

For: FSA Employees

FSA Performance Management Program

Approved by: Deputy Administrator, Management



1 Overview

A Background

In 1993, the Government Performance & Results Act established the idea of strategic planning and performance measurement in the Federal government. Building on this, the President’s Management Agenda, issued in 2002, focused on improving government performance; and on budget and performance integration. Also in 2002, Congress passed the Chief Human Capital Officer’s Act, which required OPM to design a set of systems for assessing the management of human capital by Federal agencies. This requirement resulted in the development of the Human Capital Assessment and Accountability Framework (HCAAF). A key implementing system of HCAAF is a results-oriented performance culture. According to OPM, a performance management program must effectively differentiate between high and low performance and develop employee performance plans that are aligned with and support organizational goals.

During FY 2005, when FSA was under a Pass/Fail performance management program, all employees, starting with senior managers, developed and implemented new performance plans that aligned with and supported the Agency’s organizational goals. During FY 2006, FSA implemented a new, 5-tiered performance management program that effectively differentiated between high and low performance.

It is the policy of FSA to maintain a performance management program for the purpose of improving individual and organizational effectiveness in accomplishing the Agency’s mission and goals. Beginning with the FY 2007 appraisal period, FSA is implementing a performance management program that builds on our former program, and develops and maintains a results-oriented performance culture in FSA.

B Purpose

This notice announces the FSA performance management program.

Disposal Date	Distribution
November 1, 2008	All FSA employees; State Offices relay to County Offices.

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1 Overview (Continued)

C Authorities

The FSA performance management program is based on the following:

- 5 U.S.C. Chapter 43
- 5 CFR Part 430
- USDA Performance Management Departmental Regulation.

D Labor-Management Obligations

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

E Coverage

The FSA performance management program applies to all FSA employees nationwide, except for:

- individuals in the Senior Executive Service (SES)
- individuals for which employment is not reasonably expected to exceed the minimum appraisal period (90 days) in a consecutive 12 month period

Note: Temporary intermittent employees would only be subject to the performance management system if they actually work a continuous 90-day period regardless of the length of their appointment.

- STC and COC members.

F Effective Date

The FSA performance management program was effective January 1, 2007.

G Action

All supervisors shall ensure that all of their employee's performance plans comply with the provisions of this notice. Any changes that need to be made to bring an employee's performance plan into compliance with this notice shall be completed no later than May 30, 2007.

H EmpowHR

EmpowHR (formerly known as I*CAMS) is a computer-based management tool used for various programs, 1 of which is performance management. All FSA field offices currently access EmpowHR using self-service EmpowHR. All other FSA offices may be adopting this at some point during FY 2007.

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2 Responsibilities

A Administrator Responsibilities

The Administrator is responsible for the following:

- monitoring program compliance with applicable laws and regulations, Department policies, and collective bargaining agreements
- ensuring program compliance with policy and program direction and administration
- developing and communicating the Agency mission, strategic goals, and objectives to all levels, to assist supervisors and managers in developing employee performance plans.

B Rating Official Responsibilities

Rating officials are responsible for the following:

- determining and communicating the appropriate FSA and USDA mission, goals, objectives, priorities, and relative performance measures and results to employees
- communicating performance expectations clearly and holding employees responsible by establishing individual performance plans and creating a performance culture and environment that promotes a high performing work unit
- engaging the employee in the process of establishing and documenting performance plans and providing a written copy of the performance plan at the beginning of each appraisal period or no later than 30 days after the beginning of each appraisal period or assignment of an employee to a position, or when performance plans are revised during the appraisal period
- ensuring that each employee's performance plan has at least 1 critical element that is aligned to the mission, goals, and outcomes of FSA and USDA
- monitoring performance during the rating period and providing feedback to employees on their performance, developing employees, and conducting 1 or more progress reviews as provided for in this notice
- preparing performance ratings in a timely manner, making meaningful distinctions among employees based on performance, and fostering and rewarding excellent performance and addressing poor performance.

2 Responsibilities (Continued)

C Reviewing Official Responsibilities

Reviewing officials are responsible for the following:

- managing individual and organizational performance and creating a work culture and environment that promotes a high-performing work unit
- implementing the principles, policies, procedures, and requirements of the performance management program within their span of control
- ensuring that rating officials carry out their performance management responsibilities and assessing the rating official's performance in fulfilling these responsibilities
- reviewing and approving the performance plans and ratings of their subordinate rating officials for consistency, fairness, objectivity, completeness, and to ensure plans reflect the larger organization's overall needs and goals
- ensuring equity and consistency in consideration for awards within their organization
- resolving disagreements between the rating officials and employees.

Note: In all discussions, the reviewing official shall make the final decision.

D Employee Responsibilities

Employees are responsible for the following:

- participating in discussions and documentation of their performance plan, with their rating official for developing performance elements, standards and measures; progress reviews; and summary ratings
- ensuring that they have a clear understanding of their performance expectations and how performance relates to the mission of the organization, and requesting clarification if necessary
- taking responsibility to continuously improve performance, support team endeavors, develop professionally, and perform at their full potential
- identifying work problems and cooperating with rating officials to resolve them
- seeking performance feedback from their rating official and internal and external customers as appropriate.

2 Responsibilities (Continued)

E Director, HRD Responsibilities

Director, HRD is responsible for the following:

- overseeing the performance management program and its results
- periodically evaluating the effectiveness and efficiency of the performance management program.

F Servicing Personnel Office (SPO's)

SPO's are responsible for the following:

- providing technical and operational support and advice to the rating and reviewing officials in administering 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 SPO according to 5 CFR Parts 293 and 297
- providing training on the performance management program to all employees.

3 Rating and Reviewing Official Exceptions

A General Rule

Unless otherwise specified, the rating official is the employee's first-line supervisor and the reviewing official is the employee's second-line supervisor. The exceptions to this rule are:

- CED
- Program Technician (PT).

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3 Rating and Reviewing Official Exceptions (Continued)

B CED Rating and Reviewing Official

For CED, the:

- rating official is the COC chairperson
- reviewing official is DD, who serves as the STC designee.

The CED's performance plan, mid-year review, or appraisal shall be handled according to the following. DD shall:

- work with the COC chairperson to prepare a draft AD-435, AD-435A, or AD-435B (whichever is necessary) for each CED

Notes: If CED has FLP duties as part of his/her performance agreement, the credit official for that area should be consulted when developing the rating/review.

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

- present draft AD-435, AD-435A, or AD-435B to CED for review and comment
 - work with COC chairperson to finalize AD-435, AD-435A, or AD-435B
 - present final AD-435, AD-435A, or AD-435B to CED
 - enter information on CED into EmpowHR
- Note:** DD will enter information into EmpowHR as the CED's rating official. The information will flow in EmpowHR to SED, who will act as the reviewing official. Once SED has approved the document, it will flow back to DD for review of any changes/updates made by the reviewing official and then to CED who will view and certify the document. The information will then flow back to DD.
- print a hard copy of the performance plan, mid-year review, or appraisal from EmpowHR
 - give printed performance plan, mid-year review, or appraisal to COC chairperson to sign as the rating official
 - sign printed performance plan, mid-year review, or appraisal as the reviewing official
 - give printed performance plan, mid-year review, or appraisal to CED for signature

Note: Provide a copy of the printed performance plan, mid-year review, or appraisal to CED for their records.

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3 Rating and Reviewing Official Exceptions (Continued)

B CED Rating and Reviewing Official (Continued)

- submit printed performance plan, mid-year review, or appraisal to the State Office for review, if required
- if working on performance plan or mid-year review, keep the original printed performance plan or mid-year review in a secure file for later review/rating
- follow through with completing the process in EmpowHR, so that the summary rating can be entered and transmitted to NFC electronically at the end of FY.

C PT Rating and Reviewing Official

The following are the rating and reviewing official for PT's working in County Offices with various workloads.

IF PT is a...	THEN the rating official is...	And the reviewing official is...
GS employee performing both farm program (FP) and FLP work	the Farm Loan Manager (FLM) in collaboration with CED	DD.
GS employee performing only FLP work	FLM	
CO employee performing only FP work	CED	DD, in collaboration with the COC chairperson.
CO employee performing both FP and FLP work	CED in collaboration with FLM	

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3 Rating and Reviewing Official Exceptions (Continued)

C PT Rating and Reviewing Official (Continued)

IF PT is a...	THEN the rating official is...	And the reviewing official is...
CO employee performing only FLP work	<p>FLM</p> <p>Note: Since CED is the supervisor of record for CO-PT, all performance plans/ratings will need to be signed on hard copy by FLM for CO-PT's who perform FLP work. CED will enter information into EmpowHR as PT's (performing FLP work only) rating official. The information will flow in EmpowHR to DD, who is the reviewing official. After DD has approved the document, it will flow to CED for review of any changes/updates by the reviewing official and on to PT for view and certification. The information will then flow back to CED. CED shall:</p> <ul style="list-style-type: none"> • print hard copy of the document from EmpowHR • sign printed document as rating official • give printed document to COC chairperson to sign off as reviewing official • present printed document to PT for their signature • give a copy of the printed document to PT • submit printed document to State Office for review, if required by State Office • if working on a performance plan or mid-year review, keep the original printed document in a secure file for later review/rating • follow through with completing the process in EmpowHR, so that the summary rating can be entered and transmitted to NFC electronically at the end of FY. 	DD.

Notes: In any instance where the rating or review is a collaborative process, the parties involved should discuss their positions. The “official” rating/reviewing official will then input all information for both parties.

The current workflow in EmpowHR shows CED as the rating official for CO-PT with DD as the reviewing official. For all instances where CO-PT performs both FP and FLP work or FLP work only, signatures of both FLM and CED are required. Hard copy documents will be necessary in these situations until EmpowHR can be modified.

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3 Rating and Reviewing Official Exceptions (Continued)

D Specific Field Office Situations

- All discussions on CED and CO-PT performance plans, mid-year reviews, or appraisals shall be documented in the COC executive minutes.
- DD's who do not yet have loan approval authority and are rating officials for FLM's should collaborate with the Farm Loan Chief on any elements that require knowledge of FLP. The parties involved should discuss their positions. DD will then input all information for both parties.
- If SED is the rating official for an employee, then DAFO is the reviewing official for that employee.
- All final ratings for CO employees may be grieved to the State Grievance Board according to 22-PM. GS employees may grieve a final rating according to 15-PM or applicable collective bargaining agreement.

4 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
- reviewed and, if necessary, amended, each time a work assignment changes significantly, up to 90 days before the end of the appraisal period.

Employees must be informed of and participate in any changes made to their performance plan.

Performance plans are documented:

- in EmpowHR for offices **using EmpowHR** (with the exception of situations listed in paragraph 3 which would be created and finalized on the hard copy of AD-435A and AD-435B and then data loaded with follow through in EmpowHR)
- on AD-435A and AD-435B for offices **not using EmpowHR**.

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4 Establishing Performance Plans (Continued)

A Appraisal Period and Documentation (Continued)

See:

- Exhibit 1 for an example of AD-435A and AD-435B for a field office position
- Exhibit 2 for an example of AD-435A and AD-435B for a headquarters employee.

B Employee Participation

Employee participation is **required** in establishing or revising AD-435A's and AD435B's which can be accomplished by whatever method works best for the parties concerned. For example, the supervisor could ask the employee to develop a draft AD-435A and AD435B for discussion or the supervisor him/herself could develop a draft AD-435A and AD435B for discussion. Where there are differences between the employee and the supervisor, however, the final decision shall be made by the reviewing official.

C Elements

The basis for elements are the requirements of the employee's position. Applicable sources for developing elements include position descriptions, work plans, organizational goals and objectives, and any other source that assigns or fixes responsibility for accomplishing work.

D Number of Elements

Supervisors shall establish at least 3 but no more than 5 performance elements. See Exhibit 3 for a list of elements from which the 3 to 5 elements can be selected. Other job specific elements may be created, if necessary, in addition to those elements listed in Exhibit 3.

The following **critical** elements in Exhibit 3 are **mandatory** for supervisors and managers:

- the "Supervision" element
- the "Supervisory Equal Opportunity and Civil Rights" element.

4 Establishing Performance Plans (Continued)

D Number of Elements (Continued)

Farm Loan Officer Trainee (FLOT) Trainers. The following **noncritical** element and associated standards are **mandatory** for FLOT Trainers.

- **Element.** “FLOT Trainer provides direct instruction and oversees hands-on work experiences that facilitate mastery of the key concepts, regulations, and practices related to performing the duties of a Farm Loan Officer.”
- **Standards.**
 - “Gives clear directions; lays out assignments in a well-planned and organized manner with no more than 2-3 exceptions as determined by the FLOT Coordinator and Farm Loan Chief (FLC).”
 - “Provides timely feedback and coaching for improvement with no more than 2 legitimate complaints, as determined by FLOT coordinator and FLC, received from the trainee that feedback is not provided.”
 - “Maintains 2-way dialogue with FLOT on work/results with no more than 2 legitimate complaints as determined by the FLOT Coordinator and FLPC. Any communications problems are brought to the FLOT Trainers attention within 24 to 30 hours.”
 - “Ensures that monthly, quarterly, or interim reports are submitted within established deadlines with no more than 1 exception.”

Note: For State and County Office employees:

- see Exhibit 4 for possible elements for each position
- see Exhibit 5 for possible standards for each element.

These elements and standards are **not** mandatory but are meant merely to assist supervisors in developing performance plans.

E Critical and Noncritical Elements

Supervisors shall determine what elements shall be critical and noncritical. Critical elements cover duties that are essential to the successful performance of the position. Elements aligned with Agency mission and goals, and, for supervisors and managers, the “Supervisory Equal Opportunity and Civil Rights” and the “Supervision” elements **must** be critical. At least 1 element must be critical and 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.

4 Establishing Performance Plans (Continued)

F EEO/CR Element for Nonsupervisors

Nonsupervisor. A separate EEO/CR element is **not** required for nonsupervisors. The element may be kept separate or built into another critical element. If the supervisor decides that there will not be a separate EEO/CR element, the following EEO/CR language **must** be built into the element description piece of another critical element.

“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 EEO/CR policies and responsibilities of Agency and Departmental goals of valuing a diverse, yet unified workforce.”

Supervisors will choose the appropriate element and develop at least 1 standard to address the EEO/CR component.

Note: If the EEO/CR element is kept separate, it **must** be critical.

G Standards

For each element selected, there **must** be at least 3 written standards for measuring performance of the element. Standards must be observable, measurable, and attainable by the employee. Standards need only be written at the “Meets Fully Successful” level in the performance plan. However, rating officials should be prepared to explain performance at the “Does Not Meet Fully Successful” and “Exceeds Fully Successful” levels. Do **not** include phrases like “other duties as assigned”.

- **Supervisors and Managers.** All employees with the “Supervision” element shall have the following standard in the “Supervision” element.

“Employee performance plans focus on results achieved, contain at least one element that is aligned with FSA and USDA mission, goals, and objectives, and are in place within 30 calendar days of the beginning of the appraisal period. Mid-year reviews are conducted according to Agency guidelines. Ratings are accurate and issued within 30 calendar days of the end of the appraisal period.”

- **All employees.** All performance plans shall contain the following health and safety standard. For:
 - **supervisors**, the following standard is required under any appropriate critical or noncritical element.

“Adheres to Safety and Occupational Health practices and procedures in order to promote and maintain a safe and healthful work environment for all employees. Upon report of unsafe/unhealthful condition, notifies appropriate office within 48 hours, and follows up and/or takes appropriate action until condition is resolved.”

4 **Establishing Performance Plans (Continued)**

G Standards (Continued)

- **nonsupervisors**, the following standard is required under any appropriate critical or noncritical element.

“Demonstrates a basic understanding of the Agency’s Safety and Health Program. Complies with safety and health rules and regulations that apply to all employees. Ensures all reports of unsafe and unhealthful conditions are reported to supervisor or designated official within 48 hours.”

- **DD’s, CED’s with loan approval authorities, FLM’s, and Farm Loan Officers (FLO’s) at a grade II are required to have and maintain loan approval authorities.** The following standard shall be added to the “Program Management” or “Execution of Duties” (or similar) element of DD’s, CED’s with loan approval authority, FLM’s, and grade 11 FLO’s performance plans.

“Acquires and meets the Agency’s standards necessary for maintaining loan approval authority and loan servicing authority.”

- **Grade 7/9 FLO’s with loan approval authority.** The following standard shall be added to the “Program Management” or “Execution of Duties” (or similar) element of grade 7/9 FLO’s with loan approval authority performance plans.

“Acquires and meets the Agency’s standards necessary for maintaining loan approval authority and loan servicing authority.”

- **Grade 5/7/9 FLO’s without loan approval authority and FLOT’s.** The following standard shall be added to the “Program Management” or “Execution of Duties” (or similar) element of grade 5/7/9 FLO’s and FLOT’s performance plans.

“Successfully completes assigned training and training activities within established timeframes.”

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4 Establishing Performance Plans (Continued)

G Standards (Continued)

- **Consent Decree Action Team (CDAT).** All employees assigned to work on CDAT shall have following **mandatory** element and standard.
 - **Element.** “Special projects: Detailed to Washington, DC, with the *Pigford v. Johanns* class action lawsuit project, commonly known as Consent Decree and/or Consent Decree Action Team (CDAT)”.
 - **Standard.** “Completes assignments in a competent, accurate, and thorough manner. Assignments completed comply with regulations and procedures; completed assignments reflect research and collaboration with others, as required. Works closely with contractors, DOJ, OIG, OGC, Monitor of Consent Decree, Finance Office personnel, DAFO, LMD, LSPMD, Farm Loan Chiefs, State Office personnel, County Office personnel, and peers to ensure that all aspects of the Consent Decree are met. Completes claim and petition reviews, processes implementations of debt relief, and provides research in priority cases. Ensures that all requirements of the Consent Decree are completed within the timeframes established by the court order. Works closely with and reports to DAFLP and CDAT Project Manager. Performs CDAT functions a minimum of ____% of the time.”

Note: CDAT supervisors will develop measures to address this part of the employee’s responsibilities.”

4 Establishing Performance Plans (Continued)

H Cascading Alignment

Performance plan alignment is an ongoing process and offices **must** continue this process into FY 2007 and beyond. Supervisors should develop performance plans for their employees that include at least 1 critical element with standards that identify clear and measurable tasks and results that are aligned to organizational goals. Alignment should be clear and transparent so that employees can see how their performance plans support organizational goal achievement. Merely including a generic statement in performance plans that employees support organizational goals is **not** adequate for communicating alignment. Simply restating organizational goals without also including the metrics for determining performance against those goals is **not** adequate. It should be possible to map the responsibility for specific organizational goals through the performance plans of the chain of responsibility (SES member, to manager, to supervisor) to the front-line employee.

In preparing for the performance plan, supervisors shall:

- ensure that all employees are aware of the Agency's and USDA's current Strategic Plan or organizational goals

Note: FSA's Strategic Plan can be found at http://bpms.wdc.usda.gov/zoneSP_jump.htm.

USDA's Strategic Plan can be found at <http://www.ocfo.usda.gov/usdasp/usdasp.htm>.

- communicate how organizational goals are linked and cascaded to individual performance, and how the employee's accomplishments support organizational goals within their organizations, through:
 - staff meetings
 - individual or team meetings
 - electronic and internal correspondence
- develop performance plans that include at least 1 critical element with standards that identify clear and measurable (quality, quantity, cost, and/or timely) tasks and results that are aligned to organizational goals for each individual.

Notes: State and County Office employees shall see Exhibit 6 for examples of performance standards that may be aligned.

Alignment should be made to the appropriate bullet in the SED's performance plan. See Exhibit 7 for element 5 of SED performance plan, "Program Management". See Exhibit 1 for an example of how this alignment can be accomplished.

4 Establishing Performance Plans (Continued)

H Cascading Alignment (Continued)

Aligned standards should be preceded by 1 of the following paragraphs, depending on which part of the strategic plan is being aligned to.

- “The following results-focused measures align with USDA Strategic Goal (), “(title of goal)”, Strategic Objective (), “(title of objective)” in the USDA Strategic Plan, and with FSA Strategic Goal (), “(title of goal)”, Strategic Objective (), “(title of objective)” in the FSA Strategic Plan:”
- “The following results-focused measures align with the USDA Management Initiative () in the Management Initiatives part of the USDA Strategic Plan, and with FSA Cross-Cutting Management Objective () in the Cross-Cutting Management Objectives part of the FSA Strategic Plan:”

I Results

All performance plans must include at least 1 critical element that holds the employee accountable for achieving expected results. This must be shown by explaining the results gained by the employee achieving each standard.

Example 1: “Receives and deposits payments within 18 to 24 hours of receipt. The result is a faster processing of customer payments. This is aligned to the organizational goal of supporting productive farms and ranches.”

Example 2: “Budget contains well-justified descriptions of budget requests, is accurate, and is completed by the established deadline. The result is a complete budget document. This is aligned to the organizational goal of improving strategic accountability.”

Results must be appropriate to the employee’s level of responsibility.

J Credible Measures

All performance plans must include balanced, credible measures.

Balanced, so that in addition to measuring expected results, the performance plans include appropriate measures, such as:

- quality, quantity, timeliness, and/or cost-effectiveness
- indicators of competencies.

4 Establishing Performance Plans (Continued)

J Credible Measures (Continued)

To be credible, performance expectations must be:

- based on job analysis
- clear, specific, and understandable
- reasonable and attainable
- measurable, observable, or verifiable
- foster continual improvement in productivity.

K Customer and Employee Perspectives

Performance plans for supervisors and managers must take into consideration customer and employee perspective.

- Customer perspective is considering the organization's performance through the eyes of its customers. Supervisors and managers must determine who their customers are and what those customers expect of them.
- Employee perspective focuses attention on the performance of the key internal processes that drive the organization, including employee development and retention. This perspective directs attention to the basis of all future success – the organization's people and infrastructure.

L Individual Development Plans (IDP)

As part of the performance planning process, employees are encouraged to discuss their short- and long-term learning and developmental goals with their supervisor and develop an IDP. IDP's contain elective training, education, and developmental activities in which employees may engage to acquire the competencies to meet IDP goals. Rating officials retain sole discretion to determine the extent of implementation for IDP and will do so after considering operational requirements and budgetary limitations.

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5 Processing Performance Plans Responsibilities

A Rating Officials Using EmpowHR Responsibilities

Rating officials **using EmpowHR** shall process performance plans according to the following.

Step	Action
1	<p>Enter the appropriate performance plan information through Manager Self-Service portion of EmpowHR. For each element selected, there must be standards for measuring performance of the element.</p> <p>Note: See http://www.fsa.usda.gov/FSA/hrdapp?area=home&subject=erpm&topic=prm for an example of the rating official actions in EmpowHR.</p>
2	Review performance plan for accuracy.
3	Send performance plan to reviewing official so the reviewing official can enter a check (✓) next to “Reviewed”.
4	<p>Upon receiving the performance plan from the reviewing official, send to the employee.</p> <p>After discussing each element and standard with the employee, ensure that the employee has entered a check (✓) next to “Viewed Discussed”.</p> <p>Note: Rating officials should attempt to resolve concerns the employee may have about their performance plan. If the employee refuses to sign their performance plan, the employee shall be advised that they will still be:</p> <ul style="list-style-type: none"> • placed under the performance plan • held accountable for the elements and standards as described in the performance plan.
5	<p>If the employee refuses to agree to the performance plan, print out a hard copy of the screen and annotate the copy as follows.</p> <p style="padding-left: 40px;">“The performance plan was presented to, and discussed with, the employee. The employee refused to agree to it”.</p>
6	The finalized performance plan will flow to the employee electronically. Hard copies are not required.

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5 Processing Performance Plans Responsibilities (Continued)

B Rating Officials Not Using EmpowHR Responsibilities

Rating officials **not using EmpowHR** shall process AD-435A's and AD-435B's according to the following.

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

C Reviewing Officials Using EmpowHR Responsibilities

Reviewing officials **using EmpowHR** shall process performance plans according to the following.

Step	Action
1	<p>Review employee's elements and standards, as submitted by the rating official, to ensure that the performance plan is:</p> <ul style="list-style-type: none"> • in conformance with FSA policy and guidelines • consistent with other performance plans in the work unit. <p>Note: See http://www.fsa.usda.gov/FSA/hrdapp?area=home&subject=erpm&topic=prm for an example of the reviewing official actions in EmpowHR.</p>
2	Enter a check (✓) next to “Reviewed”.

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5 Processing Performance Plans Responsibilities (Continued)

D Reviewing Officials Not Using EmpowHR Responsibilities

Reviewing officials **not using EmpowHR** shall process AD-435A's and AD-435B's according to the following.

Step	Action
1	Review employee's elements and standards, as submitted by the rating official, to ensure that AD-435A and AD-435B 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.

E Employees Using EmpowHR Responsibilities

Employees **using EmpowHR** shall process a performance plan according to the following.

Step	Action
1	Review presented performance plan with rating official.
2	Discuss elements and standards needing clarification.
3	Enter a check (✓) next to "Viewed Discussed". This action certifies that: <ul style="list-style-type: none"> • a discussion took place with the rating official 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 their satisfaction. <p>Notes: If the employee refuses to agree to the performance plan, they will still be held accountable for the elements and standards within it.</p> <p>See http://www.fsa.usda.gov/FSA/hrdapp?area=home&subject=erpm&topic=prm for an example of the employee actions in EmpowHR.</p>

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5 Processing Performance Plans Responsibilities (Continued)

F Employee Not Using EmpowHR Responsibilities

Employees **not using EmpowHR** shall process AD-435A's and AD-435B's according to the following.

Step	Action
1	Review presented AD-435A and AD-435B with rating official.
2	Discuss elements and standards needing clarification.
3	Enter a check (✓) next to "Viewed Discussed". The employee's "signature" certifies that: <ul style="list-style-type: none">• a discussion took place with the supervisor about AD-435A and AD-435B• the employee has seen AD-435A and AD-435B• the employee has viewed the standards of conduct and has had any questions answered to their satisfaction. <p>Note: If the employee refuses to sign AD-435A, the employee will still be held accountable for the elements and standards on AD-435A and AD-435B.</p>

6 Performance Reviews

A Mandatory Performance Reviews

The rating official shall:

- conduct at least 1 performance review during the 12-month appraisal period between the 5th and 8th month
- inform the employee of their level of performance as it relates to their performance elements and standards
- within 30 days of the performance review, document on the employee's performance plan that the performance review took place.

Note: See <http://www.fsa.usda.gov/FSA/hrdapp?area=home&subject=erpm&topic=prm> for an example of the rating official's actions using EmpowHR.

6 Performance Reviews (Continued)

B Periodic Optional Performance Reviews

Even though only a mid-year performance review is required, it is in the best interest of the rating official 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.

7 Documenting Performance

A Rating of Record

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. Rating officials and reviewing officials must rate appropriately against the standards in the employee's performance plan and must make distinctions in levels of performance. Rating shall be based only on actual employee accomplishments. Presumptive ratings are prohibited. Rating officials and reviewing officials will be held accountable for rating appropriately against the standards in the employee's performance plan and making distinctions in levels of performance.

Artificial targets, such as quotas, for performance appraisals should never be used to evaluate employee performance. Performance appraisals must be based on the individual accomplishments of the employee being rated.

B Reduction-in-Force (RIF)

For Federal employees, annual Ratings of Record are used to establish service credit and retention standing in the event of a RIF.

For CO employees, annual ratings of record are not used for this purpose. The RIF process for CO employees is based on the best qualifications, skills, and abilities available to handle program responsibilities, and not length of service. For CO employees, the service computation date (SCD) is only used as a tiebreaker, not as a ranking factor.

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7 Documenting Performance (Continued)

C Minimum Appraisal Period

To rate an employee:

- a performance plan must have been established either:
 - on AD-435A and AD-435B
 - in EmpowHR
- 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 to allow for a rating to be given.

D Obtaining and Completing Performance Appraisals Using EmpowHR

Rating officials **using EmpowHR** shall:

- enter summary ratings in the “Manager Self-Service” portion of EmpowHR
- review/respond to written comments entered by employees, as applicable
- verify the employee entered a check (✓) next to “Employee Viewed/Discussed Rating”.

E Obtaining and Completing AD-435 Not Using EmpowHR

Rating officials **not using EmpowHR** shall:

- use Microsoft Word versions of AD-435 (see Exhibit 8)
- complete AD-435 according to the instructions on the form.

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

7 Documenting Performance (Continued)

F Appraising Elements

The rating official 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 comprehensive written statement describing the employee's deficiencies for all elements rated at this level. Early identification and correction of poor performance is strongly recommended.

G Summary Ratings

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

- **"Outstanding"**. All appraisal units are rated "Exceeds Fully Successful".
- **"Superior"**. More appraisal units are rated "Exceeds Fully Successful" than are rated "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 are rated "Exceeds Fully Successful".
- **"Marginal" (Minimally Satisfactory)**. More appraisal units are rated "Does Not Meet Fully Successful" than are rated "Exceeds Fully Successful".

Note: If a critical element is rated "Does Not Meet Fully Successful", then the summary rating is automatically "Unacceptable".

- **"Unacceptable"**. One or more critical elements are rated "Does Not Meet Fully Successful".

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

7 Documenting Performance (Continued)

H Due Date

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

- by **October 30**
- according to subparagraph 9 A.

8 Reviewing Performance

A Rating Official Using EmpowHR Action

Rating officials **using EmpowHR** shall review the performance of their employees by:

- comparing the employee's performance of each element with the standards established in EmpowHR
- checking the appropriate rating level for each element
- if necessary, obtaining interim ratings from the employee's prior supervisors or detail supervisors. Rating official shall review and process in EmpowHR.

Note: For **CED**, the rating official is the COC chairperson. Hard copies of CED performance plans entered in EmpowHR must be signed by the COC chairperson. After a meeting between COC, DD, and CED, DD may then enter the CED's summary appraisal in EmpowHR and print out a hard copy for the COC chairperson's signature as supervisor. DD shall sign the hard copy as reviewing official, and CED shall sign the hard copy as employee. This will complete the official action on the hard copy. The review of summary ratings will be documented in the Executive Session of the COC meeting minutes. Follow through with completing the appraisal process based on reports to set up in EmpowHR so that the appraisal will transmit to NFC.

8 Reviewing Performance (Continued)

B Rating Official Not Using EmpowHR Action

Rating officials **not using EmpowHR** 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
- reviewing and signing AD-435.

Note: Supervisory employees detailed from their positions of record before the end of the appraisal period shall:

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

C Accountability for Performance Appraisals

Rating officials:

- shall ensure that the performance appraisal:
 - contains all elements
 - designates critical and noncritical elements
 - points 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 "Yes" or "No" on AD-435, item 17
 - contains the required signatures
- **using EmpowHR**, shall ensure the correct boxes have been checked
- **not using EmpowHR**, shall ensure the required signatures are entered on AD-435.

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8 Reviewing Performance (Continued)

D Providing Additional Information

Rating officials shall provide additional documentation to substantiate the rating for each element for each rating level given (i.e., for “Exceeds Fully Successful”, “Fully Successful”, and “Does Not Meet Fully Successful”) by:

- for offices **using EmpowHR**, entering an accomplishment statement in the “Accomplishment” block
- for offices **not using EmpowHR**, completing AD-435A, item 10 and AD-435B, item 10.

Note: If more space is needed than is provided on AD-435A and AD-435B, additional documentation may be provided on a piece of paper and attached to the rating.

E Completing the Performance Appraisal Using EmpowHR

Rating officials **using EmpowHR** shall complete the performance appraisal according to the following.

Step	Action
1	Enter the appropriate rating information through “Manager Self-Service” portion of EmpowHR. Note: See http://www.fsa.usda.gov/FSA/hrdapp?area=home&subject=erpm&topic=prm for an example of the supervisor, reviewing official, and employee actions in EmpowHR.
2	Obtain the reviewing official’s approval. Note: It is strongly recommended that the discussion between the supervisor and the reviewer be on a face-to-face basis. Alternative methods of communication, such as teleconference, may be used if face-to-face communication is not possible.
3	Discuss the approved rating and basis for the rating with the employee.
4	Verify the employee has entered a check (✓) next to “Employee Viewed/Discussed Rating”.
5	Forward the performance plan and the appraisal according to subparagraph 9 A. Hard copies are not required, except for CED’s, but can be printed by the employee or supervisor whenever needed.

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8 Reviewing Performance (Continued)

F Completing AD-435 Not Using EmpowHR

Rating officials **not using EmpowHR** shall complete AD-435 according to 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 KCHRO according to subparagraph 9 A.

G Reviewing Officials' Action

Reviewing officials:

- shall discuss the performance and rating of employees with rating officials
- shall change the ratings, if appropriate
- **using EmpowHR**, shall check (✓) the "Review Completed" box
- **not using EmpowHR**, shall sign AD-435, item 21 certifying approval of original or revised ratings
- shall return rating to the rating official for distribution according to subparagraph 9 A.

Note: In EmpowHR, the rating will flow electronically back to the supervisor.

8 Reviewing Performance (Continued)

H Employee Action

Employees:

- **using EmpowHR**, shall check (✓) the following:
 - “Employee Viewed/Discussed Rating” box
 - appropriate box for USDA regulations about employees’ responsibilities and conduct
- **not using EmpowHR**, shall:
 - sign AD-435, item 18
 - complete AD-435, item 17

Note: If the employee refuses to sign/accept the rating, rating officials:

- **using EmpowHR**, shall indicate the refusal in the “Reviewer Comments” box
- **not using EmpowHR**, shall indicate the refusal on AD-435, item 18
- forward the rating to the appropriate SPO according to subparagraph 7 B.

9 Distributing Appraisals, Rating Requirements, and Multiple Appraisals

A Distributing Performance Appraisals

The completed performance plan and appraisal shall be forwarded the completed to the appropriate SPO by October 30. For offices:

- **using EmpowHR**, hard copies of documents are **not** required

Note: Employees and supervisors can print a copy of their appraisal at any time.

- **not using EmpowHR**, supervisors shall distribute the completed AD-435 according to the following.

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 1 copy of AD-435, AD-435A and AD-435B’s for the supervisor’s files.

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

B Multiple Appraisals

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

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

10 Monitoring Performance

A Marginal Performance

If the employee's summary rating is "Marginal", the rating official **must** contact their SPO for guidance. The rating official shall:

- assist employee in improving less than "Fully Successful" performance in a noncritical element
- inform the employee as soon as the less than "Fully Successful" performance is apparent and give the employee a chance to demonstrate "Fully Successful" performance
- assist the employee by:
 - determining if training is needed
 - providing closer supervisory review of work
 - holding discussions and providing correction of work products
 - advising the employee when they have achieved "Fully Successful" performance.

A "Marginal" rating will result in the denial of a Within-Grade Increase.

B Unacceptable Performance

If the employee's summary rating is "Unacceptable", the rating official **must** contact their SPO for guidance. Rating officials shall:

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

OTI:

- provides formal notice to the employee that performance is unacceptable and provides the employee the opportunity to demonstrate "Fully Successful" performance
- may include activities like developmental assignments, structured employee assistance or counseling, formal or on-the-job training, and mentoring.

10 Monitoring Performance (Continued)

B Unacceptable Performance (Continued)

Careful records must be kept of the assistance offered and results achieved under OTI. Rating officials 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 “Fully Successful” performance
- a reasonable opportunity period, usually at least 90 calendar days, to demonstrate “Fully Successful” performance on the elements at issue
- notice that the employee **must** improve to the “Fully Successful” level by the conclusion of the opportunity period and **must** sustain that level of performance for at least 1 year from the start of OTI.

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 OTI.

An “Unacceptable” rating will result in the denial of Within-Grade Increase.

C Prior Administrative Actions

Administrative actions initiated against employees whose performance is “Unacceptable” under 5 U.S.C. 4303 or 5 U.S.C. 752 involving a performance management 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.

11 Performance

A Organizational Performance Assessment

Organizational unit performance will be assessed and communicated throughout the organization. Rating officials will be provided guidance on how unit performance should be considered when deciding ratings and awards.

B Performance Management Program Training

Each year, supervisors, managers, and employees will receive mandatory training and retraining on the requirements and operation of the performance management program. All supervisors, managers, and employees must know how the performance management program operates.

11 Performance (Continued)

C Performance Management Accountability

According to paragraphs 4 and 7, managers and supervisors will be held accountable for the performance management of their subordinates and must communicate with their employees continuously from the beginning to the end of the rating cycle, not just at certain times within it. At the end of the rating cycle, they must **accurately** rate their employee's performance. Corrective action will be taken against supervisors who fail to address performance deficiencies.

D Recognizing Performance

Employees receiving summary ratings of "Outstanding", "Superior", or "Fully Successful" should be considered for recognition. This recognition may be any of the following:

- QSI (can only be granted if the summary rating is "Outstanding")
- Performance Bonus
- Time Off Award
- any other form of recognition.

Note: Recognition is never automatic. External factors, such as budgetary constraints, may affect the availability of certain types of recognition.

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12 Evaluation and Additional Information

A Evaluation of the Performance Management Program

The performance management program 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 such issues as the correlation between the performance management program and any improvement of organizational performance, and employee/managerial satisfaction with the performance management program.

B Additional Information

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

IF the supervisor is located in...	THEN contact...
the National Office	Employee Programs Branch, HRD at 202-401-0679, 202-401-0694, or TTY at 202-205-9057.
1 of the following: <ul style="list-style-type: none">• APFO• Kansas City• St. Louis• State Office	KCHRO, Human Capital Management Section at 816-926-1630 or TTY at 800-735-2966.
County Office	State Office

Example of Field Office AD-435A and AD-435B

The following is an example of a field office AD-435A and AD-435B for an administrative specialist with EEO as a separate performance element.

AD-435A (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 1 of 5		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Campbell, Alexandra		2. POSITION TITLE Admin. Specialist				
3. AGENCY/DIVISION FSA/ (state)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
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						
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.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
The following results-focused standards align with USDA Goal "Management Initiatives", USDA Objective, "Improve Human Capital Management" in the USDA Strategic Plan, and with FSA Goal "Cross-cutting Management Objectives", Objective 2, "Strategically Managing Human Capital" in the FSA Strategic Plan and with the Performance Objective: "Ensure that individual performance plans are linked to SED goals within established timeframe with no more than 2-3 exceptions through the "Program Management" element in the State Executive Director's performance plan: Establishes a statewide procedure within established timeframe for county offices to routinely review county office payment procedures, emphasizing that all FSA prepayment requirements must be necessary met, including receipt of necessary documents and the proper completion of all forms.						
1. Prepares reports required with duties that are accurate and complete within established timeframes with only 1-3 exceptions.						
2. Ensures that operations occur in an efficient manner to support the program areas; like, printing and distributing materials, creating regulations and guidance, etc., with only 1-3 exceptions.						
3. Demonstrates a basic understanding of the Agency's Safety and Health Program. Complies with safety and health rules and regulations that apply to all employees. Ensures all reports of unsafe and unhealthful conditions are reported to supervisor or designated official within 48 hours.						
RESULT: The achievement of these standards will result in a more efficient and effective management of the agency's human capital.						
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.)						
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						

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 2 of 5		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Campbell, Alexandra		2. POSITION TITLE Admin Specialist				
3. AGENCY/DIVISION FSA/(state)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT						
No.	2	(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	
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.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
1. Responds to customer questions accurately and according to procedures with only 2-4 valid complaints. Responds by at least acknowledging receipt of an inquiry as soon as possible, but within 24 hours with no more than 4-6 exceptions. 2. Provides internal training that is accurate and given within established timeframes 85-95 percent of the time. 3. Receives no more than 4-6 valid customer complaints.						
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.)						

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 3 of 5	
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.) Campbell, Alexandra		2. POSITION TITLE Admin Specialist			
3. AGENCY/DIVISION FSA/(state)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD	
				5. START DATE 10/1/xx	6. END DATE 9/30/xx
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.)		<input checked="" type="checkbox"/>	CRITICAL
			<input type="checkbox"/> NONCRITICAL		
Non Supervisory Equal Opportunity and Civil Rights					
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.					
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)					
1. Attends 2-4 optional EEO/AA/Diversity information sessions provided/scheduled by supervisor.					
2. Assists supervisor or responsible individual with planning, preparing for, or presenting EEO/AA/Diversity information sessions 2-4 times per year.					
3. Consistently treats coworkers with respect, fairness, and politeness including socially-disadvantaged (SDA), females, and persons with disabilities with no more than 1-2 complaints. Relates well to people from various backgrounds and situations with no more than 1-2 complaints.					
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.)					

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 4 of 5	
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.) Campbell, Alexandra		2. POSITION TITLE Admin Specialist			
3. AGENCY/DIVISION FSA/ (state)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD	
				5. START DATE 10/1/xx	6. END DATE 9/30/xx
7. PERFORMANCE ELEMENT					
No.	4	(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
Communication					
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.					
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)					
1. Communicates clearly with customers and co-workers and shares accurate information with only 3-5 exceptions.					
2. Responds to general program questions within 24 hours with only 4-6 exceptions. Elevates more complex questions to supervisor, team leader, or other individual responsible within 2 hours of inquiry.					
3. Prepares written documents that are clear, concise, and understandable as well as following prescribed procedures within established timeframes with only 1-3 exceptions.					
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.)					

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet) (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 5 of 5
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET				
1. NAME (Last, First, M.I.) Campbell, Alexandra		2. POSITION TITLE Admin Specialist		
3. AGENCY/DIVISION FSA/(state)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD
		5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT				
No.	5	(Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)		<input type="checkbox"/> CRITICAL <input checked="" type="checkbox"/> NONCRITICAL
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.				
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)				
1. Reviews and analyzes temporary directive notices and handbook procedure on a daily basis 90-98 percent of the time. 2. Takes actions required by temporary directive notices or handbook procedure within the timeframes required with only 2-4 exceptions. 3. Asks questions for clarification and makes suggestions for implementation within the timeframes established by management with no more than 2-4 exceptions.				
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.)				

Example of Field Office AD-435A and AD-435B (Continued)

The following is an example of a field office AD-435A and AD-435B for an administrative specialist with EEO included in another performance element.

AD-435A (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 1 of 4		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Campbell, Alexandra		2. POSITION TITLE Admin. Specialist				
3. AGENCY/DIVISION FSA/ (state)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT						
No.	(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
1	Execution of Duties					
<p>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.</p>						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
<p>The following results-focused standards align with USDA Goal "Management Initiatives:", USDA Objective Improve Human Capital Management" in the USDA Strategic Plan, and with FSA Goal "Cross-cutting Management Objectives", Objective 2, "Strategically Managing Human Capital" in the FSA Strategic Plan and with the Performance Objective: Ensure that individual performance plans are linked to SED goals within established timeframe with no more than 5-6 exceptions through the "Program Management" element in the State Executive Director's performance plan: Meets reporting deadlines, with accurate information, for reports established by Deputy Administrator for Farm Programs (DAFP), Deputy Administrator for Field Operations or the Administrator.</p> <ol style="list-style-type: none"> Prepares reports required with duties that are accurate and complete within established timeframes with only 1-3 exceptions. Ensures that operations occur in an efficient manner to support the program areas; like, printing and distributing materials, creating regulations and guidance, etc., with only 1-3 exceptions. Demonstrates a basic understanding of the Agency's Safety and Health Program. Complies with safety and health rules and regulations that apply to all employees. Ensures all reports of unsafe and unhealthful conditions are reported to supervisor or designated official within 48 hours. <p>RESULT: The achievement of these standards will result in a more efficient and effective management of the agency's human capital.</p>						
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.)						
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						

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 2 of 4		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Campbell, Alexandra		2. POSITION TITLE Admin Specialist				
3. AGENCY/DIVISION FSA/(state)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT						
No.	2	(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
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.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
1. Responds to customer questions accurately and according to procedures with only 2-4 valid complaints. Responds by at least acknowledging receipt of an inquiry as soon as possible, but within 24 hours with no more than 4-6 exceptions.						
2. Provides internal training that is accurate and given within established timeframes 85-95 percent of the time.						
3. Receives no more than 4-6 valid customer complaints.						
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.)						

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 3 of 4		
(12-86) PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Campbell, Alexandra		2. POSITION TITLE Admin Specialist				
3. AGENCY/DIVISION FSA/(state)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT No. <input type="checkbox"/> 3 (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			
<p>Communication 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. EEO/CR: "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 EEO/CR policies and responsibilities of Agency and Departmental goals of valuing a diverse, yet unified workforce."</p>						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
<p>1. Communicates clearly with customers and co-workers and shares accurate information with only 3-5 exceptions.</p> <p>2. Responds to general program questions within 24 hours with only 4-6 exceptions. Elevates more complex questions to supervisor, team leader, or other individual responsible within 2 hours of inquiry.</p> <p>3. Prepares written documents that are clear, concise, and understandable as well as following prescribed procedures within established timeframes with only 1-3 exceptions.</p> <p>4. EEO/CR: Assists supervisor or responsible individual with planning, preparing for, or presenting EEO/AA/Diversity information sessions 2-4 times per year.</p>						
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.)						

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 4 of 4			
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET							
1. NAME (Last, First, M.I.)		2. POSITION TITLE					
Campbell, Alexandra		Admin Specialist					
3. AGENCY/DIVISION		4. PAY PLAN, SERIES, GRADE		APPRAISAL PERIOD			
FSA/ (state)		GS-		5. START DATE	6. END DATE		
				10/1/xx	9/30/xx		
7. PERFORMANCE ELEMENT							
No.	(Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)				CRITICAL	NONCRITICAL	
4	Research and Analysis				<input type="checkbox"/>	<input checked="" type="checkbox"/>	
<p>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.</p>							
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)							
<p>1. Reviews and analyzes temporary directive notices and handbook procedure on a daily basis 90-98 percent of the time.</p> <p>2. Takes actions required by temporary directive notices or handbook procedure within the timeframes required with only 2-4 exceptions.</p> <p>3. Asks questions for clarification and makes suggestions for implementation within the timeframes established by management with no more than 2-4 exceptions.</p>							
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.)							

Example of Field Office AD-435A and AD-435B (Continued)

The following is an example of a field office AD-435A and AD-435B for CED.

AD-435A (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 1 of 5		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Smith, John		2. POSITION TITLE CED				
3. AGENCY/DIVISION FSA/(state)/(county)		4. PAY PLAN, SERIES, GRADE CO-		APPRaisal PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
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
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.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
The following results-focused standards align with USDA Strategic Goal 2, "Enhance the Competitiveness and Sustainability of Rural and Farm Economies", Strategic Objective 2.3, "Provide Risk Management and Financial Tools to Farmers and Ranchers" in the USDA Strategic Plan, and with FSA Strategic Goal 1, "Supporting Productive Farms and Ranches", Strategic Objective 1.2, "Mitigating Market Losses" in the FSA Strategic Plan, and with the Performance Objective: "Ensure payment amounts are accurate and applications are complete with no more than 1-2 exceptions" in the Matrix of Aligned Possible Standards, through the "Program Management" element in the State Executive Director's performance plan: Improper Payments Standard 2: "Establishes a statewide procedure for county offices to routinely review county office payment procedures, emphasizing that all FSA prepayment requirements must be necessary met, including receipt of necessary documents and the proper completion of all forms" with no more than 1-2 exceptions.						
1. Ensures that applications for benefits are processed within required timeframes with no more than 1-2 exceptions.						
2. Ensures that producer payments are made within required timeframes with no more than 3-4 exceptions.						
3. Ensures that staff is fully trained in the program areas for which each employee is responsible within at least 5 days of being assigned the program or within at least 3 days of learning of changes in the program.						
RESULT: The achievement of these standards will result in more competitive, sustainable and productive farms and ranches.						
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.)						
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	
Reviewer's Name (Print)					Reviewer's Signature	
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						

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 2 of 5	
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.)		2. POSITION TITLE			
Smith, John		CBD			
3. AGENCY/DIVISION		4. PAY PLAN, SERIES, GRADE		APPRAISAL PERIOD	
FSA/(state)/(county)		CO-		5. START DATE	6. END DATE
				10/1/xx	9/30/xx
7. PERFORMANCE ELEMENT					
No.	(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"/>	<input type="checkbox"/>
2	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.			CRITICAL	NONCRITICAL
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)					
1. Ensures that customer applications are accurate and processed within established timeframes with only 1-3 exceptions.					
2. Ensures that payments are processed within timeframes with only 1-3 exceptions.					
3. Responds to other agencies (NRCS, RMS, Conservation Districts, Extension Services, etc.) regarding shared programs within established timeframes with only 1-5 exceptions.					
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.)					

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 3 of 5	
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.) Smith, John		2. POSITION TITLE CED			
3. AGENCY/DIVISION FSA/(state)/(county)		4. PAY PLAN, SERIES, GRADE CO-		APPRaisal PERIOD	
				5. START DATE 10/1/xx	6. END DATE 9/30/xx
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.)			<input checked="" type="checkbox"/> CRITICAL <input type="checkbox"/> NONCRITICAL
Supervisory Equal Opportunity and Civil Rights					
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.					
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)					
1. Provides Civil Rights/EEO/Sexual Harassment/Diversity information (USDA material) to employees through information sessions, staff meetings, etc. 2-4 times a year.					
2. Ensures that employees receive required Civil Rights, EEO, and Sexual Harassment training within established timeframes with no more than 1-2 exceptions.					
3. Responds to issues/actions/allegations according to agency procedures and within established timeframes with no more than 1-3 approved exceptions.					
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.)					

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 4 of 5
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET				
1. NAME (Last, First, M.I.)		2. POSITION TITLE		
Smith, John		CED		
3. AGENCY/DIVISION		4. PAY PLAN, SERIES, GRADE	APPRaisal PERIOD	
FSA/(state)/(county)		CO-	5. START DATE	6. END DATE
			10/1/xx	9/30/xx
7. PERFORMANCE ELEMENT				
No.	4	(Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)		
				X CRITICAL <input type="checkbox"/> NONCRITICAL
Supervision				
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.				
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)				
1. Employee performance plans focus on results achieved, contain at least one element that is aligned with organizational goals, contain at least one element that is aligned with FSA and USDA mission, goals, and objectives, and are in place within 30 days of the beginning of the appraisal period with no more than 1-2 exceptions. Mid year reviews are conducted according to Agency guidelines. Ratings are accurate and issued within 30 days of the end of the appraisal period with no more than 1-2 exceptions.				
2. Adheres to Safety and Occupational Health practices and procedures in order to promote and maintain a safe and healthful work environment for all employees. Upon report of unsafe/unhealthful condition, notifies appropriate office within 48 hours, and follows up and/or takes appropriate action until condition is resolved with no more than 1-2 exceptions.				
3. Ensures issues and problems are identified, documented, and dealt with in a timely manner (immediately for minor issues, usually within 1 week for others, or within agency established timeframes as applicable) 85-95 percent of the time.				
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"/>
			Does Not Meet	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)				

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet) (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 5 of 5	
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.) Smith, John		2. POSITION TITLE CED			
3. AGENCY/DIVISION FSA/ (state) / (county)		4. PAY PLAN, SERIES, GRADE CO-		APPRAISAL PERIOD	
				5. START DATE 10/1/xx	6. END DATE 9/30/xx
7. PERFORMANCE ELEMENT					
No.	5	(Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)			<input type="checkbox"/> CRITICAL <input checked="" type="checkbox"/> NONCRITICAL
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.					
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)					
1. Manages within the established budget for program, function, or work assigned; notifies appropriate individual of potential budget shortfalls at least 30 calendar days in advance with no more than 1-2 exceptions.					
2. Ensures that budget object codes are correctly entered with only 1-3 exceptions.					
3. Ensures that travel, training, and other administrative forms are properly completed, timely, and followed-up to ensure proper processing with only 1-3 exceptions.					
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.)					

Example of Field Office AD-435A and AD-435B (Continued)

The following is an example of a field office AD-435A and AD-435B for DD.

AD-435A (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 1 of 5		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Andrews, Natalie		2. POSITION TITLE DD				
3. AGENCY/DIVISION FSA/ (state)		4. PAY PLAN, SERIES, GRADE GS-		APPRaisal PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
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
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.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
The following results-focused standards align with USDA Strategic Goal 2, "Enhance the Competitiveness and Sustainability of Rural and Farm Economies", Strategic Objective 2.3, "Provide Risk Management and Financial Tools to Farmers and Ranchers" in the USDA Strategic Plan, and with FSA Strategic Goal 1, "Supporting Productive Farms and Ranches", Strategic Objective 1.2, "Mitigating Market Losses" in the FSA Strategic Plan, and with Performance Objective: "Ensure payment amounts are accurate, that necessary supporting documents are up to date and on file, and that applications are complete with no more than 1-2 exceptions in the Matrix of Possible Aligned Standards through the "Program Management" element in the State Executive Director's performance plan: Establishes a statewide procedure for county offices to routinely review county office payment procedures, emphasizing that all FSA prepayment requirements must be necessary met, including receipt of necessary documents and the proper completion of all forms" with no more than 1-2 exceptions.						
1. Successfully completes assigned Farm Loan Program training and training activities within established timeframes. Acquires and meets the Agency's standards necessary for maintaining loan approval authority and loan servicing authority.						
2. Achieves or makes progress on a monthly basis toward reducing delinquency rates within the States established goals with no more than 1-2 exceptions.						
3. Ensures that reviews are conducted and reports are filed and submitted within established timeframes with no more than 1-2 exceptions.						
RESULT: The achievement of these standards will result in more competitive, sustainable and productive farms and ranches.						
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.)						
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						

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 2 of 5	
(12-86) PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.) Andrews, Natalie		2. POSITION TITLE DD			
3. AGENCY/DIVISION FSA/ (state)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD	
				5. START DATE 10/1/xx	6. END DATE 9/30/xx
7. PERFORMANCE ELEMENT					
No.	2 (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"/>	<input type="checkbox"/>
	Customer Service			CRITICAL	NONCRITICAL
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.					
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)					
1. Responds to customer questions accurately and according to procedures with only 2-4 valid complaints. Responds by at least acknowledging receipt of an inquiry as soon as possible, but within 24 hours with only 4-6 exceptions.					
2. Provides internal training that is accurate and given within established timeframes 85-95 percent of the time.					
3. Responds to other agencies (NRCS, RMS, Conservation Districts, Extension Services, etc.) regarding shared programs within established timeframes with only 1-5 exceptions.					
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.)					

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 3 of 5	
(12-86) PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.) Andrews, Natalie		2. POSITION TITLE DD			
3. AGENCY/DIVISION FSA/(state)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD	
				5. START DATE 10/1/xx	6. END DATE 9/30/xx
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.)			<input checked="" type="checkbox"/>	<input type="checkbox"/>
				CRITICAL	NONCRITICAL
Supervisory Equal Opportunity and Civil Rights					
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.					
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)					
1. Reviews the USDA's civil rights policy with employees 2-4 times a year to ensure that customers and employees are treated in accordance with the policy					
2. Increases awareness of all FSA programs with all SDA groups of the following activities: provides information to SDA high schools, establishes partnerships with SDA institutions and community-based groups, provides articles and success stories to newsletters and newspapers, uses COC and/or SDA advisor to identify all SDA organizations, places informational posters in public facilities and churches or businesses serving socially-disadvantaged members by holding 1-3 outreach meetings per year with SDA groups.					
3. Develops an election outreach plan to increase the number of SDA producers on the COC within established timeframe that includes actively soliciting and accepting nominations from producers and groups representing SDA producers and holds 1-3 informational meetings in advance of the nomination period.					
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.)					

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet) (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 4 of 5	
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.) Andrews, Natalie			2. POSITION TITLE DD		
3. AGENCY/DIVISION FSA/ (state)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD	
				5. START DATE 10/1/xx	6. END DATE 9/30/xx
7. PERFORMANCE ELEMENT					
No.	4	(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
Supervision					
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.					
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)					
1. Employee performance plans focus on results achieved, contain at least one element that is aligned with organizational goals, contain at least one element that is aligned with FSA and USDA mission, goals, and objectives, and are in place within 30 days of the beginning of the appraisal period with no more than 1-2 exceptions. Mid year reviews are conducted according to Agency guidelines. Ratings are accurate and issued within 30 days of the end of the appraisal period with no more than 1-2 exceptions.					
2. Adheres to Safety and Occupational Health practices and procedures in order to promote and maintain a safe and healthful work environment for all employees. Upon report of unsafe/unhealthful condition, notifies appropriate office within 48 hours, and follows up and/or takes appropriate action until condition is resolved with no more than 1-2 exceptions.					
3. Conducts all requirements of the performance management cycle including encouraging 2-way discussions of planning, reviews, evaluations, and career development, setting goals, and conducting reviews and evaluations within established timeframes, encouraging and implementing on-going feedback throughout the year, 98-99 percent of the time.					
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.)					

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet) (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 5 of 5		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Andrews, Natalie		2. POSITION TITLE DD				
3. AGENCY/DIVISION FSA/ (state)		4. PAY PLAN, SERIES, GRADE GS -		APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT						
No.	5	(Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)			CRITICAL	<input checked="" type="checkbox"/> NONCRITICAL
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.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
1. Responds to general program questions within 24 hours with no more than 4-6 exceptions. Elevates more complex questions to supervisor, team leader, or other individual responsible within 2 hours of inquiry.						
2. Schedules staff meetings on a regular basis (at least monthly and after major program conferences and meetings or more often if required by management) with no more than 1-2 exceptions.						
3. Resolves disputes and problems with others through use of problem solving, conflict resolution, and negotiation with no more than 1-2 exceptions. Must respond to disputes and problems within 24 hours of becoming aware.						
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.)						

Example of Field Office AD-435A and AD-435B (Continued)

The following is an example of a field office AD-435A and AD-435B for FLO with EEO as a separate performance element.

AD-435A (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 1 of 5		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Williams, Christina		2. POSITION TITLE FLO				
3. AGENCY/DIVISION FSA/ (state)/ (county)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT						
No.	(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
1	Execution of Duties					
<p>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.</p>						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
<p>The following results-focused standards align with USDA Strategic Goal 2, "Enhance the Competitiveness and Sustainability of Rural and Farm Economies", Strategic Objective 2.3, "Provide Risk Management and Financial Tools to Farmers and Ranchers" in the USDA Strategic Plan, and with FSA Strategic Goal 1, "Supporting Productive Farms and Ranches", Strategic Objective 1.1, "Improving Access to Capital" in the FSA Strategic Plan, and with the Performance Objective: "Ensure the processing of loans within the State's established goals with no more than 2-3 exceptions" in the Matrix of Aligned Possible Standards through the "Program Management" element in the State Executive Director's performance plan: "Reduces direct loan processing time to 12-15 days.</p>						
<p>1. Successfully completes assigned Farm Loan Program training and training activities within established timeframes. Acquires and meets the Agency's standards necessary for maintaining loan approval authority and loan servicing authority.</p>						
<p>2. Achieves or makes progress on a monthly basis toward reducing delinquency rates within the States established goals with no more than 1-2 exceptions.</p>						
<p>3. Achieves use of EFT for 90-98 percent of payments.</p>						
<p>RESULT: The achievement of these standards will result in more competitive, sustainable and productive farms and ranches.</p>						
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.)						
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						

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 2 of 5	
(12-86) PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.) Williams, Christina		2. POSITION TITLE FLO			
3. AGENCY/DIVISION FSA/(state)/(county)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD	
				5. START DATE 10/1/xx	6. END DATE 9/30/xx
7. PERFORMANCE ELEMENT					
No.	2 (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"/>	<input type="checkbox"/>
				CRITICAL	NONCRITICAL
Non Supervisory Equal Opportunity and Civil Rights					
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.					
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)					
1. Applies the same eligibility criteria to applicants including SDA, females, and persons with disabilities to increase participation by these groups with no more than 1-2 exceptions.					
2. Ensures that customers are provided with the information required; that is, appeal rights, program information, deadlines, etc., including SDA, females, and persons with disabilities within established timeframes with no more than 1-2 exceptions.					
3. Participates in available training or other EEO/AA/Diversity related activities 2-4 times a year.					
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.)					

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 3 of 5		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Williams, Christina		2. POSITION TITLE FLO				
3. AGENCY/DIVISION FSA/(state)/(county)		4. PAY PLAN, SERIES, GRADE GS-		APPRaisal PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
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.)			<input checked="" type="checkbox"/> CRITICAL <input type="checkbox"/> NONCRITICAL	
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.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
1. Provides program benefit information to producers and other customers; such as, newsletters, counter information, producer meetings, producer organizations, newspaper articles, and radio announcements within established timeframes with no more than 1-3 exceptions. 2. Ensures that customer applications are accurate and processed within established timeframes with no more than 1-3 exceptions. 3. Demonstrates a basic understanding of the Agency's Safety and Health Program. Complies with safety and health rules and regulations that apply to all employees. Ensures all reports of unsafe and unhealthful conditions are reported to supervisor or designated official within 48 hours.						
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.)						

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 4 of 5	
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.) Williams, Christina		2. POSITION TITLE FLO			
3. AGENCY/DIVISION FSA/(state)/(county)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD	
				5. START DATE 10/1/xx	6. END DATE 9/30/xx
7. PERFORMANCE ELEMENT					
No.	4	(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
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.					
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)					
1. Prepares written documents that are clear, concise, and understandable as well as following prescribed procedures within established timeframes with only 1-3 exceptions. 2. Responds in writing (when appropriate) to customer inquiries within established timeframes with only 1-3 exceptions. 3. Regularly shares program information the employee is responsible for with co-workers to increase staff awareness of all program areas within timeframes established by management (cross-training, collaboration, reports at staff meetings, etc.) with only 1-3 exceptions.					
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.)					

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 5 of 5
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET				
1. NAME (Last, First, M.I.) Williams, Christina		2. POSITION TITLE FLO		
3. AGENCY/DIVISION FSA/(state)/(county)		4. PAY PLAN, SERIES, GRADE GS-	APPRAISAL PERIOD	
			5. START DATE 10/1/xx	6. END DATE 9/30/xx
7. PERFORMANCE ELEMENT				
No.	5	(Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)		
			CRITICAL	<input checked="" type="checkbox"/> NONCRITICAL
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.				
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)				
1. Assembles, indexes, and organizes work papers to expedite analysis and develop quality summaries and report segments with only 1-3 revisions by supervisor 85-95 percent of the time.				
2. Analyzes data to identify weaknesses, patterns, and trends that are communicated to supervisor and other required staff within established timeframes with no more than 1-2 exceptions.				
3. Prepares case files that are complete and accurate within established timeframes for use in legal or administrative forums with only 1-3 exceptions.				
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
			<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.)				

Example of Field Office AD-435A and AD-435B (Continued)

The following is an example of a field office AD-435A and AD-435B for FLO with EEO included in another performance element.

AD-435A (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 1 of 4		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Williams, Christina		2. POSITION TITLE FLO				
3. AGENCY/DIVISION FSA/(state)/(county)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
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						
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.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
The following results-focused standards align with USDA Strategic Goal 2, "Enhance the Competitiveness and Sustainability of Rural and Farm Economies", Strategic Objective 2.3, "Provide Risk Management and Financial Tools to Farmers and Ranchers" in the USDA Strategic Plan, and with FSA Strategic Goal 1, "Supporting Productive Farms and Ranches", Strategic Objective 1.1, "Improving Access to Capital" in the FSA Strategic Plan, and with the Performance Objective: "Ensure the processing of loans within the State's established goals with no more than 2-3 exceptions" in the Matrix of Aligned Possible Standards through the "Program Management" element in the State Executive Director's performance plan: "Reduces direct loan processing time to 12-15 days.						
1. Successfully completes assigned Farm Loan Program training and training activities within established timeframes. Acquires and meets the Agency's standards necessary for maintaining loan approval authority and loan servicing authority.						
2. Achieves or makes progress on a monthly basis toward reducing delinquency rates within the States established goals with no more than 1-2 exceptions.						
3. Achieves or demonstrates progress toward ensuring that no late payment interest accrues with no more than 1-2 exceptions.						
RESULT: The achievement of these standards will result in more competitive, sustainable and productive farms and ranches.						
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.)						
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		
Reviewer's Name (Print)				Reviewer's Signature		
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						

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 2 of 4		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Williams, Christina		2. POSITION TITLE FLO				
3. AGENCY/DIVISION FSA/(state)/(county)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT						
No.	2	(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
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.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
1. Provides program benefit information to producers and other customers; such as, newsletters, counter information, producer meetings, producer organizations, newspaper articles, and radio announcements within established timeframes with no more than 1-3 exceptions.						
2. Ensures that customer applications are accurate and processed within established timeframes with no more than 1-3 exceptions.						
3. Demonstrates a basic understanding of the Agency's Safety and Health Program. Complies with safety and health rules and regulations that apply to all employees. Ensures all reports of unsafe and unhealthful conditions are reported to supervisor or designated official within 48 hours.						
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.)						

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet) (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 3 of 4	
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.) Williams, Christina		2. POSITION TITLE FLO			
3. AGENCY/DIVISION FSA/(state)/(county)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD	
				5. START DATE 10/1/xx	6. END DATE 9/30/xx
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.)		<input checked="" type="checkbox"/>	CRITICAL
				<input type="checkbox"/>	NONCRITICAL
<p>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. EEO/CR: "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 EEO/CR policies and responsibilities of Agency and Departmental goals of valuing a diverse, yet unified workforce."</p>					
<p>8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)</p>					
<p>1. Prepares written documents that are clear, concise, and understandable as well as following prescribed procedures within established timeframes with only 1-3 exceptions.</p> <p>2. Responds in writing (when appropriate) to customer inquiries within established timeframes with only 1-3 exceptions.</p> <p>3. Regularly shares program information the employee is responsible for with co-workers to increase staff awareness of all program areas within timeframes established by management (cross-training, collaboration, reports at staff meetings, etc.) with only 1-3 exceptions.</p> <p>4. EEO/CR: Applies the same eligibility criteria to applicants including SDA, females, and persons with disabilities to increase participation by these groups with no more than 1-2 exceptions.</p>					
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.)					

Example of Field Office AD-435A and AD-435B (Continued)

The following is an example of a field office AD-435A and AD-435B for PT with EEO as a separate performance element.

AD-435A (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 1 of 5	
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.) Jones, Jane		2. POSITION TITLE PT			
3. AGENCY/DIVISION FSA/(state)/(county)		4. PAY PLAN, SERIES, GRADE CO-		APPRAISAL PERIOD	
				5. START DATE 10/1/xx	6. END DATE 9/30/xx
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					
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.					
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)					
The following results-focused standards align with USDA Strategic Goal 2, "Enhance the Competitiveness and Sustainability of Rural and Farm Economies", Strategic Objective 2.3, "Provide Risk Management and Financial Tools to Farmers and Ranchers" in the USDA Strategic Plan, and with FSA Strategic Goal 1, "Supporting Productive Farms and Ranches", Strategic Objective 1.2, "Mitigating Market Losses" in the FSA Strategic Plan and with the Performance Objective: "Ensures that payment amounts are accurate, that necessary supporting documents are up to date and on file, and that applications are complete with no more than 1-2 exceptions" in the Matrix of Aligned Possible Standards, through the "Program Management" element in the State Executive Director's performance plan: Establishes a statewide procedure for county offices to routinely review county office payment procedures, emphasizing that all FSA prepayment requirements must be met, including receipt of necessary documents and the proper completion of all forms with no more than 2-3 exceptions.					
1. Deposits and processes payments within 24 hours of receipt, in accordance with FSA policy with only 1-3 exceptions.					
2. Loads software within 2 workdays of receipt with only 3-5 exceptions.					
3. Achieves or makes progress toward ensuring payment amounts are accurate with no more than 1-2 exceptions.					
RESULT: The achievement of these standards will result in more competitive, sustainable and productive farms and ranches.					
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.)					
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					

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 2 of 5	
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.) Jones, Jane		2. POSITION TITLE PT			
3. AGENCY/DIVISION FSA/ (state) / (county)		4. PAY PLAN, SERIES, GRADE CO-		APPRAISAL PERIOD	
				5. START DATE 10/1/xx	6. END DATE 9/30/xx
7. PERFORMANCE ELEMENT					
No.	2	(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
Non Supervisory Equal Opportunity and Civil Rights					
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.					
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)					
1. Consistently treats coworkers with respect, fairness, and politeness including socially-disadvantaged (SDA), females, and persons with disabilities with no more than 1-2 complaints. Relates well to people from various backgrounds and situations with no more than 1-2 complaints.					
2. Consistently treats customers/producers with respect, fairness, and politeness including SDA, females, and persons with disabilities with no more than 1-2 complaints.					
3. Brings discriminatory issues or actions to the attention of the supervisor or other appropriate official as soon as possible but no later than 24 hours after occurrence with no more than 1-2 exceptions.					
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"/>
				Does Not Meet	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)					

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet) (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 3 of 5
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET				
1. NAME (Last, First, M.I.) Jones, Jane		2. POSITION TITLE PT		
3. AGENCY/DIVISION FSA/(state)/(county)		4. PAY PLAN, SERIES, GRADE CO-	APPRAISAL PERIOD	
			5. START DATE 10/1/xx	6. END DATE 9/30/xx
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.)		<input checked="" type="checkbox"/> CRITICAL	<input type="checkbox"/> NONCRITICAL	
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.				
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)				
1. Ensures external customers are acknowledged within 3 minutes of the time they enter the office with no more than 6-10 exceptions.				
2. Uses a customer transaction checklist to ensure all required information is obtained and applications are completed and accurate with no more than 3-5 exceptions.				
3. Provides program benefit information to producers and other customers; such as, newsletters, counter information, producer meetings, producer organizations, newspaper articles, and radio announcements within established timeframes with no more than 1-3 exceptions.				
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.)				

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 4 of 5
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET				
1. NAME (Last, First, M.I.) Jones, Jane		2. POSITION TITLE PT		
3. AGENCY/DIVISION FSA/(state)/(county)		4. PAY PLAN, SERIES, GRADE CO-		APPRAISAL PERIOD
		5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT				
No.	4	(Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)		
Communications		<input checked="" type="checkbox"/>	CRITICAL	<input type="checkbox"/>
NONCRITICAL				
<p>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.</p>				
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)				
<p>1. Prepares written documents that are clear, concise, and understandable as well as following prescribed procedures within established timeframes with only 2-3 exceptions.</p> <p>2. Responds to general program questions within 24 hours with no more than 3-6 exceptions. Elevates more complex questions to supervisor, team leader, or other individual responsible within 2 hours of inquiry with no more than 2-3 exceptions.</p> <p>3. Demonstrates a basic understanding of the Agency's Safety and Health Program. Complies with safety and health rules and regulations that apply to all employees. Ensures all reports of unsafe and unhealthful conditions are reported to supervisor or designated official within 48 hours With no more than 2-3 exceptions.</p>				
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.)				

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 5 of 5		
(12-86) PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Jones, Jane		2. POSITION TITLE PT				
3. AGENCY/DIVISION FSA/(state)/(county)		4. PAY PLAN, SERIES, GRADE CO-		APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT						
No.	5 (Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)			CRITICAL	<input checked="" type="checkbox"/> NONCRITICAL	
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. Willingly accepts and acts on constructive criticism.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
1. Demonstrates collaborative efforts between farm programs and farm loan programs by regularly sharing information and providing other support. Attends and participates in joint staff meetings with only 1-2 exceptions (unless excused because of scheduled leave).						
2. Regularly cooperates with coworkers and others in meeting commitments and accomplishing assigned work on time; such as, sharing information freely with only 1-3 exceptions.						
3. Responds constructively to feedback within 24 hours, seeking ways to improve with no more than 1-2 exceptions.						
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.)						

Example of Field Office AD-435A and AD-435B (Continued)

The following is an example of a field office AD-435A and AD-435B for PT with EEO included in another performance element.

AD-435A (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 1 of 4		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Jones, Jane		2. POSITION TITLE PT				
3. AGENCY/DIVISION FSA/(state)/(county)		4. PAY PLAN, SERIES, GRADE CO-		APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
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						
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.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
The following results-focused standards align with USDA Strategic Goal 2, "Enhance the Competitiveness and Sustainability of Rural and Farm Economies", Strategic Objective 2.3, "Provide Risk Management and Financial Tools to Farmers and Ranchers" in the USDA Strategic Plan, and with FSA Strategic Goal 1, "Supporting Productive Farms and Ranches", Strategic Objective 1.2, "Mitigating Market Losses" in the FSA Strategic Plan and with the Performance Objective: Ensures that are accurate, that necessary supporting documents are up to date and on file, and that applications are complete with no more than 1-2 exceptions in the Matrix of Aligned Possible Standards, through the "Program Management" element in the State Executive Director's performance plan: Establishes a statewide procedure for county offices to routinely review county office payment procedures, emphasizing that all FSA prepayment requirements must be met, including receipt of necessary documents and the proper completion of all forms" with no more than 2-3 exceptions.						
1. Deposits and processes payments within 24 hours of receipt, in accordance with FSA policy with no more than 1-3 exceptions.						
2. Loads software within 2 workdays of receipt with only 3-5 exceptions.						
3. Achieves or makes progress toward ensuring payment amounts are accurate with no more than 1-2 exceptions.						
RESULT: The achievement of these standards will result in more competitive, sustainable and productive farms and ranches.						
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.)						
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						

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 2 of 4		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Jones, Jane		2. POSITION TITLE PT				
3. AGENCY/DIVISION FSA/ (state) / (county)		4. PAY PLAN, SERIES, GRADE CO-		APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT						
No.	2	(Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)			X	CRITICAL
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.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
1. Ensures external customers are acknowledged within 3 minutes of the time they enter the office with no more than 6-10 exceptions.						
2. Uses a customer transaction checklist to ensure all required information is obtained and applications are completed and accurate with no more than 3-5 exceptions.						
3. Provides program benefit information to producers and other customers; such as, newsletters, counter information, producer meetings, producer organizations, newspaper articles, and radio announcements within established timeframes with no more than 1-3 exceptions.						
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.)						

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 3 of 4	
(12-86) PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.) Jones, Jane		2. POSITION TITLE PT			
3. AGENCY/DIVISION FSA/ (state)/ (county)		4. PAY PLAN, SERIES, GRADE CO-		APPRAISAL PERIOD	
				5. START DATE 10/1/xx	6. END DATE 9/30/xx
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.)			<input checked="" type="checkbox"/>	CRITICAL
				<input type="checkbox"/>	NONCRITICAL
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. EEO/CR: "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 EEO/CR policies and responsibilities of Agency and Departmental goals of valuing a diverse, yet unified workforce."					
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)					
1. Prepares written documents that are clear, concise, and understandable as well as following prescribed procedures within established timeframes with only 2-3 exceptions.					
2. Responds to general program questions within 24 hours with no more than 3-6 exceptions. Elevates more complex questions to supervisor, team leader, or other individual responsible within 2 hours of inquiry with no more than 2-3 exceptions.					
3. Demonstrates a basic understanding of the Agency's Safety and Health Program. Complies with safety and health rules and regulations that apply to all employees. Ensures all reports of unsafe and unhealthful conditions are reported to supervisor or designated official within 48 hours With no more than 2-3 exceptions.					
4. EEO/CR: Consistently treats customers/producers/coworkers with respect, fairness, and politeness including SDA, females, and persons with disabilities with no more than 1-2 complaints.					
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.)					

Example of Field Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 4 of 4	
(12-86) PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.) Jones, Jane		2. POSITION TITLE PT			
3. AGENCY/DIVISION FSA/(state)/(county)		4. PAY PLAN, SERIES, GRADE CO-		APPRAISAL PERIOD	
				5. START DATE 10/1/xx	6. END DATE 9/30/xx
7. PERFORMANCE ELEMENT					
No.	(Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)			CRITICAL	NONCRITICAL
4	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. Willingly accepts and acts on constructive criticism.			<input type="checkbox"/>	<input checked="" type="checkbox"/>
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)					
1. Demonstrates collaborative efforts between farm programs and farm loan programs by regularly sharing information and providing other support. Attends and participates in joint staff meetings with only 1-2 exceptions (unless excused because of scheduled leave).					
2. Regularly cooperates with coworkers and others in meeting commitments and accomplishing assigned work on time; such as, sharing information freely with only 1-3 exceptions.					
3. Responds constructively to feedback within 24 hours, seeking ways to improve with no more than 1-2 exceptions.					
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"/>
				Does Not Meet	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)					

Example of National Office AD-435A and AD-435B

The following is an example of a National Office AD-435A and AD-435B.

AD-435A (12-86)	UNITED STATES DEPARTMENT OF AGRICULTURE PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET	Page of
1. NAME (Last, First, M.I.) Smith, Jane		2. POSITION TITLE Loan Specialist
3. AGENCY/DIVISION FSA/FLP/LMD		4. PAY PLAN, SERIES, GRADE GS-
		APPRAISAL PERIOD
		5. START DATE 1/1/07
		6. END DATE 9/30/07
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 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. 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.		
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)		
The following results-focused measures align with USDA Strategic Goal (), "(title of goal)", Strategic Objective (), "(title of objective)" in the USDA Strategic Plan, and with FSA Strategic Goal (), "(title of goal)", Strategic Objective (), "(title of objective)" in the FSA Strategic Plan:		
(insert appropriate aligned measure)		
+		
(at least 2 other measures - including at least 1 EEO/CR measure)		
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 <input type="checkbox"/> Fully Successful <input type="checkbox"/> Does Not Meet <input type="checkbox"/>
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		

Example of National Office AD-435A and AD-435B (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page of	
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.) Smith, Jane		2. POSITION TITLE Loan Specialist			
3. AGENCY/DIVISION FSA/FLP/LMD		4. PAY PLAN, SERIES, GRADE GS-		APPRaisal PERIOD	
				5. START DATE 1/1/07	6. END DATE 9/30/07
7. PERFORMANCE ELEMENT					
No.	2	(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		
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.					
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.) Demonstrates a basic understanding of the Agency's Safety and Health Program. Complies with safety and health rules and regulations that apply to all employees. Ensures all reports of unsafe and unhealthful conditions are reported to supervisor or designated official within 48 hours (at least 2 other measures)					
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.)					

Possible Elements

The following is a list of elements that 3 to 5 performance elements shall be selected and included in the performance plan. Supervisors shall designate which elements are critical and noncritical. See Exhibit 4 for suggested elements for most field office positions.

Elements	Description
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.
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.
Supervision Important: 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.
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.
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.
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.
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.
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

Possible Elements (Continued)

Elements	Description
Supervisory Equal Opportunity and Civil Rights Important: 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.
Nonsupervisory Equal Opportunity & Civil Rights	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.
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.
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. Willingly accepts and acts on constructive criticism.

Possible Elements for Field Office Positions

The following provides suggestions for elements for each field office position.

Cluster	Positions	Elements
Management: County Office	County Executive Director CO-7, 9, 11, 12	4 critical (choose at least 1): program management, customer service, civil rights, and supervision.
	Farm Loan Manager GS-11, 12	1 noncritical (choose at least 1): communication, research and analysis, or resource management.
Program Technician: County Office	Program Technician CO/GS-3, 4, 5, 6, 7	4 critical (choose at least 1): execution of duties, civil rights, customer service, and communications.
	Lead Program Technician CO-8: Shared Management	
	Chief Program Technician CO-9: Supervisor	1 noncritical (choose at least 1): individual contributions to the team/team leadership, resource management, or research and analysis.
	Program Technician-In-Charge CO-7, 8, 9, 11	
Farm Loan: County Office	Farm Loan Officer GS-7, 9, 11	4 critical (choose at least 1): execution of duties, civil rights, customer service, and communications.
	Farm Loan Program Technician GS-3, 4, 5, 6, 7	1 noncritical (choose at least 1): research and analysis or individual contributions to the team/team leadership.
Administrative/ Specialist/ Appraiser: State Office	Ag Program Specialist GS-9, 11, 12	4 critical (choose at least 1): execution of duties, civil rights, customer service, and communications.
	Farm Loan Specialist GS-11, 12	
	Appraiser GS-9, 11, 12	1 noncritical (choose at least 1): research and analysis, individual contributions to the team (use team leadership if appropriate), or resource management.
	Assistant AO/HR Specialist/Admin Specialist GS-9, 11, 12	
	Outreach/Information/EEO GS-11, 12	
	County Operations Reviewer GS-7, 9, 11, 12	
	GIS Specialist/Coordinator GS-9, 11, 12	

Possible Elements for Field Office Positions (Continued)

Cluster	Positions	Elements
Secretary/Assistant: State Office	SED Secretary GS-7	4 critical (choose at least 1): execution of duties, civil rights, customer service, and communication.
	Program Assistant GS-7	
	Program Technicians GS-3, 4, 5, 6, 7	1 noncritical (choose at least 1): research and analysis, individual contributions to the team, or resource management.
	Print Shop Operator/Mail Clerk GS-3, 5, 7	
Management: State Office	District Director GS-12, 13	4 critical (choose at least 1): program management, customer service, civil rights, and supervision.
	Farm Program Chief GS-13	
	Farm Loan Program Chief GS-13	1 noncritical (choose at least 1): communication, resource management or research and analysis.
	Chief Administrative Officer GS-13	
	Executive Officer GS-13, 14	
Contracting and Procurement: State Office	Contracting GS-7, 9, 11	4 critical (choose at least 1): execution of duties, civil rights, customer service, and communication.
	Procurement GS-7, 9, 11	1 noncritical (choose at least 1): resource management or research and analysis.
Trainee	County Operations Trainee CO-5, 7, 9	4 critical (choose at least 1): execution of duties, civil rights, customer service, and communication.
	Farm Loan Officer Trainee GS-7, 9, 11	1 noncritical (choose at least 1): research and analysis.

Examples of Standards for Each Element

Important: The following are examples of standards that can be used. They do not have to be used verbatim. Supervisors can change percentages, numbers, etc., depending on the individual situation.

A Civil Rights (Nonsupervisory)

Attends 2-4 optional EEO/AA/Diversity information sessions provided/scheduled by supervisor.

Assists supervisor or responsible individual with planning, preparing for, or presenting EEO/AA/Diversity information sessions 2-4 times per year.

Consistently treats coworkers with respect, fairness, and politeness including socially-disadvantaged (SDA), females, and persons with disabilities with no more than 1-2 complaints. Relates well to people from various backgrounds and situations with no more than 1-2 complaints.

Consistently treats customers/producers with respect, fairness, and politeness including SDA, females, and persons with disabilities with no more than 1-2 complaints.

Brings discriminatory issues or actions to the attention of the supervisor or other appropriate official as soon as possible but no later than 24 hours after occurrence.

Ensures that the Civil Rights/EO actions and correspondence file is up-to-date and complete throughout the year, within the timeframes established by management, with only 1-3 exceptions.

Applies the same eligibility criteria to applicants including SDA, females, and persons with disabilities to increase participation by these groups with no more than 1-2 exceptions.

Ensures that customers are provided with the information required; that is, appeal rights, program information, deadlines, etc., including SDA, females, and persons with disabilities within established timeframes with no more than 1-2 exceptions.

Participates in available training or other EEO/AA/Diversity related activities 2-4 times a year.

Completes required Civil Rights/EEO/Sexual Harassment training within established timeframes with no more than 1-2 exceptions.

Reviews and meets requirements established in Notice AO-1351 with no more than 1-2 exceptions.

Note: Each element must have at least 3 standards.

Examples of Standards for Each Element (Continued)**B Civil Rights (Supervisory)**

Ensures that 95-99 percent of employees have measurable civil rights performance elements in their annual performance plans within established timeframes.

Provides Civil Rights/EEO/Sexual Harassment/Diversity information (USDA material) to employees through information sessions, staff meetings, etc. 2-4 times a year.

Ensures that employees receive required Civil Rights, EEO, and Sexual Harassment training within established timeframes with no more than 1-2 exceptions.

Responds to issues/actions/allegations according to FSA procedures and within established timeframes with only 1-3 approved exceptions.

Takes action to reduce the number of valid employee complaints by actions such as increasing information provided for interpersonal skills training to employees, etc. 2-4 times annually.

Reviews the USDA's Civil Rights policy with employees 2-4 times a year to ensure that customers and employees are treated according to the policy

Increases awareness of all FSA programs with all SDA groups of the following activities:

- provides information to SDA high schools
- establishes partnerships with SDA institutions and community-based groups
- provides articles and success stories to newsletters and newspapers
- uses COC and/or SDA advisor to identify all SDA organizations
- places informational posters in public facilities and churches or businesses serving SDA members by holding 1-3 outreach meetings per year with SDA groups.

Develops an election outreach plan to increase the number of SDA producers on COC within established timeframe that includes actively soliciting and accepting nominations from producers and groups representing SDA producers and holds 1-3 informational meetings in advance of the nomination period.

Is available to meet with SDA groups to fully explain COC nomination and election procedures 90-95 percent of the time and provides all election information to all SDA groups in the county annually and timely with no more than 1-2 exceptions.

Increases the number of SDA candidates by 1-3 percent for COC based on election outreach plan.

Examples of Standards for Each Element (Continued)**B Civil Rights (Supervisory) (Continued)**

Encourages employees to attend training to increase interpersonal skills; such as cross-cultural communication, negotiation, dispute resolution, problem solving, active listening, etc. by including the recommended training on a timely established IDP followed by discussion and by following up with employees about the status of training 2-4 times during the year.

Provides pro-active assistance to employees to help with problem solving and resolving conflicts. Results based on employee feedback, surveys, random oral surveys from 2nd level supervisor, and providing employee skills training in related topics by providing information at 1-3 staff meetings.

Meets USDA-established Civil Rights/EEO goals for recruitment, selection, promotion, training, awards, and other personnel activities with no more than 1-2 exceptions.

Models appropriate behavior by treating employees, peers, supervisors, and customers with respect, fairness, and politeness with no more than 1-2 complaints.

Ensures requirements of Notice AO-1351 are met with no more than 1-2 exceptions.

Ensures that complete application materials are provided to all customers or potential customers of FSA, ensuring that all SDA and persons with disabilities receive complete applications within established timeframes with no more than 1-2 exceptions.

Ensures that all SDA and persons with disabilities are provided guidance and instructions for completing applications for loans or farm program benefits within established timeframes with no more than 1-2 exceptions.

Note: Each element must have at least 3 standards.

Examples of Standards for Each Element (Continued)**C Communications**

Communicates clearly with producers and shares accurate information with only 3-5 exceptions.

Responds to general program questions within 24 hours with only 4-6 exceptions. Elevates more complex questions to supervisor, team leader, or other individual responsible within 2 hours of inquiry.

Schedules staff meetings on a regular basis, at least monthly and after major program conferences and meetings or more often if required by management. **(Supervisors only)**

Prepares written documents that are clear, concise, and understandable as well as following prescribed procedures within established timeframes with only 1-3 exceptions.

Responds in writing, when appropriate, to customer inquiries within established timeframes with only 1-3 exceptions.

Regularly shares program information the employee is responsible for with co-workers to increase staff awareness of all program areas within timeframes established by management (cross-training, collaboration, reports at staff meetings, etc.) with only 1-3 exceptions.

Resolves disputes and problems with others through use of problem solving, conflict resolution, and negotiation with no more than 1-2 exceptions. Must respond to disputes and problems within 24 hours of becoming aware.

Note: Each element must have at least 3 standards.

Examples of Standards for Each Element (Continued)**D Customer Service**

Responds to customer questions accurately and according to procedures with only 2-4 valid complaints. Responds by at least acknowledging receipt of an inquiry as soon as possible, but within 24 hours with only 4-6 exceptions.

Provides internal training that is accurate and given within established timeframes 85-95 percent of the time.

Completes assigned program training within established timeframes 85-95 percent of the time.

Ensures external customers are acknowledged within 3 minutes of the time they enter the office with only 6-10 exceptions.

Uses a customer transaction checklist to ensure all required information is obtained and applications are completed and accurate with only 3-5 exceptions.

Provides program benefit information to producers and other customers; such as, newsletters, counter information, producer meetings, producer organizations, newspaper articles, and radio announcements within established timeframes with only 1-3 exceptions.

Ensures that customer applications are accurate and processed within established timeframes with only 1-3 exceptions.

Ensures that payments are processed within timeframes with only 1-3 exceptions.

Responds to other agencies (NRCS, RMS, Conservation Districts, Extension Services, etc.) about shared programs within established timeframes with only 1-5 exceptions.

Receives only 4-6 valid customer complaints.

Note: Each element must have at least 3 standards.

Examples of Standards for Each Element (Continued)**E Execution of Duties (Nonsupervisors Only)**

Ensures that payment amounts are accurate, that necessary supporting documents are up to date and on file, and that applications are complete with no more than 1-2 exceptions.

Note: This standard is required for Farm Program staff.

Prepares reports required with duties that are accurate and complete within established timeframes with only 1-3 exceptions.

Achieves use of electronic funds transfer (EFT) for 85-95 percent of loan obligations.

Achieves use of EFT for 90-98 percent of payments.

Deposits and processes payments within 24 hours of receipt according to FSA policy with only 1-3 exceptions.

Achieves or demonstrates progress toward ensuring that no late payment interest accrues with no more than 1-2 exceptions.

Achieves or demonstrates progress towards working to provide information about program benefits to producers to ensure that they can make informed decisions; by publishing 6-10 newsletters, providing 1-3 handouts as counter information, attending 1-3 producer meetings, meeting with producer organizations 1-3 times, etc.

Achieves or makes progress toward ensuring payment amounts are accurate with no more than 1-2 exceptions.

Ensures applications are completed accurately to minimize inaccurate payments with only 3-5 exceptions.

Completes all actions required on an application within established timeframes with only 1-3 exceptions.

Achieves or makes progress toward ensuring farm loan transactions or other assigned work is accurate and complete with no more than 1-2 exceptions.

Loads software within 2 workdays of receipt with only 3-5 exceptions.

Examples of Standards for Each Element (Continued)

E Execution of Duties (Nonsupervisors Only) (Continued)

Achieves or makes progress toward delinquency rates within the States established goals with no more than 1-2 exceptions.

Ensures that operations occur in an efficient manner to support the program areas; like, printing and distributing materials, creating regulations and guidance, etc., with only 1-3 exceptions.

Meets Federal contracting regulations with respect to processing, follow through, and life span with only 1-3 exceptions.

Processes requests in a timely manner with only 1-3 complaints.

Files notices and amendments within 2 workdays of posted receipt with only 3-5 exceptions.

Note: Each element must have at least 3 standards.

Examples of Standards for Each Element (Continued)**F Individual Contributions to the Team (All Positions Except Team Leaders and Supervisors)**

Demonstrates collaborative efforts between farm programs and FLP by regularly sharing information and providing other support. Attends and participates in joint staff meetings with only 1-2 exceptions (unless excused because of scheduled leave).

Regularly cooperates with coworkers and others in meeting commitments and accomplishing assigned work on time; such as, sharing information freely with only 1-3 exceptions.

Responds constructively to feedback within 24 hours, seeking ways to improve with no more than 1-2 exceptions.

Consistently raises concerns in constructive manner and offers potential solutions with no more than 1-2 exceptions.

Fosters productive and cooperative working relationships by showing understanding, courtesy, tact, and politeness to others with no more than 4-6 valid complaints.

Updates records that affect other programs in the office within timeframes established by management with no more than 1-2 exceptions.

Note: Each element must have at least 3 standards.

Examples of Standards for Each Element (Continued)**G Program Management (Supervisors Only)**

Ensures that payment amounts are accurate, that necessary supporting documents are up to date and on file, and that applications are complete with no more than 1-2 exceptions.

Note: This standard is required for Farm Program staff.

Processes loans within the States established goals with only 1-3 exceptions.

Achieves or demonstrates progress on a monthly basis toward ensuring that no late payment interest accrues with no more than 1-2 exceptions.

Ensures that reviews are conducted and reports are filed and submitted within established timeframes with no more than 1-2 exceptions.

Achieves or makes progress on a monthly basis toward delinquency rates within the States established goals with no more than 1-2 exceptions.

Ensures that applications for benefits are processed within required timeframes with no more than 1-2 exceptions.

Ensures that producer payments are made within required timeframes with no more than 3-4 exceptions.

Ensures that staff is fully trained in the program areas for which each employee is responsible within at least 5 days of being assigned the program or within at least 3 days of learning of changes in the program.

Ensures that compliance checks are made within established timeframes.

Note: Each element must have at least 3 standards.

Examples of Standards for Each Element (Continued)**H Research and Analysis**

Reviews and analyzes temporary directive notices and handbook procedure on a daily basis 90-98 percent of the time.

Takes actions required by temporary directive notices or handbook procedure within the timeframes required with only 2-4 exceptions.

Asks questions for clarification and makes suggestions for implementation within the timeframes established by management with no more than 2-4 exceptions.

Writes State temporary directive notices required by the supervisor that are clear, concise, and understandable within established timeframes 90-98 percent of the time. [**State Office Only**]

Conducts research and gathers data in response to legal issues and other assignments that are complete, accurate, and relevant within established timeframes with only 1-3 exceptions.

Assembles, indexes, and organizes work papers to expedite analysis and develop quality summaries and report segments with only 1-3 revisions by supervisor 85-95 percent of the time.

Analyzes data to identify weaknesses, patterns, and trends that are communicated to supervisor and other required staff within established timeframes with no more than 1-2 exceptions.

Prepares case files that are complete and accurate within established timeframes for use in legal or administrative forums with only 1-3 exceptions.

Prepares case files for program appeals that are complete and accurate within established timeframes with only 1-3 exceptions.

Note: Each element must have at least 3 standards.

Examples of Standards for Each Element (Continued)**I Resource Management**

Manages within the established budget for program, function, or work assigned; notifies appropriate individual of potential budget shortfalls at least 30 calendar days in advance with no more than 1-2 exceptions.

Ensures that budget object codes are correctly entered with only 1-3 exceptions.

Ensures that travel, training, and other administrative forms are properly completed, timely, and followed-up to ensure proper processing with only 1-3 exceptions.

Plans resource needs accurately with only 1-3 exceptions.

Ensures bills are paid by established deadlines to avoid late payment interest with only 1-2 exceptions.

Plans projects or other assignments, monitors, and completes projects or assignments within schedule and quality goals 90-98 percent of the time.

Note: Each element must have at least 3 standards.

Examples of Standards for Each Element (Continued)**J Supervision (Supervisors Only)**

Schedules staff meetings at least monthly and after major program conferences or meetings or more frequently if required by management with no more than 1-2 exceptions.

Prioritizes work of staff to deal with workload shifts and to ensure that mission-critical work is accomplished with 90-98 percent accuracy.

Ensures that all new employees receive training on operational and procedural requirements within timeframes required by management with no more than 1-2 exceptions.

Ensures that all employees are assessed and training needs are identified, communicated to employees, and planned on an annual basis with no more than 1-2 exceptions.

Ensures that all employees receive required training within established timeframes with no more than 1-2 exceptions.

Ensures issues and problems are identified, documented, and dealt with in a timely manner (immediately for minor issues, usually within 1 week for others, or within agency established timeframes as applicable) 85-95 percent of the time.

Ensures that all individual performance plans are linked to SED goals and that the links are explained to employees by the required deadline with no more than 1-2 exceptions.

Conducts all requirements of the performance management cycle including encouraging 2-way discussions of planning, reviews, evaluations, and career development, setting goals and conducting reviews and evaluations within established timeframes, encouraging and implementing on-going feedback throughout the year, 95-99 percent of the time.

Ensures fair treatment of staff by dealing with issues such as absenteeism, tardiness, and other chronic problems within 1 week of identification of problem with no more than 1-2 exceptions.

Prepares required reports that are accurate, according to stated requirements, and within established timeframes with only 1-3 exceptions.

Ensures that all personnel responsibilities (recruitment, staffing, promotion, training, evaluation, and discipline) are conducted fairly, meet established procedures, and within established timeframes with no more than 1-2 exceptions.

Note: Each element must have at least 3 standards.

Examples of Standards for Each Element (Continued)**K Team Leadership**

Provides leadership or oversees subordinate or co-workers' work and achieves desired results 85-95 percent of the time.

Plans projects and monitors or reviews work within schedule and quality goals for assigned program or functional work 85-95 percent of the time.

Demonstrates collaborative efforts between farm programs and farm loan programs by ensuring team regularly shares information and provides other support on a daily basis with no more than 5-7 exceptions. Joint staff meetings will be held on a regular basis as established by management with no more than 1-2 exceptions, frequency of the meetings must be established in writing.

Informs coworkers and backup employee of work in progress or issues before taking leave 85-95 percent of the time.

Note: Each element must have at least 3 standards.

Matrix of Possible Aligned Standards

The following are positions that directly support farm programs and farm loan programs. Other standards may be selected, if appropriate.

Standard	DD	FLP Chief	FP Chief	CED	FLM	PT	AO/ Admin. Spec.	FP Spec	FLP Spec	FLO	FLOT*	COT*	CORS
Ensure using EFT for 90-95 percent of loan obligations.	X	X			X	X			X	X	X		
Ensure using EFT for 90-95 percent of payments.	X		X	X		X		X				X	
According to FSA policy [insert policy #], deposit and process payments within 24 hours of receipt with no more than 1-2 exceptions.	X	X	X	X	X	X		X	X	X	X	X	
Ensure processing of loans within the State’s established goals with no more than 2-3 exceptions.	X	X	X	X	X	X			X	X	X	X	
Ensure UCC continuations are filed before the expiration date with no more than 2-3 exceptions.	X	X	X	X	X	X		X	X	X	X	X	
Ensure that no late payment interests accrue.	X		X	X		X	X	X				X	
Provide information about program benefits to producers to ensure that they can make an informed decision [insert outcome measures here] e.g., 6-8 newsletters, 2-3 counter fliers information, 1-2 producer meetings, 1-2 meeting with producer organizations, etc.	X	X	X	X	X	X		X	X	X	X	X	
Ensure payment amounts are accurate and applications are complete with no more than 2-3 exceptions.	X		X	X		X	X		X			X	

Matrix of Possible Aligned Standards (Continued)

Standard	DD	FLP Chief	FP Chief	CED	FLM	PT	AO/ Admin. Spec.	FP Spec	FLP Spec	FLO	FLOT*	COT*	CORS
Ensure transactions or other assigned work is accurate and complete with no more than 1-2 exceptions.						X							
Ensure that reviews are conducted and reports are filed and submitted within established timeframes with no more than 1-2 exceptions.													X
Ensure that IDP's are linked to SED goals within established timeframes with no more than 1-2 exceptions.							X						
Ensure payment amounts received are accurately applied to the correct accounts within established timeframes with no more than 1-2 exceptions.						X							

* The objectives for FLOT's, COT's, and SCEP's should:

- describe the training programs being participated in
- **not** be the same as the FLO and CED objectives.

For example.

- COT's shall ensure payment amounts are accurate and applications are complete in trainee status with no more than 5-6 exceptions.
- FLOT's shall ensure processing of loans within the State's established goals in trainee status with no more than 5-6 exceptions.
- SCEP (Farm Loans) shall ensure processing of loans within the State's established goals in trainee status with no more than 5-6 exceptions.
- SCEP (Farm Programs) shall ensure payment amounts are accurate and applications are complete in trainee status with no more than 5-6 exceptions.

Matrix of Possible Aligned Standards (Continued)

The following are administrative positions.

- AO’s (see Matrix on Page 1)
- Administrative/Management Services:
 - Program Managers
 - Public Relations Specialists
 - SED Secretary
 - Mail Clerks
 - Print Shop Technicians
- HR Specialists
- EEO/Diversity Specialists, such as Outreach Coordinator
- Contracting and Procurement:
 - Contracting Specialists
 - Procurement Specialists
 - Purchasing Agents
- Real Estate Appraisers.

Standard	Human Resources (including Admin. Tech.)	EEO/Diversity	Budget	Administrative/Management Services	Contracting and Procurement	Real Estate Appraisals
Ensure individual performance plans are linked to SED goals within established timeframes with no more than 1-2 exceptions.	X					
Ensure that all personnel actions are processed accurately and within established timeframes with no more than 1-2 exceptions.	X					
Ensure that staffing levels support the mission and also are within the given staffing ceilings with no more than 1-2 exceptions.	X					

Matrix of Possible Aligned Standards (Continued)

Standard	Human Resources (including Admin. Tech.)	EEO/Diversity	Budget	Administrative/Management Services	Contracting and Procurement	Real Estate Appraisals
Increasing the number of outreach meetings by 10 percent to enhance awareness.		X				
Ensure that budget expenditures are within approved allocation with no more than 1-2 exceptions.			X			
Process requests within established timeframes with no more than 2-3 exceptions.				X	X	
Contracting. Meet Federal contracting regulations with respect to processing, follow-through, and life span with no more than 1-2 exceptions.					X	
Ensure that high quality appraisals get done within established timeframes with no more than 1-2 exceptions.						X

SED Performance Plan**Element 5 of SED Performance Plan: Program Management** (Aligns with FSA Strategic Plan).**A. Farm Loan Program****Loan Making**

1. Reduces first year delinquency rates on new loans.
2. Increases lending to minorities, women and beginning farmers.
3. Reduces direct loan processing time.
4. Reduces guaranteed loan processing time.

Loan Servicing

1. Reduce direct loan delinquency rate.
2. Reduce direct loan loss rate.
3. Reduce guaranteed loan loss rate.
4. Reduce guaranteed loan delinquency rate.

B. Farm Programs

1. Ensures that software deployed to field will be loaded within 3 days of receipt.
2. Meets reporting deadlines, with accurate information, for reports established by Deputy Administrator for Farm Programs (DAFP), Deputy Administrator for Field Operations or the Administrator.
3. Submits complete case files when making requests to DAFP.
4. Ensures that State Committees receive proper guidance from State Office personnel in program appeal cases.

C. Improper Payments

1. Institutes, within the timeframe established by DAFO, DAFP and/or the Administrator, a plan to identify and correct improper payment files and take corrective actions.
2. Establishes a statewide procedure for county offices to routinely review county office payment procedures, emphasizing that all FSA prepayment requirements must be necessary met, including receipt of necessary documents and the proper completion of all forms.
3. Ensures that each county office is briefed on the statewide procedures in #1 above by the District Director or other representative of the State office.

AD-435 Example

The following is an example of AD-435.

United States Department of Agriculture Performance Appraisal				1 Social Security No.	2 Position Number	3 Pay Plan	4 Occup. Series
				123-45-6789		GS	201
5 Name (Last, First, Middle Initial) <p style="text-align: center;">Farmer, Rose E.</p>				6 Grade/Step or Pay Level <p style="text-align: center;">7/3</p>		7 Appraisal Period From <p style="text-align: center;">01/01/xx</p> To <p style="text-align: center;">09/30/xx</p>	
8 Official Position Title <p style="text-align: center;">Program Technician</p>				9 Organization Structure Code			
10 Duty Station <p style="text-align: center;">Stafford, VA</p>		11 Funding Unit		12 Agency Use		13 NFC Use	
Instructions:				Blocks 15B, 15C, 15D		Rate actual performance by entering 2 for critical elements and 1 for non-critical elements in appropriate column.	
Blocks 1 through 10		Completed by NFC; should be reviewed and, if necessary, corrected.		Blocks 15E, 15F, 15G		Enter total of each column.	
Block 11		Enter funding unit number.		Block 15H		Enter total from 15E, 15F and 15G.	
Block 14		Enter brief description of performance elements.		Block 16A		Check off the correct summary rating described in decision table (16B).	
Block 15A		Check performance elements identified as critical.		Blocks 17-22		Self-explanatory.	
14 Performance Elements				15A Critical Element (3)	15B Exceeds Fully Successful	15C Meets Fully Successful	15D Does Not Meet Fully Successful
1) Execution of Duties				x	2		
2) Customer Service				x	2		
3) Communications				x		2	
4) Resource Management					1		
5)							
6)							
7)							
8)							
9)							
10)							
16B Decision Table (check off Summary Rating in block 16A)				15E Exceeds		15F Meets	
Rating of Outstanding if 15E equals 15H.				5		2	
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							
17 Employee (Check off appropriate box)							
I have a copy of USDA and Agency regulations on employees responsibilities and conduct; I have discussed them with my supervisor and questions have been answered to my satisfaction.				<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	
This form electronically designed by USDA-Farm Service Agency (KC).				Form AD-435 (11/86)			