

United States Department of Agriculture
Research, Education and Economics

ARS CSREES ERS NASS

Policies and Procedures

Title: NASS Performance Appraisal Program

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Distribution: All NASS Employees

This P&P outlines procedures for establishing performance elements and standards and for rating employee performance. This policy applies to the National Agricultural Statistics Service (NASS).

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1. Introduction

Performance appraisal is a management tool designed to measure the achievement of organizational goals, improve the quality of work produced, promote individual accountability, and improve communications between supervisors and employees. This is the concept underpinning the legal requirement that all agencies evaluate employee performance.¹ The expectations for evaluating employee performance are addressed within this Policy and Procedure (P&P).

It is USDA and NASS policy to ensure that performance appraisals are used as a tool for executing basic management and supervisory responsibilities by:

- Communicating and clarifying Agency goals and objectives;
- Identifying individual accountability for the accomplishment of organizational goals and objectives;
- Evaluating and improving individual and organizational accomplishments; and
- Using performance ratings as a basis for rewarding employees and taking other personnel actions.

2. Authorities

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

3. Coverage

This program covers all NASS employees who are reasonably expected to be employed for more than 90 days.

Excluded from coverage are those employees expected to be employed less than 90 days; those students employed as trainees under a work-study program or under temporary appointments; those in long term training programs and those members of the Senior Executive Service²;

The fact that certain employees are excluded from the formal aspects of the appraisal process does not mean they are, therefore, exempt from performance related scrutiny, criticism, and praise. The

¹ Title 5, United States Code, Chapter 43

² The Senior Executive Service is covered by a separate performance appraisal system which is not discussed within this P&P.

supervisor should still maintain records of performance for all non-ratable employees and recommend and take administrative action as required.

4. Annual Appraisal Period

In most cases, the rating official will formally evaluate each employee once every 12 months. The annual appraisal period may begin and end on any date convenient for the agency, but the dates must be communicated to employees in writing.

5. Minimum Appraisal Period

An employee must be in a position with elements and standards in place for at least 90 days before a rating of record may be completed. In cases where an employee has not had the opportunity to perform under elements and standards for the minimum appraisal period (90 days), the appraisal period is normally extended for the length of time necessary to meet the minimum appraisal period, after which the employee may be rated.

6. Establishing and Communicating Performance Plans

Within 30 days of an employee's assignment to a position (appointment, reassignment, promotion, or when duties of the position are substantially changed during the appraisal period) and at the beginning of an appraisal period, the rating official will meet with the employee to establish and discuss a written performance plan (elements and standards). Performance plans are required for details and temporary promotions in excess of 120 days.

A performance plan is considered to be "in place" (e.g., effective) once the employee and the rating and reviewing officials have signed and dated the plan. Final authority for establishing performance plans rests with the rating and reviewing officials. Reviewing officials must be of an organizational level higher than the rating official. Signature by the employee indicates receipt of the performance plan. Should an employee refuse to sign the plan for whatever reason, the rating official should annotate the form with the following or similar statement: "The performance plan was communicated to the employee on (date), but the employee declined to sign." Lack of employee's signature and date on the plan does not negate implementation of the plan.

7. Performance Elements and Standards

A performance plan consisting of performance elements and standards will be documented on form AD-435A and B (Appendix A and B) for a covered employee.

The use of generic or standardized elements and standards that adopt elements for all agency positions or for similar positions within the agency, will be used wherever logical. However, this does not preclude the use of non-standard elements and/or standards. Employees and employee groups will participate in the development of performance plans and/or individual specific goals. All performance plans must align to NASS agency goals and focus on expected results.

During the supervisor/employee discussion of performance plans, the supervisor will explain to the employee how the work they do fits in with work unit and overall agency goals, in addition to explaining performance expectations and assigned individual goals for the rating cycle.

Performance Elements

Performance elements describe what the employee is expected to do. Elements can be derived from sources such as organizational goals and objectives, position descriptions, budgets and work plans, supervisor/employee discussions, or analysis of a job conducted by a subject matter expert or a group familiar with the job.

- Each performance plan will have at least 3 and no more than 10 elements. At least one element must be identified as a critical element; however, all elements cannot be critical.
- A critical element is defined as an assignment or responsibility sufficiently important that unacceptable performance in that element would result in a determination that overall performance is unacceptable, and definitive remedial action must be taken. Critical elements are not used to measure group performance, only the individual contribution of an employee.
- A non-critical element is defined as an aspect of individual, team, or organizational performance exclusive of a critical element, that is used to assign a summary level.
- Each manager or supervisor must have a performance element(s) that address supervisory or managerial expectations, and this element must be critical.
- Performance plans for employees officially classified as a supervisor must have a separate critical element that addresses Equal Opportunity/Civil Rights (EO/CR) objectives. Positions classified as supervisor usually include Supervisory, Supervisor, Manager, Officer, or Administrator in the title.
- Performance plans for non-supervisory employees must include (in at least one of the critical elements) the responsibility for demonstrating a commitment to EO/CR. This guidance applies to non-supervisory employees who have limited supervisory responsibilities (such as those of a team leader, or those that supervise one clerical employee, or student, etc.). Including civil rights responsibilities within an element that describes customer service functions or an element that focuses on internal working relationships are excellent examples of opportunities to measure an employee's support for diversity and ability to interact with coworkers from different backgrounds and ethnic groups. In certain unusual instances, the elements established for the duties of a non-supervisory position may not lend themselves to a discussion of civil rights issues. This may occur if the work is extremely technical or scientific in nature and if the work is performed in a very independent or isolated manner (i.e., without opportunity to interact with other people). In such cases, the supervisor and the employee may formulate a separate element addressing the position's civil rights responsibilities.

In the rarest of cases, the supervisor and the employee may determine that the duties of a non-supervisory position simply do not provide a reasonable opportunity to demonstrate

a commitment to civil rights or work force diversity. Should this occur—and it should seldom, if ever, occur in NASS—the second-level supervisor must review the case. If the second-level supervisor agrees that civil rights goals cannot be addressed within the context of the position, the second-level supervisor will forward a **written** request for an exception to the Administrative and Financial Management’s (AFM) Human Resources Director, who will appoint an ad hoc panel to study the request. The panel will be composed of at least three members: (1) the agency's Civil Rights Director (or designee), (2) AFM's Human Resources Director (or designee), and (3) a representative of the mission or program area of the position under review. The panel will forward a recommendation to the Administrator, who will either grant or deny an exemption. All exemptions will be reported to the Department's Office of Civil Rights Enforcement within 30 days following approval.

Performance Standards

A performance standard is a measure. Standards tell the employee how well they have to perform/accomplish their work to meet a desired level of performance. Standards should enable a supervisor to gauge the employee's accomplishment of performance elements in an objective, easily understood manner. Standards should focus on expected results as well as the quality and quantity of work, timeliness, method of work, amount of supervision, and customer expectations.

Performance standards must be defined at the “Fully Successful” level, but may be defined at the “Exceeds” and “Does Not Meet” levels. Fully Successful performance is performance of good quality where the employee produces the required amount of work and meets deadlines or schedules for completion of work.

The absence of a written standard at the Exceeds or Does Not Meet level will not preclude the assignment of a rating at those levels.

8. Progress Reviews

A rating official may, at any point during the appraisal period, provide feedback to employees on performance and performance-related issues. It is required, however, for supervisors to perform at least one progress review during an appraisal period. This usually occurs at the midpoint of the rating year. This meeting, officially labeled as a progress review, but referred to as an interim appraisal or mid-year review, is intended to assess the employee's current level of performance as measured against the standards established for the work and offer advice. As necessary, this review will identify problems and formulate remedies as well as urge the rating official and the employee to confront performance deficiencies in their early stages, where corrective steps may be taken and before formal action becomes necessary. For new employees or those performing below the “Fully Successful” level, conducting these reviews on a quarterly basis would be wise.

The progress review should not be seen in a negative light. For the successful, effective employee, it should provide an occasion for positive reinforcement, with the rating official encouraging the employee to keep up the good work or to accept increasingly ambitious challenges.

The progress review also provides an opportunity to review the performance elements, standards, and goals and make any necessary adjustments to ensure expectations remain reasonable and attainable.

A rating of record is not assigned as part of the progress review. The only written requirement is for both the employee and rating official to initial and date the block at the bottom of form AD-435A form verifying that the progress review discussion(s) did take place. If desired, the rating official may prepare narrative comments by attaching a memorandum to the form. But this is entirely optional.

9. Annual Appraisal Process

Accomplishment Reports

Prior to the end of the appraisal period, each employee must provide an accomplishment report to the rating official. This report will be used as a reference tool in determining an employee's rating of record, and may also be referred to during the performance discussion between the employee and the rating official.

When preparing an accomplishment report, employees should format the report by performance element, focus on their specific accomplishments/results achieved during the appraisal period, and explain the impact the accomplishments had on the unit/agency.

Element Rating Levels

At the end of the appraisal period, the rating official will evaluate each performance element and determine which of the following three rating levels is most appropriate. The rating of record will be documented on NASS-435P (Appendix C). In each case, the rating official will compare the employee's performance with the Fully Successful performance standard established for that element and assign an element rating as the form instructs.

- **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.
- **Fully Successful:** This level generally describes the performance of the solid, effective employee whose work meets normal expectations in terms of quantity, quality, timeliness, and customer service, as outlined in the Fully Successful standard.
- **Does Not Meet Fully Successful:** This level describes performance that has failed to fulfill the basic expectations for the work (i.e., performance does not meet the Fully Successful standard for the element). With assistance from the Employee Relations Branch, Human Resources Division (HRD), the rating official must prepare a written statement describing the employee's deficiencies for all elements rated at this level. Early identification and correction of poor performance is strongly recommended.

Summary Levels

The summary rating summarizes the employee's overall performance for an appraisal period. Once the elements are appraised, the summary rating is calculated using the Decision Table on the NASS-435P. Critical elements have twice as much weight (appraisal units) as non-critical elements in determining a summary rating, and this weighting system is built into the calculation.

- **Outstanding:** All appraisal units for critical and non-critical elements were rated at the Exceeds Fully Successful level. For each Outstanding rating, the rating official must prepare a written narrative justification outlining the employee's accomplishments or provide a copy of the employee's complete accomplishment report and submit it with the NASS-435P.
- **Superior:** More appraisal units for critical and non-critical elements were rated at the Exceeds Fully Successful level than at the Meets Fully Successful level, and no critical or non-critical elements were rated Does Not Meet Fully Successful.
- **Fully Successful:** More appraisal units for critical and non-critical elements were rated at the Meets Fully Successful level than at the Exceeds Fully Successful level, and no critical element was rated Does Not Meet Fully Successful.
- **Minimally Acceptable:** More appraisal units (for non-critical elements only) were rated at the Does Not Meet Fully Successful level than at the Exceeds Fully Successful level, and no critical element was rated Does Not Meet Fully Successful. Should this occur, the rating official must contact the Employee Relations Branch for guidance.
- **Unacceptable:** One or more critical elements were rated at the Does Not Meet Fully Successful level. Should this occur, the rating official must contact the Employee Relations Branch for guidance.

Approving and Discussing the Appraisal

A summary rating is not official until the rating and reviewing official have both signed the NASS-435P, and the appropriate agency senior executive has concurred with the rating. It is important that these approvals take place before the employee sees the rating or is engaged in any discussions concerning the rating. After senior executive concurrence has been received, the rating official will discuss the rating with the employee. The employee will then sign the form, after first responding to the ethics and conduct-related items in block 17. Signature by the employee indicates receipt of the rating of record. Should the employee choose not to sign for whatever reason, the supervisor will annotate the form with the following statement: "Employee received rating on (date), but declined to sign." Should the employee decide to grieve his/her performance appraisal, the rating official should direct the employee to the applicable grievance procedure policy and to the Employee Relations Branch for guidance.

Document Distribution and Retention

The rating official will distribute copies of the completed appraisal as follows:

- Original NASS-435P, performance plan, and written justification for Outstanding or Unacceptable rating to HRD for data input and filing.
- Copy of NASS-435P is given to the employee.
- Copy of NASS-435P is retained by the supervisor.

The rating official must retain all documents relating to performance appraisal for 4 years. These documents would include the appraisal worksheets, any performance justifications, and copies of the final appraisal forms themselves, along with any work samples or supervisory notes used to substantiate or justify the appraisal.

10. Special Situations

Advisory Ratings

An advisory rating is an appraisal of performance covering part of an appraisal period (at least 90 days). In unusual circumstances, an employee may receive one or more advisory appraisals during a given rating year. The bulleted situations below provide occasions where advisory ratings are necessary. The rating official must consider these advisory ratings when preparing the employee's final rating of record. The rating official may exercise discretion in considering these advisory documents and must be able to explain how the final rating was achieved and how the advisory rating was factored in. Advisory ratings must be in narrative form and must address performance in each element. The employee should be given a copy of all advisory ratings.

- **Details and Temporary Promotions in Excess of 120 Days.** The supervisor of an employee who is detailed or temporarily promoted for more than 120 days must establish performance elements and standards for that position, as outlined in Section 6. At the conclusion of the detail or temporary promotion, the supervisor will prepare a narrative performance (advisory) rating documenting the employee's accomplishments and forward it to the employee's permanent supervisor. (Note: Details or temporary promotions of 120 days or less do not require establishment of a performance plan. The supervisor should, however, prepare some written documentation of the employee's performance and forward it to the permanent supervisor.) This guidance applies to any employee detailed within USDA. When an employee is detailed outside the Department, the permanent supervisor should make a reasonable effort to obtain information regarding the employee's performance prior to completing the annual rating of record.
- **Change of Supervisor Within the Agency.** Each individual who supervised the employee for 90 days or more during the rating year must prepare a narrative advisory rating and forward it to the current supervisor for consideration in deriving a rating of record.
- **Change of Position and Supervisor Within the Agency.** When an employee who has occupied a position for at least 90 days leaves that position, the supervisor should prepare a narrative advisory rating and forward it to the new supervisor for consideration in deriving a rating of record.

- **Change of Position Without Change in Supervisor.** When an employee changes positions but retains the same supervisor (e.g., the employee was promoted or reassigned within the same organization), the supervisor is not required to prepare an advisory rating, since there is really no third party to “advise” in such a case. Some written documentation of the employee's performance is, however, recommended since the supervisor must consider the entire rating year, including the work in the previous position, in the employee's final rating of record. A memorandum to the record or an advisory rating kept in the supervisor's own files might provide a helpful reference at the end of the rating year. In cases where an employee changes positions, supervisors are reminded to put a new performance plan in place to reflect expectations in the new position.

Inability to Rate/Extension of Appraisal Period

When the rating year ends before an employee has served under their performance plan for the minimum appraisal period of 90 days, the supervisor will normally extend the appraisal period for the length of time needed to meet the 90-day requirement. When the new target date is reached, the supervisor will prepare a rating of record for the employee.

Employees who are on long-term training will not be rated until they have had a performance plan in place and have been afforded the opportunity to perform under the plan for the minimum appraisal period.

Assisting Employees in Improving Performance

When serious performance deficiencies develop, the rating official should not be bound by the normal appraisal schedule. Rather than wait for the regularly scheduled progress review or final appraisal, the rating official should immediately contact the Employee Relations Branch and take appropriate action whenever an employee's performance in one or more critical elements falls below the Fully Successful level.

In such cases, the employee should be counseled by the rating official and specific deficiencies identified. Performance elements and standards and performance expectations must be thoroughly explained to the employee. Assistance provided may include closer supervision, on-the-job training, formal training, etc. All counseling sessions should be documented.

At any time the rating official identifies any critical element(s) for which performance does not meet the specified “Fully Successful” level; the employee must be informed in a timely manner of the performance standards that must be reached in order to attain Fully Successful performance. The rating official should work with the Employee Relations Branch to develop a Performance Improvement Plan (PIP). Although it may not be necessary to complete a formal appraisal at this time, the rating official must issue the PIP (documenting unacceptable performance) in writing and the memorandum must:

- Identify the specific critical element(s) in which the employee is deficient.
- Describe the types of improvements (specific work or projects to be completed, steps or procedures to be followed, etc.) that the employee must demonstrate to attain fully successful performance.

- Offer assistance to the employee in improving to the Fully Successful level. This assistance may include formal training, on-the-job training, counseling, and closer supervision.
- Provide the employee a reasonable opportunity to demonstrate acceptable performance, commensurate with the duties and responsibilities of the employee's position.
- Inform the employee that, at the conclusion of the PIP, if performance has continued to be below Fully Successful, the employee may be reassigned, reduced in grade, or removed. A written notice will be provided to the employee explaining the action to be taken, the effective date of such action, and the employee's appeal rights.
- If an individual is placed on a PIP during the last 90 days of the annual appraisal period, the rating decision will be delayed until completion of the PIP.
- Upon completion of the PIP, the rating official will work with their Employee Relations Specialist to prepare documentation of the employee's level of performance.
- If the employee's performance is Fully Successful, the rating prepared at the conclusion of the PIP will become the new rating of record for purposes of Within-Grade Increase (WGI) and future personnel actions.
- If the employee does not sustain Fully Successful performance in any element(s) included in the PIP at any time up to 1 year from the effective date of the PIP, action to reassign, reduce-in-grade, or remove can be taken without giving the employee another opportunity to perform; i.e., a new PIP is not required.
- If the employee has performed acceptably for 1 year from the beginning of a PIP in an element(s) for which the employee was afforded an opportunity to improve and the employee's performance again falls below Fully Successful, the employee must be given another opportunity to demonstrate acceptable performance through a new PIP.

Grievances

If an employee is dissatisfied with the critical elements, non-critical elements, and/or performance standards to include the number or type of critical and non-critical elements, the designation of an element as either critical or non-critical, or the substance of their standards (including the criteria against which performance will be measured), the issue should initially be raised and discussed with the rating official. If the issue(s) cannot be resolved with the rating official, the employee may informally discuss the concern(s) with the reviewing official. If the issue(s) remains unresolved after discussion with the rating and reviewing officials, the employee has no other avenue of review or redress, as an employee may not grieve the content and substance of a performance plan. Final authority for establishing performance plans rests with the rating and reviewing officials.

If the dissatisfaction is due to a rating received, the issue(s) should initially be raised with the rating official, and if unresolved, with the reviewing official. If, after discussion with both the rating and reviewing officials the issue(s) is not resolved, the employee may file a grievance. Should a grievance or potential grievance situation arise, the employee and the rating official should immediately contact the Employee Relations Branch for assistance. All grievances will be handled in accordance with administrative grievance procedures.

11. Impact on Other Personnel Actions

An employee must receive a rating of record of Fully Successful or better to be eligible for a Within-Grade Increase, a performance award, or a promotion. Performance ratings may also affect the employee's selection for specialized or competitive training opportunities and will help determine service credit in the event of a reduction in force.

12. Communications/Training

To ensure effective implementation, the essential provisions of this program will be communicated to all covered employees through formal and/or informal training. The HRD will provide guidance and assistance in developing these programs.

13. Recognizing Performance

Criteria that establish eligibility for performance awards and other forms of performance recognition are included in the USDA Guide for Employee Recognition and in guidance issued by the REE Services Branch, HRD. NASS has a recognition program clearly described in internal agency policy. This policy describes processes for recognizing individuals and teams for performance results and accomplishment/advancement of agency goals and values. The Administrator may direct the development of other awards programs within NASS.

14. Program Evaluation

This performance program will be periodically evaluated by NASS and HRD officials to determine the effectiveness of the program including, but not limited to, such issues as improvement of organizational performance or employee satisfaction with the process. More specifically, NASS will measure its performance management and employee recognition success and satisfaction through the employee climate survey administered every three years. Modifications to this program may be made in accordance with the parameters of the USDA Performance Management System. However, any modifications to coverage, length of appraisal period, or summary level pattern require Departmental approval. Information about the program, as well as related reports, will be provided to the Department upon request.

15. Summary of Responsibilities

Administrator

- Ensure consistency in the application of appraisal procedures throughout the agency.
- Ensure alignment of employee/team performance plans with organizational goals.

Senior Executives

- Ensure consistency of ratings within the organization.

Reviewing Officials

- Review and approve proposed elements and standards; and review and approve the summary ratings for subordinate employees.

Rating Officials

- Develop performance plans for all covered employees and ensure they are put in place in a timely manner.
- Ensure alignment of employee/team performance plans with organizational goals.
- Notify employees whenever their performance in an element falls below the “Fully Successful” level and take whatever measures may be needed to effect improvements. Assistance offered might include, but is not limited to, formal or on-the-job training, counseling, and closer supervision. Contact the Employee Relations Branch for assistance.
- Conduct at least one progress review per year for all employees.
- Conduct a timely annual performance appraisal for all employees.
- Discuss completed appraisals with employees and offer suggestions as to how performance might be improved.
- Complete the necessary appraisal forms and retain all documentation for 4 years.
- Recognize employee/team accomplishments appropriately.

Human Resources Division, AFM

- Employee Relations Branch will advise and assist supervisors and employees on employee performance problems.
- Human Resources Specialists in the Operations Branches will advise and assist supervisors and employees on various procedural issues related to performance appraisal (e.g., the development of elements and standards, filing and submission of completed forms, etc.).
- The Performance and Awards Staff, REE Services Branch will:
 - ▶ provide guidance and assistance to supervisors and employees, as well as HRD on the interpretation of law, regulation, or agency policy governing performance management;
 - ▶ assist the Administrator in communicating performance management requirements and arrange for or provide training in these areas; and,
 - ▶ be responsible for program development, implementation, operation, evaluation, and preparing information and reports to the Department (upon request).

Employees

- Assist supervisors in developing elements/standards and goals for their positions (e.g., discuss proposed elements and standards with management and offer comments).
- Provide written accomplishment reports.
- Cooperate in the performance appraisal process.

16. Savings Provision

Administrative actions (e.g., action against unacceptable employees under 5 U.S.C. 4303) initiated prior to the effective date of this issuance must continue to be processed consistent with the procedures and requirements that were in place at the time that the action was initiated.

17. Glossary

Advisory Rating. A rating which evaluates work performed for 90 days or more, but not the entire rating period. An advisory rating applies to an employee on detail or who has changed jobs or supervisors during the rating year. The rating official must consider these ratings in preparing the final rating of record. An employee may have more than one advisory rating in a given appraisal period.

Appraisal Period. Normally, a 12-month timeframe during which an employee's performance is evaluated; frequently referred to as the rating year, rating period, or rating cycle.

Critical Element. A work assignment or responsibility of such importance that performance below the “Fully Successful” level in the element would result in a determination that an employee’s overall performance is Unacceptable.

Element Rating. The rating level assigned to each performance element, determined by comparing the employee's accomplishments with the established performance standard. There are three element rating levels: Exceeds Fully Successful, Fully Successful, and Does Not Meet Fully Successful.

Non-Critical Element. A dimension or aspect of individual, team, or organizational performance, exclusive of a critical element, that is used in assigning a summary level. Such elements may include, but are not limited to, objectives, goals, program plans, work plans, and other means of expressing expected performance.

Performance Plan. A written document indicating all of the performance elements that set forth expected performance. The performance plan includes all critical and non-critical elements and associated performance standards. A performance plan is documented on forms AD-435A/B.

Performance Standard. A measurable statement describing the performance threshold(s), requirement(s), expectation(s), or goal(s) that must be met to be rated at a particular level of performance. Standards are written at the “Fully Successful” level; however, they may also be written at other levels. (See **Element Rating.**)

Progress Review. A meeting with an employee to discuss actual performance compared to the performance standards. This communication is generally held at the mid-point of the rating year. Such reviews are frequently referred to as interim appraisals or mid-year reviews.

Rating of Record. The final official rating of employee performance for a given rating year. The annual performance rating of record (prepared on NASS-435P) must consider performance over the entire period and is the only appraisal document filed in the employee's Employee Performance Folder.

Rating Official. Usually the employee’s immediate supervisor.

Reviewing Official. An individual senior to the rating official (i.e., senior to the employee's supervisor) in the organizational chain of command who reviews and approves both the proposed elements and standards and the employee's final rating. In most cases, the reviewing official is the employee's second level supervisor.

Summary Level. The record of the appraisal of each critical and non-critical element and the assignment of an overall rating level.

--/Sd/--

James H. Bradley
Deputy Administrator
Administrative and Financial Management

Appendix A - Performance Plan, Progress Review and Appraisal Worksheet
Appendix B - Performance Plan, Progress Review and Appraisal Worksheet (Continuation sheet)
Appendix C – Performance Appraisal Form (PDF Fillable)

Appendix A

UNITED STATES DEPARTMENT OF AGRICULTURE
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET
 (Instructions on reverse)

1. Name (Last, First, M.I.)	Pay Plan, Series, Grade	Agency/Division	APPRAISAL PERIOD	
Position Title			From	To

2. PERFORMANCE ELEMENT

No. <input style="width: 20px;" type="text"/>	(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 type="checkbox"/> NONCRITICAL
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3. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)

4. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. For instructions about documentation, see reverse.)

	➔	<input type="checkbox"/> EXCEEDS	<input type="checkbox"/> FULLY SUCCESSFUL	<input type="checkbox"/> DOES NOT MEET
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ACCOMPLISHMENTS

5. 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 Signature	Date
Reviewer's Signature	Date

6. PROGRESS REVIEWS (at least one must be completed)

Employee's Initials and Date	Supervisor's Initials and Date
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Appendix B

CONTINUATION SHEET

UNITED STATES DEPARTMENT OF AGRICULTURE

PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET

1. Name (Last, First, M.I.)	Pay Plan, Series, Grade	Agency/Division	APPRAISAL PERIOD	
			From	To
Position Title				
2. PERFORMANCE ELEMENT				
No. <input type="text"/>	(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 type="checkbox"/> NONCRITICAL

3. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)

4. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. For instructions about documentation, see 435A.)

EXCEEDS FULLY SUCCESSFUL
 DOES NOT MEET

ACCOMPLISHMENTS

**United States Department of Agriculture
Performance Appraisal**

1 Social Security No.	2 Position Number	3 Pay Plan	4 Occup. Series
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5 Name (Last, First, Middle Initial)		6 Grade/Step or Pay Level	7 Appraisal Period From _____ To _____	
8 Official Position Title		9 Organization Structure Code		
10 Duty Station	11 Funding Unit	12 Agency Use	13 NFC Use	

Instructions

Blocks 1 through 10, completed by NFC, should be reviewed and, if necessary, corrected.

Block 11. Enter funding unit number.

Block 14. Enter brief description of performance elements.

Block 15A. Check performance elements identified as critical.

Blocks 15B, 15C, 15D. Rate actual performance by entering 2 for critical elements and 1 for non-critical elements in appropriate column.

Blocks 15E, 15F, 15G. Enter total of each column.

Block 15H. Enter total from 15E, 15F, and 15G.

Block 16A. Check off the correct summary rating described in decisions table (16B).

Blocks 17 through 22. Self-explanatory.

14 Performance Elements	15A Critical Element	15B Exceeds Fully Successful	15C Meets Fully Successful	15D Does Not Meet Fully Successful
1)				
2)				
3)				
4)				
5)				
6)				
7)				
8)				
9)				
10)				

<p>16B <u>Decision Table (check off Summary Rating in block 16A)</u></p> <p>Rating of Outstanding if 15E equals 15H. Rating of Unacceptable 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 Minimally Acceptable if 15G is greater than 15E, and no critical element is rated in 15D. Rating of Fully Successful if none of the above apply.</p>	15E Exceeds	15F Meets	15G Does Not Meet
	15H Enter total 15E + 15F + 15G = 15H		15H
	<p><u>16A Summary Rating (See Decision Table in 16B)</u></p> <p><input type="checkbox"/> Outstanding <input type="checkbox"/> Superior <input type="checkbox"/> Fully Successful <input type="checkbox"/> Minimally Acceptable <input type="checkbox"/> Unacceptable</p>		

17 Employee - <u>Standards of Conduct and Ethical Responsibilities</u> (Check off appropriate boxes)	
a I have a copy of the Governmentwide standards of ethical conduct and any USDA and agency supplemental regulations governing conduct. <input type="checkbox"/> YES <input type="checkbox"/> NO	
b I attended the required annual ethics training. <input 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 _____	

GRIEVANCE PROCEDURES

Performance Management Recognition System (PMRS) Employees.

Follow the agency grievance procedures.

Non-PMRS Employees.

Follow either the agency grievance procedures or negotiated grievance procedures, but not both.

Contact your servicing Personnel Office for specific instructions or applicable procedures for resolving performance appraisal disagreements.