Performance
Appraisal
Plan
Examples

Simple, Easy Guidance
and
Sample Format

- Checklist for Performance Plans
- Sample Employee Plan
- Sample Supervisory Plan
Checklist for Performance Plans

This document is provided to assist managers/supervisors and non-supervisory employees in understanding the components of the USDA Performance Management Process.

A brief summary of the areas that need to be incorporated to performance plans follows:

Strategic Alignment

- At least one element has this addressed and incorporated?

Performance Elements

- Between 3 and 7 elements?
- At least 1 critical element is linked to the Agency’s mission, goals and outcomes?
- At least 1 critical element is results-focused?

- Employee spends a **SIGNIFICANT PORTION OF TIME** doing this action – it is a significant job component?
- Employee has **PRIMARY CONTROL** over the outcome?
- Employee has **FULL AUTHORITY** to perform this?
- Element is **DISTINGUISHABLE** from other performance elements?

**FOR SUPERVISORS:**

- A performance element for supervision is incorporated?
- A performance element for EEO/CR is incorporated?
- Performance requirements include **performance accountability**?

Performance Standards (Measures)

- Each standard includes
  - qualitative measures,
  - quantitative measures,
  - timeliness measures,
  - cost effectiveness measures,
  - or manner or performance measures?
- Appear reasonable and provide appropriate distinctions between levels?

**FOR EMPLOYEES**

- Include measureable standards for **EEO/CR**?
- Include measureable standards for **Health and Safety** if warranted?
- Include measureable standards for **Personally Identifiable Information** if warranted?

**FOR SUPERVISORS**

- Include measurable standards for **employee perspective**?
- Include measurable standards for **customer perspective**?
- Include measurable standards for **Health and Safety**, if warranted?
- Include measurable standards for **Personally Identifiable Information**, if warranted?
Employee Example
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 timeframes.

Alignment: This Element contributes to the achievement of the Strategic Human Capital Goals identified in the USDA Strategic Human Capital Plan December 2006, and the human capital strategies associated with the DA Goal as identified in the DA Strategic Plan 2005 – 2008. The DA Goal is as follows - Provides USDA leadership with the administrative tools, services, infrastructure, and policy frameworks to support their public service missions. [Note – alignment item must be on at least one element!]

Evaluation will be by the supervisor through (1) observation, (2) review of work product results, and (3) discussions with employee, co-workers, customers and superiors. The supervisor is satisfied that the employee:

- Handles multiple tasks simultaneously, prioritizing and completing assignments within established deadlines with not more than 3-5 exceptions. Tracks assigned projects, correspondence, etc., from initiation to completion and addresses each within the timeframes prescribed by the supervisor.

- Works to continually evaluate and improve assigned programs from a programmatic and cost-effective perspective. Achieves or demonstrates progress in improving program and work practices, including minimizing the complexity of processes whenever possible.

- Provides timely and reliable technical advice and assistance to internal and external customers on {specify} matters with not more than 3-4 exceptions. Advice is based on good knowledge and proper application of Federal regulations, precedent cases, and relationships among interested parties. (Note – this standard could also be within a Customer Service element.)

- Continuously keeps supervisor informed regarding sensitive issues or controversial emerging issues and offers well thought-out recommendations to prevent and/or respond to developing problems with no more than 1-3 exceptions.

- Safeguards and protects the personally identifiable information of all employees' contractors, or the general public from unauthorized disclosure with no more than 1-2 exceptions.
1. NAME (Last, First, M.I.)
   Public, John Q.

2. POSITION TITLE
   Human Resources Specialist

3. AGENCY/DIVISION
   DA, OHCM, DHRD

4. PAY PLAN, SERIES, GRADE
   GS-201-12

5. START DATE
   10-01-08

6. END DATE
   09-30-09

7. PERFORMANCE ELEMENT

<table>
<thead>
<tr>
<th>No.</th>
<th>Performance Element</th>
<th>Critical</th>
<th>Noncritical</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>Customer Service</td>
<td>X</td>
<td></td>
</tr>
</tbody>
</table>

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 effective working relationships with all stakeholders both internal and external to USDA as required. These relationships are critical to promoting Human Capital program’s and supporting accomplishment of USDA and OHCM strategic goals. Keeps supervisor and/or team leader informed of difficult and/or controversial issues and unique problems. Takes actions 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.)

- Models appropriate behavior by presenting advice and guidance in a positive and helpful manner, including appropriate options, recommendations, and results, with no more than 6-8 valid complaints. Advice and guidance is complete, timely, and consistent with appropriate guidelines 80% of the time.

- Routinely responds to each customer request with the most accurate and complete information available. If information to a telephone call cannot be provided immediately, answers are usually provided within 2 work days of receipt of the call. Email responses are usually answered within 2 work days.

- Feedback from customers indicates they are generally satisfied with answers to questions, proposed solutions and suggestions, or recommendations are understandable.

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.)

<table>
<thead>
<tr>
<th>Exceeds</th>
<th>Fully Successful</th>
<th>Does Not Meet</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET**

1. **NAME (Last, First, M.I.)**  
   Public, John Q.

2. **POSITION TITLE**  
   Human Resources Specialist

3. **AGENCY/DIVISION**  
   DA, OHCM, DHRD

4. **PAY PLAN, SERIES, GRADE**  
   GS-201-12

5. **START DATE**  
   10-01-08

6. **END DATE**  
   09-30-09

7. **PERFORMANCE ELEMENT**  
   **No.** 3  
   **Name:** Individual Contributions to the Team and EEO/Civil Rights
   **Criticality:** CRITICAL  
   **Non-Critical:** X

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.)

   Evaluation will be by the supervisor through (1) observation, (2) review of work product results, and (3) discussions with employee, co-workers, customers and superiors. The supervisor is satisfied that the employee:

   - Regularly cooperates with coworkers and others in meeting commitments and accomplishing assigned work on time; e.g., sharing information freely.
   - Fosters productive and cooperative working relationships by showing understanding, courtesy, tact, and politeness to others with no more than 6-8 valid complaints.
   - Attends and participates in joint staff meetings with no more than 2 exceptions.
   - Responds constructively to feedback, seeking ways to improve. Consistently raises concerns in a constructive manner and offers potential solutions.
   - Models appropriate behavior by treat customers, colleagues, employees, and other internal and external stakeholders with respect, courtesy, politeness and sensitivity with no more than 6-8 valid complaints.
   - Consistently treats coworkers with respect, fairness, and politeness including socially disadvantaged, females and persons with disabilities. Relates well to people from various backgrounds and situations.
   - Brings discriminatory issues or actions to the attention of the supervisor or other appropriate official as soon as possible but no later than 48 hours after the occurrence.
   - Completes annual EEO/CR training, as required, within established time frames.

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.)

<table>
<thead>
<tr>
<th>Exceeds Fully Successful Does Not Meet</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>
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.)

<table>
<thead>
<tr>
<th>Employee's Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Supervisor's Name (Print)</td>
<td>Supervisor's Signature</td>
</tr>
<tr>
<td>Reviewer's Name (Print)</td>
<td>Reviewer's Signature</td>
</tr>
</tbody>
</table>

12. **PROGRESS REVIEWS**  (at least one must be completed)

<table>
<thead>
<tr>
<th>Employee's Initials and Date</th>
<th>Supervisor's Initials and Date</th>
</tr>
</thead>
</table>

Check appropriate copy designation below.

( ) ORIGINAL-OFFICIAL PERSONNEL FOLDER/EMPLOYEE PERFORMANCE FILE COPY  ( ) EMPLOYEE COPY  ( ) SUPERVISOR'S COPY  ( ) AGENCY USE
Supervisory Example
Supervises ## employees (Identify number of employees supervised). 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 procedures. 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 timeframes. Has an employee performance plan that focus on results achieved, contain at least one element that is aligned with organizational goals, and are in place within 30 calendar days of the beginning of the appraisal period. Mid year reviews are conducted timely and according to Agency guidelines. Ratings are accurate and issued within 30 calendar days of the end of the appraisal period.

Evaluation will be by the supervisor through (1) observation, (2) review of work product results, and (3) discussions with employee, direct reports, co-workers, customers and superiors. The supervisor is satisfied that the employee:

- Prioritizes work of staff to deal with workload shifts and to ensure mission-critical work is accomplished with 95% accuracy.
- Schedules staff meetings at least monthly and after major program conferences or meetings or more frequently if required by management.
- Ensures that all employees are assessed and training needs are identified, communicated to employees, and planned on an annual basis. Ensures that all employees receive required training within established guidelines.
- Ensures issues and problems are identified, documented, and dealt with in a timely manner (immediately for minor issues, usually within one week for others, or within Agency established timeframes as applicable) 90% of the time.
- Ensures fair treatment of staff by dealing with issues such as absenteeism, tardiness, and other chronic problems within one week of identification of problem.
- Prepares required reports that are accurate, according to stated requirements, and within established timeframes 97% of the time.
- Ensures all personnel responsibilities (recruitment, staffing, promotion, training, evaluation and discipline) are conducted fairly, meet established procedures, and within established timeframes 90% of the time.
• Routinely models appropriate leadership and professional behavior by treating others with respect, directing and motivating staff, maintaining confidentiality, etc.

• [Employee Perspective] Feedback from staff indicates that they understand the agency’s direction, the goals and their role in achieving these goals; understand what is expected of them; were involved in developing their performance plans; understand how well they are performing and where they need to improve; have performance plans that accurately reflect their performance measures; have the necessary tools and resources to accomplish their work; where they do not have what they need, they understand why; have the skills and knowledge they need to do their jobs, or a plan to obtain them; are acknowledged and appreciated for good performance.

• [Employee Perspective] Analyzed feedback received from employees from the Federal Human Capital Survey (FHCS)/the Annual Employee Survey (AES) or other feedback mechanisms (focus groups/ 1-on 1 discussions) and develops action plans to improve future survey results/employee satisfaction.

• [Customer Perspective] Feedback from customers indicate satisfaction with the quality of service delivered, including that the service was provided in a collaborative manner and met the customers’ needs; and the quantity and quality of information delivered, including that the information provided increased the customers’ understanding of the agency’s programs.

• [Safety and Health] 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.

• [EEO/ CR] Ensures that employees receive required Civil Rights, EEO, and Sexual Harassment training within established timeframes. Provides Civil Rights/EEO/Sexual Harassment/Diversity information (USDA material) to employees through information sessions, staff meetings, etc. at least 2 times a year.

• [EEO/ CR] Responds to issues/actions/allegations according to Agency procedures and within established timeframes with no more than 3 approved exceptions.

• [EEO/ CR] Takes action to reduce the number of valid employee complaints by actions such as increasing information provided for interpersonal skills training to employees, etc. at least 2 times annually.

• [EEO/ CR] Provides pro-active assistance to employees to help with problem solving and resolving conflicts. Results based on employee feedback or surveys, random oral surveys from second level supervisor, providing employee skills training in related topics.

• [EEO/ CR] Meets USDA established Civil Rights/EEO goals for recruitment, selection, promotion, training, awards, and other personnel activities.

1. [Performance Management] Develop performance plans for all supervised employees that include a 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 by the required deadline.

2. [Performance Management] Conducts all requirements of the performance management cycle including encouraging two-way discussion of planning, reviews, evaluation, and career development, setting goals and conducting reviews and evaluations within established timeframes, encouraging and implementing ongoing feedback throughout the year, 99% of the time.
**PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET**

1. **NAME (Last, First, M.I.)**  
   Citizen, Jane Q

2. **POSITION TITLE**  
   Supervisory Human Resources Specialist

3. **AGENCY/DIVISION**  
   DA, OHCM, DHRD

4. **PAY PLAN, SERIES, GRADE**  
   GS-201-15

5. **START DATE**  
   10-01-08

6. **END DATE**  
   09-30-09

7. **PERFORMANCE ELEMENT**
   
<table>
<thead>
<tr>
<th>No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>Mission Results</td>
</tr>
</tbody>
</table>

   **Alignment:** This Element contributes to the achievement of the Strategic Human Capital Goals identified in the *USDA Strategic Human Capital Plan December 2006*, and the human capital strategies associated with the DA Goal as Identified in the *DA Strategic Plan 2005 – 2008*. The DA Goal is as follows - Provides USDA leadership with the administrative tools, services, infrastructure, and policy frameworks to support their public service missions.  

   [Note – alignment item must be on at least one element!]

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

   Evaluation will be by the supervisor through (1) observation, (2) review of work product results, and (3) discussions with employee, direct reports, co-workers, customers and superiors. The supervisor is satisfied that the employee:

   - Handles multiple tasks simultaneously, prioritizing and completing assignments within established deadlines with not more than 3-5 exceptions. Tracks assigned projects, correspondence, etc., from initiation to completion and addresses each within the timeframes prescribed by the supervisor.

   - Works to continually evaluate and improve assigned programs from a programmatic and cost-effective perspective. Achieves or demonstrates progress in improving program and work practices, including minimizing the complexity of processes whenever possible.

   - Provides timely and reliable technical advice and assistance to internal and external customers on {specify} matters with not more than 3-4 exceptions. Advice is based on good knowledge and proper application of Federal regulations, precedent cases, and relationships among interested parties. (Note – this standard could also be within a Customer Service element.)

   - Continuously keeps supervisor informed regarding sensitive issues or controversial emerging issues and offers well thought-out recommendations to prevent and/or respond to developing problems with no more than 1-3 exceptions.

   - Safeguards and protects the personally identifiable information of all employees’ contractors, or the general public from unauthorized disclosure 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.)

<table>
<thead>
<tr>
<th>Exceeds</th>
<th>Fully Successful</th>
<th>Does Not Meet</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
1. NAME (Last, First, M.I.)  
Citizen, Jane Q.

2. POSITION TITLE  
Supervisory Human Resources Specialist

3. AGENCY/DIVISION  
DA, OHCM, DHRD

4. PAY PLAN, SERIES, GRADE  
GS-201-15

5. START DATE  
10-01-08

6. END DATE  
09-30-09

7. PERFORMANCE ELEMENT  

<table>
<thead>
<tr>
<th>No.</th>
<th>Next Element</th>
<th>X</th>
<th>CRITICAL</th>
<th>NONCRITICAL</th>
</tr>
</thead>
</table>

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

Evaluation will be by the supervisor through (1) observation, (2) review of work product results, and (3) discussions with employee, direct reports, co-workers, customers and superiors. The supervisor is satisfied that the employee:

1. XXXXX
2. XXXXX
3. XXXXX
4. XXXXX

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.)

<table>
<thead>
<tr>
<th>Exceeds</th>
<th>Fully Successful</th>
<th>Does Not Meet</th>
</tr>
</thead>
</table>
1. NAME (Last, First, M.I.)
   Citizen, Jane Q.

2. POSITION TITLE
   Supervisory Human Resources Specialist

3. AGENCY/DIVISION
   DA, OHCM, DHRD

4. PAY PLAN, SERIES, GRADE
   GS-201-15

5. START DATE
   10-01-08

6. END DATE
   09-30-09

7. PERFORMANCE ELEMENT
<table>
<thead>
<tr>
<th>No.</th>
<th>Critical</th>
<th>Non-Critical</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>X</td>
<td></td>
</tr>
</tbody>
</table>

XXX

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

 Evaluation will be by the supervisor through (1) observation, (2) review of work product results, and (3) discussions with employee, direct reports, co-workers, customers and superiors. The supervisor is satisfied that the employee:

   1. XXXXX
   2. XXXXX
   3. XXXXX
   4. XXXXX

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.)

<table>
<thead>
<tr>
<th>Exceeds</th>
<th>Fully Successful</th>
<th>Does Not Meet</th>
</tr>
</thead>
</table>
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.)

<table>
<thead>
<tr>
<th>Employee's Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Supervisor's Name (Print)</td>
<td>Supervisor's Signature</td>
</tr>
<tr>
<td>Reviewer's Name (Print)</td>
<td>Reviewer's Signature</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Employee's Initials and Date</th>
<th>Supervisor's Initials and Date</th>
</tr>
</thead>
</table>

Check appropriate copy designation below.

( ) ORIGINAL-OFFICIAL PERSONNEL FOLDER/EMPLOYEE PERFORMANCE FILE COPY  ( ) EMPLOYEE COPY  ( ) SUPERVISOR'S COPY  ( ) AGENCY USE