

**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 decision 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)				

**16B Decision Table (check off Summary Rating in block 16A)**

Rating of Outstanding if 15E equals 15H.  
 Rating of Unacceptable <sup>1/</sup> 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 <sup>2/</sup> if 15G is greater than 15E, and no critical element is rated in 15D.  
 Rating of Fully Successful if none of the above apply.  
<sup>1/</sup> Unsatisfactory for SES  
<sup>2/</sup> Minimally Satisfactory for SES

15E Exceeds	15F Meets	15G Does Not Meet
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15H Enter total 15E + 15F + 15G = 15H	15H
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**16A Summary Rating (See Decision Table in 16B)**

- Outstanding
- Superior
- Fully Successful
- Marginal <sup>2/</sup>
- Unacceptable <sup>1/</sup>

<sup>1/</sup> Unsatisfactory for SES  
<sup>2/</sup> Minimally Satisfactory for SES

17 Employee (Check off appropriate box)		<input type="checkbox"/> Yes  <input type="checkbox"/> No
I have a copy of USDA and Agency regulations on employee responsibilities and conduct; I have discussed them with my supervisor and questions have been answered to my satisfaction.		
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
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21 Approving Official's or Funding Unit Manager's Signature (optional)	Date	22 FOR SES ONLY
		PLA to ES _____ Bonus Amount _____

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	<b>APPRAISAL PERIOD</b>	
Position Title			From	To

<b>2. PERFORMANCE ELEMENT</b>					
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

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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.)

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<b>4. ELEMENT RATING</b> (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

**ACCOMPLISHMENTS**

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**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

**PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET**

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

<b>2. PERFORMANCE ELEMENT</b>			<input type="checkbox"/> CRITICAL <input type="checkbox"/> NONCRITICAL
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.)		

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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.)

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<b>4. ELEMENT RATING</b> (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.)		<input type="checkbox"/> EXCEEDS	<input type="checkbox"/> FULLY SUCCESSFUL
		<input type="checkbox"/> DOES NOT MEET	

**ACCOMPLISHMENTS**

**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.  (Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)   CRITICAL  NONCRITICAL

CIVIL RIGHTS (Supervisory employee)

Work Description: Performs duties in a non-discriminatory manner which consistently demonstrates fairness, cooperation, and respect toward others and is in compliance with Equal Opportunity and Civil Rights policies.

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

Additional instructions for establishing standards: On a separate sheet of paper, supervisors shall list 1) the agency or unit goal(s) that the employee's work is aligned with and 2) the specific performance measures/results that are expected for this element.

- a. Performs duties in a non-discriminatory manner which consistently demonstrates fairness, cooperation, and respect toward employees, office visitors, and the public.
- b. Demonstrates compliance with Equal Opportunity and Civil Rights policies with the goal of working to employ and develop a diverse workforce and achieve a model workplace.

**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**



**PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORK SHEET**

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

**2. 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

SAFETY (Supervisory employee)

Work Description: Demonstrates a commitment to the agency's safety goals and objectives.

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

Additional instructions for establishing standards: On a separate sheet of paper, supervisors shall list 1) the agency or unit goal(s) that the employee's work is aligned with and 2) the specific performance measures/results that are expected for this element.

- a. Complies with all applicable safety and health standards, rules and regulations.
- b. Ensures that employees are instructed and trained in safe practices and methods of job performance.
- c. Develops, reviews, updates, and approves Job Hazard Analyses (JHAs) for work unit.
- d. Takes appropriate action to correct unsafe and unhealthy working conditions.
- e. Demonstrates safety leadership by personal involvement, provision of resources (staffing, training, equipment, and so forth), communicates safety expectations, and recognizes pro-active safety accomplishments.
- f. Ensures a plan is in process to ensure approval of work plans requiring identification and allocation of the resources necessary to ensure a safe work environment, employee protection needs, and safe work practices.
- g. Monitors the implementation and effectiveness of safety practices; investigates incidents involving injury or potential of injury to determine contributing factors to identify and implement corrective actions.
- h. In addition, the following standard is applicable for Forest Supervisors and Districts Rangers with fire program management responsibilities. Fire Management: For those units, organizations, and/or individuals, for which the employee is responsible, employee will ensure compliance with fire management safe operating practices, including consistent adherence to the Standard Fire Orders and mitigation of the Watch-Out Situations.

**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**

**PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET**

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

**2. 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

**TEAMWORK AND PARTNERSHIPS** (Supervisory employee)

Work Description: Develops and maintains effective working relationships with internal and external cooperators that foster a positive workplace atmosphere of cooperation, trust, creativity, and group unity.

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

Additional instructions for establishing standards: On a separate sheet of paper, supervisors shall list the specific performance measures/results that are expected for this element.

- a. Contributes to achieving work unit goals by demonstrating collaboration and flexibility; builds effective internal and external partnerships.
- b. Develops networks, builds alliances and finds common ground with a widening range of stakeholders.
- c. Effectively uses interpersonal skills when working with others and facilitates "win-win" situations.
- d. Treats everyone fairly and professionally; demonstrates respect for individual differences and promotes these values.
- e. Seeks out opportunities to exchange knowledge and skills with others, both internally and externally.
- f. Contributes to a positive team atmosphere of cooperation and trust while encouraging creative thinking and innovation.
- g. Manages and resolves conflicts and disagreements in a positive and constructive manner.

**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**