishment” block, for offices using I*CAMS
- completing the “Accomplishment” block on AD-435A and AD-435B, for offices not using I*CAMS.

D Completing the Performance Appraisal

If using I*CAMS, supervisors shall do the following.

Step	Action
1	Enter the appropriate rating information through Manager Self-Service portion of I*CAMS.
2	Obtain the reviewing official’s approval.
3	Discuss the approved rating and basis for the rating with the employee.
4	Verify the employee has entered a check mark in the box next to “Employee Viewed/Discussed Rating”.
5	Forward the performance plan and the appraisal according to subparagraph 7 A. Hard copies are not required but can be printed by the employee or supervisor whenever needed.

If not using I*CAMS, supervisors shall do the following.

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 KC HR according to paragraph 7 A.

6 Reviewing Performance (Continued)

E 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 or (for offices using I*CAMS) check the “Review Completed” box
- return AD-435 to the supervisor for distribution according to paragraph 7 A.

Note: In I*CAMS, the rating will flow electronically back to the supervisor.

F Employee Action

Employees shall:

- sign AD-435 or (for offices using I*CAMS) enter a check mark in the box next to “Employee Viewed/Discussed Rating”, 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 or (for offices using I*CAMS) enter a statement in the “Reviewer Comments”
- forward rating to the appropriate servicing personnel office according to paragraph 7.
- in offices not using I*CAMS, complete AD-435, block 17 about USDA regulations about employee’s responsibilities and conduct.

7 Distributing Appraisals, Rating Requirements, and Multiple Appraisals

A Distributing Performance Appraisals

Forward the completed performance plan and appraisal to the appropriate SPO by October 30. For offices using I*CAMS, hard copies of documents are not required. Employees and supervisors can go in and print a copy of their appraisal at any time.

Notice PM-2482

7 Distributing Appraisals, Rating Requirements, and Multiple Appraisals (Continued)

A Distributing Performance Appraisals (Continued)

For offices not using I*CAMS, supervisors shall distribute the completed performance appraisals according to the following table.

Step	Action
1	Forward the original, completed copies of AD-435, AD-435A, and AD-435B to the appropriate SPO by October 30.
2	Provide the employee with 1 copy of AD-435, AD-435A and AD-435B's.
3	Retain the following for the supervisor's files 1 copy of AD-435, AD-435A and AD-435B's.

B Rating Requirements

To rate an employee:

- a performance plan must have been established on AD-435A and AD-435B or in I*CAMS
- the employee must be under a performance plan for at least 90 calendar days.

Note: If it has not been 90 calendar days by the end of the appraisal period, the period may be extended by up to 90 calendar days to allow for a rating to be given.

If the employee disagrees with their performance plan and refuses to sign it, the supervisor will note this in the employee's signature block of AD-435 or in the "Reviewer Comments" box in I*CAMS.

Notice PM-2482

7 Distributing Appraisals, Rating Requirements, and Multiple Appraisals (Continued)

C Multiple Appraisals

The following table provides instruction for performance plans for employees detailed or temporarily promoted.

IF...	THEN...
<p>the employee is detailed or has a temporary promotion to other positions in FSA or the Department for 90 calendar days or more</p>	<p>performance plans shall be established. The supervisor responsible for the detail or temporary promotion shall prepare the performance plan and communicate it in writing to the employee within 30 calendar days of the start of the assignment. At the end of the assignment, an interim rating shall be prepared detailing the employee's accomplishments. This shall be considered in deriving the employee's annual rating of record.</p> <p>Note: When employees are detailed outside the Department, the employing agency must make a reasonable effort to obtain information on the employee's accomplishments from the outside organization.</p>
<p>the employee is detailed or has a temporary promotions to other positions in FSA or the Department for 90 calendar days or less</p>	<p>performance plans are not required. However, a narrative document shall be prepared detailing the employee's accomplishments. This shall be considered in deriving the employee's annual rating of record.</p> <p>Note: When employees are detailed outside the Department, the employing agency must make a reasonable effort to obtain information on the employee's accomplishments from the outside organization.</p>
<p>the employee has a change in supervisors during the appraisal period including while on detail</p>	<p>each supervisor of 90 calendar days or more shall prepare an interim rating detailing the employee's accomplishments. This shall be considered in deriving the employee's annual rating of record.</p>
<p>the employee has position changes during the appraisal period and has served for 90 calendar days or more in the position</p>	<p>the supervisor shall prepare an interim rating detailing the employee's accomplishments. This shall be considered in deriving the employee's annual rating of record.</p>
<p>the employee has a transfer of rating (moves to another agency or Department) and has served for 90 days or more in the position</p>	<p>the supervisor shall prepare an interim rating detailing the employee's accomplishments. This shall be sent to the gaining organization to be considered in deriving the employee's annual rating of record.</p>

8 Monitoring Performance

A Marginal Performance

Supervisors shall assist employees in improving less than “Fully Successful” performance in a noncritical element. The supervisor shall inform the employee as soon as the less than “Fully Successful” performance is apparent and give a reasonable opportunity to demonstrate acceptable performance. The supervisor shall assist the employee by taking the following steps:

- provide closer supervisory review of work
- hold discussions and provide correction of work products
- advise employees when they have achieved “Fully Successful” performance.

A Marginal rating may result in the denial of a within-grade increase. Supervisors **must** contact their SPO for guidance.

B Unacceptable Performance

Supervisors shall:

- assist employees in improving less than “Fully Successful” performance in a critical element
- inform employees in writing as soon as the less than “Fully Successful” performance is apparent and give a reasonable opportunity to demonstrate acceptable performance through an Opportunity To Improve (OTI).

OTI provides formal notice to employees that performance is unacceptable and provides employees the opportunity to demonstrate acceptable performance. OTI may include activities like developmental assignments, structured employee assistance or counseling, formal or on-the-job training, and mentoring. Careful records must be kept of the assistance offered and results achieved under OTI. Supervisors should provide the following:

- notification of elements in which performance is unacceptable
- specific examples of the unacceptable performance
- performance requirements or standards that **must** be attained to demonstrate acceptable performance
- a reasonable opportunity period to demonstrate acceptable performance on the elements at issue
- notice that the employee **must** improve to the acceptable level by the conclusion of the opportunity period and **must** sustain that level of performance for at least 1 year from the start of the opportunity period.

Notice PM-2482

8 Monitoring Performance (Continued)

B Unacceptable Performance (Continued)

Should an employee’s performance again become unacceptable in 1 or more of these critical elements, a performance-based adverse action or other alternative action may be proposed without the benefit of an additional opportunity to improve. Supervisors **must** contact their SPO for guidance.

C Prior Administrative Actions

Administrative actions initiated against employees whose performance is “Unacceptable” under 5 U.S.C 4303, and the Performance Management Plan or another program in existence before the effective date of this program, shall continue to be processed consistent with that pre-established set of procedures and requirements.

9 Performance Recognition, Evaluation, and Additional Information

A Recognizing Performance

Employees will continue to receive recognition through Performance Awards (Quality Step Increases and Performance Bonuses) and Superior Accomplishment Awards (Extra Effort and Quick Track Awards). Performance Award amounts will be established each year by the Administrator and will be announced in a separate notice before the end of each rating period.

B Evaluation of the New Performance Management System

The new performance management system will be evaluated for its effectiveness on an annual basis within 90 calendar days of the end of each appraisal period. This evaluation will include issues like improvement of organizational performance and employee/managerial satisfaction with the system.

C Additional Information

If there are any questions about rating employees, supervisors may contact the appropriate SPO according to this table.

IF the supervisor is located in...	THEN contact...
FSA National Office	Performance Management, Benefits, and Awards Branch, HRD at 202-418-8975 or TTY 202-418-9116.
1 of the following: <ul style="list-style-type: none">• APFO• KCCO• KCAO• State Offices	Employee and Labor Relations Section, KC HR Office at 816-926-6643 or TTY 816-926-3063.
County Office	State Office

Performance Plan Documentation for Offices Not Using I*CAMS

A Example of AD-435A

The following is an example of AD-435A for a nonsupervisory position.

AD-435A (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 1 of 3	
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.) Smith, John		2. POSITION TITLE Loan Specialist			
3. AGENCY/DIVISION FSA/DAFLP/LMD		4. PAY PLAN, SERIES, GRADE GS-1165-13/4		APPRaisal PERIOD	
				5. START DATE 10/1/05	6. END DATE 9/30/06
7. PERFORMANCE ELEMENT					
No.	1	(Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)		<input checked="" type="checkbox"/>	CRITICAL
				<input type="checkbox"/>	NONCRITICAL
Execution of Duties					
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)					
Completed work assignments are performed in a timely manner, assuring a quality of work that meets the needs of the organization. Appropriate work methods are selected for the development of work products. Work products do not require substantive revisions. Assignments are completed in accordance with applicable agency guidelines, including time-frames. Further clarification as needed:					
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	Does Not Meet
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)					
11. CERTIFICATION OF DEVELOPMENT AND RECEIPT OF PLAN (Signatures certify discussion with the employee and receipt of plan which reflects current position description.)					
Employee's Signature					Date
Supervisor's Name (Print)			Supervisor's Signature		Date
Reviewer's Name (Print)			Reviewer's Signature		Date
12. PROGRESS REVIEWS (at least one must be completed)					
Employee's Initials and Date			Supervisor's Initials and Date		
:	:	:	:	:	:
:	:	:	:	:	:
Check appropriate copy designation below.					
() ORIGINAL-OFFICIAL PERSONNEL FOLDER/EMPLOYEE PERFORMANCE FILE COPY () EMPLOYEE COPY () SUPERVISOR'S COPY () AGENCY USE					

Performance Plan Documentation for Offices Not Using I*CAMS (Continued)

B Example of AD-435B

The following is an example of AD-435B for a nonsupervisory position.

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 2 of 3		
(12-88) PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Smith, John		2. POSITION TITLE Loan Specialist				
3. AGENCY/DIVISION FSA/DAFLP/LMD		4. PAY PLAN, SERIES, GRADE GS-1165-13/4		APPRAISAL PERIOD		
				5. START DATE 10/1/05	6. END DATE 9/30/06	
7. PERFORMANCE ELEMENT				<input checked="" type="checkbox"/>	<input type="checkbox"/>	
No.	2	(Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)		CRITICAL	NONCRITICAL	
		Equal Opportunity & Civil Rights				
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
Performs all duties in a manner which consistently demonstrates fairness, cooperation, and respect toward coworkers, office visitors, and all others in the performance of official business. Demonstrates an awareness of EO/CR policies and responsibilities of Agency and Departmental goals of valuing a diverse, yet unified workforce. Further clarification as needed:						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful	Does Not Meet
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						

Performance Plan Documentation for Offices Not Using I*CAMS (Continued)

B Example of AD-435B

The following is an example of AD-435B for a nonsupervisory position.

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 3 of 3		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Smith, John		2. POSITION TITLE Loan Specialist				
3. AGENCY/DIVISION FSA/DAFLP/LMD		4. PAY PLAN, SERIES, GRADE GS-1165-13/4		APPRAISAL PERIOD		
				5. START DATE 10/1/05	6. END DATE 9/30/06	
7. PERFORMANCE ELEMENT No. 3 (Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)			CRITICAL <input type="checkbox"/> NONCRITICAL <input checked="" type="checkbox"/>			
Individual Contributions to the Team						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
Ordinarily displays dependability and reliability. Promotes open communication. Contributes creative ideas and actively participates in team meetings resulting in added value to the team's products and services. When problems arise, explores causes and assists in resolving them. Works with team members to appropriately implement decisions. Is usually open minded to new ideas and approaches in implementing the team's goals. Willingly accepts and acts on constructive criticism. Further clarification as needed:						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful	Does Not Meet
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						

Recommended Elements

Following is a list of elements from which the 3 to 5 performance elements to be included in the performance plan can be selected.

Execution of Duties: Completed work assignments are performed in a timely manner, assuring a quality of work that meets the needs of the organization. Appropriate work methods are selected for the development of work products. Work products do not require substantive revisions. Assignments are completed in accordance with applicable agency guidelines, including time-frames.

Further clarification as needed.

Communications: Oral and written communications are clear, correct, timely, and presented in an understandable manner. Supervisor and coworkers are informed of issues and problems when necessary. Information and guidance provided is timely and correct.

Further clarification as needed.

Supervision: (Mandatory for all supervisors and managers) Work is assigned in a fair and effective manner. Technical guidance to subordinate staff is given in a timely manner. Performance management is implemented in accordance with procedure. Issues, concerns, or problems are handled promptly and fairly. To the extent possible, staff is properly trained and complies with occupational health and safety programs. Management decisions are supported and implemented within appropriate time-frames.

Further clarification as needed.

Team Leadership: Routinely leads individuals and team members toward specific goals and accomplishments. Provides encouragement, guidance, and direction as needed. Adjusts style to fit situation. Delegates appropriate authority in an effective manner. Coordinates functions of the team members. Demonstrates a sincere interest in employees' activities, abilities, etc.

Further clarification as needed.

Program Management: Manages program(s), resolving issues and problems within the employee's control. Monitors all aspects of program(s) for quality, effectiveness, and consistency. Program plans and guidance are responsive to objectives and requirements of the Agency. Policy instructions are appropriately issued and are accurate. Evaluates effectiveness of work and adjusts plans accordingly.

Further clarification as needed.

Special Projects: Special projects are regularly completed on time in a competent, accurate, and thorough manner. Completed projects comply with regulations and procedures. Special projects are completed independently, or reflect research and collaboration with others as required.

Further clarification as needed.

Research and Analysis: Thoroughly and accurately researches issues in a timely manner, using available reference sources (e.g., USDA manuals, or applicable law or regulations. Makes reasonable recommendations or decisions based on available guidance.

Further clarification as needed.

Recommended Elements (Continued)

Customer Service: Routinely displays courteous and tactful behavior. Projects a positive and professional image of USDA. Provides advice that is timely, responsive and accurate. Maintains appropriate rapport with internal and external customers. Develops and establishes working relationships with external organizations as required. Keeps supervisor and/or team leader informed of difficult and/or controversial issues and unique problems. Takes action to effectively solve problems before they have an adverse impact on the organization or other employees.

Further clarification as needed.

Equal Opportunity & Civil Rights: (Mandatory for all supervisors and managers). Performs all duties in a manner which consistently demonstrates fairness, cooperation, and respect toward coworkers, office visitors, and all others in the performance of official business. Demonstrates an awareness of EO/CR policies and responsibilities of Agency and Departmental goals of working to employ and develop a diverse, yet unified workforce.

Further clarification as needed.

Equal Opportunity & Civil Rights: (Mandatory for all nonsupervisory employees). Performs all duties in a manner which consistently demonstrates fairness, cooperation, and respect toward coworkers, office visitors, and all others in the performance of official business. Demonstrates an awareness of EO/CR policies and responsibilities of Agency and Departmental goals of valuing a diverse, yet unified workforce.

Further clarification as needed.

Resource Management: Monitors allocated funds and maintains complete and accurate records of expenditures. Routinely utilizes resources in an efficient and effective manner. Ensures that funds, property and other resources are guarded against waste, loss, unauthorized use, and misappropriation.

Further clarification as needed.

Individual Contributions to the Team: Ordinarily displays dependability and reliability. Promotes open communication. Contributes creative ideas and actively participates in team meetings resulting in added value to the team's products and services. When problems arise, explores causes and assists in resolving them. Works with team members to appropriately implement decisions. Is usually open-minded to new ideas and approaches in implementing the team's goals. Willing accepts and acts on constructive criticism.

Further clarification as needed.

AD-435, Performance Appraisal

The following is an example of AD-435 for elements shown in Exhibit 1.

United States Department of Agriculture Performance Appraisal				1 Social Security No. 123-45-6789	2 Position Number	3 Pay Plan GS	4 Occup. Series 1165	
5 Name (Last, First, Middle Initial) Smith, John			6 Grade/Step or Pay Level 13/4		7 Appraisal Period From 10/01/05 To 09/30/06			
8 Official Position Title Loan Specialist			9 Organization Structure Code 13/4					
10 Duty Station Washington, DC		11 Funding Unit		12 Agency Use		13 NFC Use		
<p>Instructions</p> <p>Blocks 1 through 10, completed by NFC, should be reviewed and, if necessary, corrected. Block 11. Enter funding unit number. Block 14. Enter brief description of performance elements. Block 15A. Check performance elements identified as critical.</p> <p>Blocks 15B, 15C., 15D. Rate actual performance by entering 2 for critical elements and 1 for non-critical elements in appropriate column. Blocks 15E, 15F, 15G. Enter total of each column. Block 15H. Enter total from 15E, 15F and 15G. Block 16A. Check off the correct summary rating described in decision table (16B). Blocks 17 through 22. Self-explanatory.</p>								
14 Performance Elements				15A Critical Element (✓)	15B Exceeds Fully Successful	15C Meets Fully Successful	15D Does Not Meet Fully Successful	
1) Execution of Duties				✓	2			
2) Equal Opportunity & Civil Rights				✓	2			
3) Individual Contributions to the Team						1		
4)								
5)								
6)								
7)								
8)								
9)								
10)								
16B Decision Table (check off Summary Rating in block 16A) Rating of Outstanding if 15E equals 15H. Rating of Unacceptable 1/ if any critical element is rated in 15D. Rating of Superior if no element is rated in 15D; 15F is greater than zero; and 15E is greater than 15F. Rating of Marginal 2/ if 15G is greater than 15E, and no critical element is rated in 15D. Rating of Fully Successful if none of the above apply. 1/ Unsatisfactory for SES 2/ Minimally Satisfactory for SES					15E Exceeds 4	15F Meets 1	15G Does Not Meet 0	
					15H Enter total 15E + 15F + 15G = 15H			15H 5
16A Summary Rating (See Decision Table in 16B) <input type="checkbox"/> Outstanding <input checked="" type="checkbox"/> Superior <input type="checkbox"/> Fully Successful <input type="checkbox"/> Marginal 2/ <input type="checkbox"/> Unacceptable 1/					<input type="checkbox"/> Unsatisfactory for SES <input checked="" type="checkbox"/> Minimally Satisfactory for SES			
17 Employee (Check off appropriate box)				<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No				
18 Employee's Signature				Date _____ If employee did not sign, state reason.				
(Instructions for resolutions of disputes are on the reverse of employee copy.)								
19 Supervisor's Signature			Date _____		20 Reviewer's Signature			Date _____
21 Approving Official's or Funding Unit Manager's Signature (optional)			Date _____		22 FOR SES ONLY			
				PLA to ES _____		Bonus Amount _____		