

**AD-2000**  
(09-27-00)

**United States Department of Agriculture**

**Performance Plan Agreement and Appraisal**

**Privacy Act Notice:** Submission of information is mandatory. Failure to provide information will prohibit data collection required by the Office of Personnel Management.

1. EMPLOYEE'S NAME		2. RATING PERIOD FROM: _____ TO: _____	
3. TITLE/SERIES/GRADE	4. AGENCY/DIVISION	5. SOCIAL SECURITY NUMBER	

**PART I - PERFORMANCE PLAN**

6. CRITICAL RESULTS (Check (ù) a minimum of 2/ maximum of 5 applicable elements.)

**Note:** The narrative statements describe the "Results Achieved" level of performance. Where applicable, quantity, quality, and timeliness are derived directly from appropriate agency regulations, policies, instructions, work plans or other guidelines. If no guidelines exist, further clarification will be provided by the rating official. These elements are to be used by employees and supervisors to develop performance plans. They may be used as is, with further clarification, or up to three new elements may be developed, as appropriate. All employees must have at least one job specific element (see two-level performance appraisal system policy part 10 A (2) (e) (v)).

Elements	Results Achieved	Results Not Achieved
<input type="checkbox"/> <b>Element #1 Execution of Duties:</b> 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. <b>Further clarification, as needed:</b>		
<input type="checkbox"/> <b>Element #2 Communications:</b> 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. <b>Further clarification, as needed:</b>		
<input type="checkbox"/> <b>Element #3 Supervision:</b> 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. <b>Further clarification, as needed:</b>		
<input type="checkbox"/> <b>Element #4 Team Leadership:</b> 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. <b>Further clarification, as needed:</b>		

Elements	Results Achieved	Results Not Achieved
<input type="checkbox"/> <b>Element #5 Program Management:</b> 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. <u>Further clarification, as needed:</u>		
<input type="checkbox"/> <b>Element #6 Special Projects:</b> 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. <u>Further clarification, as needed:</u>		
<input type="checkbox"/> <b>Element #7 Research and Analysis:</b> 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. <u>Further clarification, as needed:</u>		
<input type="checkbox"/> <b>Element #8 Customer Service:</b> 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. <u>Further clarification as needed:</u>		
<input type="checkbox"/> <b>Element #9 Equal Opportunity &amp; Civil Rights: (Mandatory for all supervisors and managers).</b> 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. <u>Further clarification, as needed:</u>		
<input type="checkbox"/> <b>Element #10 Equal Opportunity &amp; Civil Rights: (Mandatory for all non-supervisory employees).</b> 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. <u>Further clarification, as needed:</u>		
<input type="checkbox"/> <b>Element #11 Resource Management:</b> 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. <u>Further clarification, as needed:</u>		

Elements		Results Achieved	Results Not Achieved
<input type="checkbox"/> <b>Element #12 <u>Individual Contributions to the Team:</u></b> Ordinarily displays dependability and reliability. Promotes open communication. Contributes creative ideas and actively participates in team meetings resulting in added value to the team's products and services. When problems arise, explores causes and assists in resolving them. Works with team members to appropriately implement decisions. Is usually open-minded to new ideas and approaches in implementing the team's goals. Willing accepts and acts on constructive criticism. <b><u>Further clarification, as needed:</u></b>			
<input type="checkbox"/> <b>Element #13 -</b>			
<input type="checkbox"/> <b>Element #14 -</b>			
<input type="checkbox"/> <b>Element #15 -</b>			

## PART II - PROGRESS REVIEWS

**Note:** Regular and open communication between supervisors and employees is vitally important in any performance management system, and particularly in a two-tier system where all elements rated are critical elements. **Progress reviews should be held quarterly, but no less than semi-annually, and such reviews will be documented in writing.** Date of reviews, initials of employee and rating official and comments must be provided for each review. *(Provide any additional comments as an attachment).*

## DISCUSSION TOPICS FOR USE IN PLANNING PERFORMANCE AND CONDUCTING PROGRESS REVIEWS

- 1 Employee's performance on primary responsibilities/priorities in the past year.
  - <revise performance work plan for the coming year, as necessary
  - <relationship to overall work unit objectives
- 1 Employee's strengths and areas for growth
- 1 Barriers to effective work performance and job satisfaction
- 1 Employee's development *(over the past year; future needs for current job; long-term career goals and developmental needs to achieve them)*
- 1 Possible work process improvements
- 1 Whether employee continues to grow to meet future needs and demands of the changing environment
- 1 Employee's feedback/constructive suggestions for supervisor
- 1 Anything else the employee or supervisor would like to address

7. RATING OFFICIAL'S COMMENTS	
1st Quarter	
2nd Quarter	
3rd Quarter	
4th Quarter	

8. EMPLOYEE'S COMMENTS	
1st Quarter	
2nd Quarter	
3rd Quarter	
4th Quarter	

	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
Meeting Date				
Employee's Initials				
Rating Official's Initials				

**PART III - SUMMARY RATING**

RESULTS ACHIEVED
  RESULTS NOT ACHIEVED \*

\* A "Results not Achieved" rating requires explanation. Provide additional comments as an attachment.

**PART IV - CERTIFICATION**

Note: Employee's signature certifies review and discussion with the Rating Official. It does not necessarily mean that the employee concurs with the information on this form.

9. PERFORMANCE PLAN <i>(Sign when plan is established)</i>		10. SUMMARY RATING <i>(Sign when rating is completed)</i>	
9 a. Employee's Signature	9 b. Date	10 a. Employee's Signature	10 b. Date
9 c. Print Name of Rating Official		10 c. Print Name of Rating Official	
9 d. Signature of Rating Official	9 e. Date	10 d. Signature of Rating Official	10 e. Date
9 f. I have reviewed the standards of conduct and have had any questions answered by my satisfaction. <i>(Employee initial appropriate block below)</i> YES <input type="checkbox"/> NO <input type="checkbox"/>		10 f. Name of Reviewing Official <b><i>(required for summary rating of "Results Not Achieved")</i></b>	10 g. Date