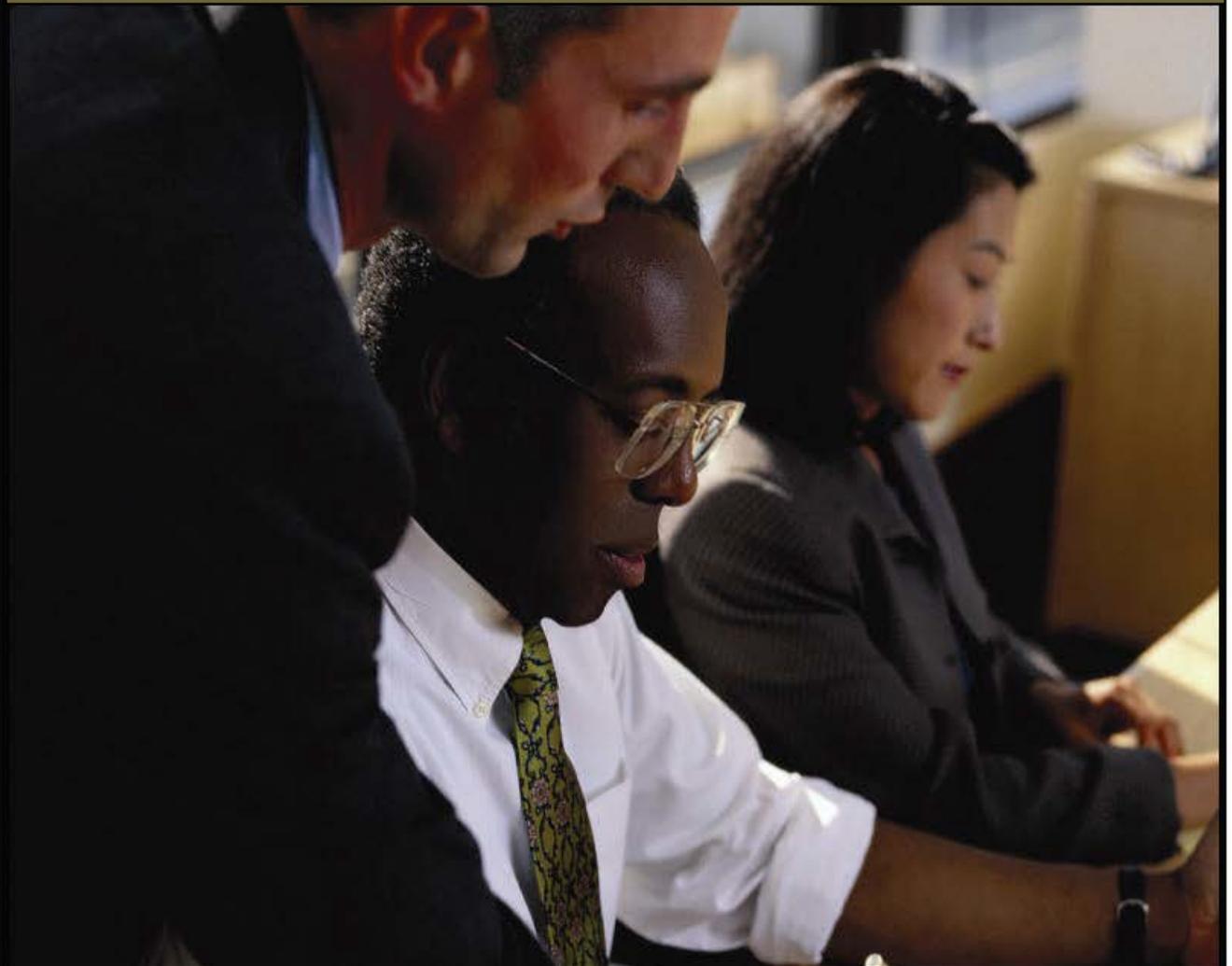




Food Safety and Inspection Service

Performance Management Handbook

A Guide for Managers/Supervisors
January 2017



Office of Management – Office of Human Resources – Human Resources
Management Division – Performance Management and Recruitment
Branch



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HIGHLIGHTS TO FSIS PERFORMANCE MANAGEMENT

- ✘ Seasoned supervisors and all employees must have performance management training at least every 2 years.
- ✘ Mission Results element for all employees is worth four (4) appraisal units.
- ✘ The Supervision element for supervisory employees is worth four (4) appraisal units.
- ✘ Employees are to receive their performance plans within 15 days of entering a new position.
- ✘ Interim ratings and advisory assessments must be completed within 15 days of position change.
- ✘ Interim ratings and advisory assessments should be considered in deriving the employee's rating of record at the end of the appraisal period, considering the nature of assignments and length of time covered by the interim rating(s) when determining the impact of the interim rating(s) on the element and summary ratings.
- ✘ Temporary promotions and details of fewer than 90 days require informal documented expectations and an advisory assessment.
- ✘ Temporary promotions and details of 90 or more days require a performance plan and an interim rating.
- ✘ Employees can be rated if under new supervisor for less than 90 days as long as the employee's standards remained the same. New supervisor must consider interim rating from former supervisor when evaluating the employee.
- ✘ Details of less than 90 days that are extended to 90 days or more require standards within 10 days of the extension being decided.
- ✘ August 16 is the last day to set standards for new, reassigned or promoted employees; resulting in an extended rating period of no later than November 14. Employees whose standards are not set by August 16 will have their rating cycle extended to the end of the next performance year.
- ✘ Supervisors who fail to meet the performance management deadlines in this Handbook preclude an element rating of Exceeds Fully Successful for the Supervision element. And, failure to meet the requirement in the Performance Management category altogether will result in an element rating of Does Not Meet Fully Successful.
- ✘ New supervisors must receive performance management training within 3 months of entering the new position and may not prepare ratings of record until after the training.

The Departmental Regulation (DR), Performance Management, 4040-430 can be accessed using the following link: http://www.ocio.usda.gov/sites/default/files/docs/2012/DR-4040-430_Performance_Mgmt_Final_2013_09_30.pdf.

PURPOSE OF PERFORMANCE MANAGEMENT HANDBOOK

The Performance Management Handbook provides guidance and procedural information for successfully implementing the regulations outlined in 5 CFR 430 and DR 4040-430. **The guidance in this Handbook covers all FSIS employees except: (1) Senior Executive Service (SES) members; (2) Senior Level (SL) employees; (3) Employees under excepted appointments on intermittent work schedules appointed in Schedule A of 5 CFR 213, Excepted Service; (4) Employees under temporary appointments for less than one year, who agree to serve without a performance evaluation, and who will not be considered for reappointments; and (5) Student appointments.** This Handbook addresses the five phases (i.e., planning, monitoring, developing, evaluating and recognizing) in the performance management cycle that involve:

- Planning work in advance so that expectations and goals can be set;
- Monitoring progress and performance continually, and providing ongoing feedback;
- Developing the employee's ability to perform through training and work assignments;
- Evaluating and rating to summarize performance; and
- Recognizing and rewarding good performance.

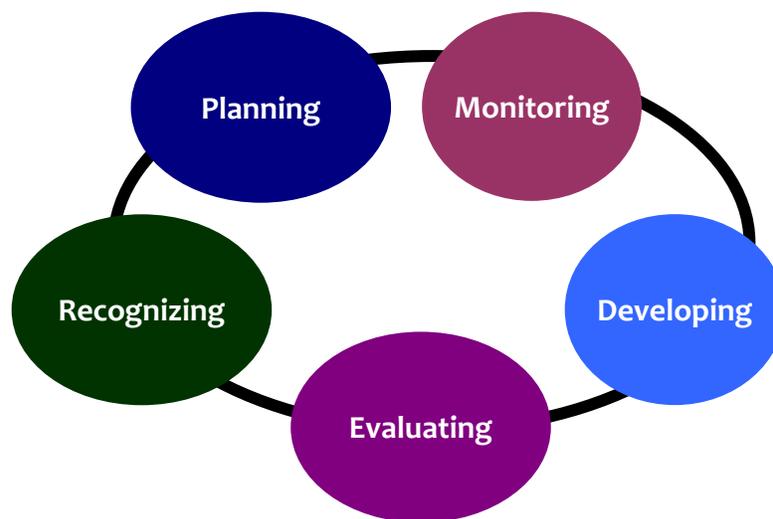
Additionally, this Handbook provides important guidance on date and document requirements for supervisors during the performance appraisal process and includes helpful documents in the appendices.

For additional information or assistance on the guidance provided in this handbook, please contact the Performance Management and Recruitment Branch at PerformanceManagement@fsis.usda.gov.

INTRODUCTION TO PERFORMANCE MANAGEMENT

The FSIS performance management system promotes a results-oriented performance culture which contributes to individual and organizational effectiveness, and supports FSIS's mission and goals. The performance management process is used to communicate organizational goals and objectives, reinforce individual accountability for meeting those goals, and track and evaluate individual and organizational performance results.

Employee performance management includes: **planning** work and setting expectations, continually **monitoring** performance, **developing** the capacity to perform, **evaluating** performance in a summary fashion, and **recognizing** good performance.



The success of the FSIS performance management system lies with the individuals who work within the system. Clearly communicating expectations is the foundation for effective performance management; this is a fundamental leadership responsibility. Ongoing communication between the supervisor and the employee is an essential element of effective performance management. Our performance management system is designed to be a communicative, collaborative process. Get your employees involved and make sure you are involved in your own performance management.

PERFORMANCE MANAGEMENT TIMELINE



Timeline

Date(s)	Event	Responsible Individual/Office
NLT October 30	Meet and discuss (active participation) performance plan.	Rating official/employee
October 30	Last day for standards to be in-place.	Rating official
March 1-31	Complete mid-year progress review (active participation).	Rating official/employee
NLT June 30	Last day to make changes/revise existing performance plans for the current rating cycle.	Rating official
August 16	Last day standards can be set and extended for 90 days.	Rating official
September	Voluntary completion of accomplishment report.	Employee
September 30	Last day for work accomplishments to be considered for the current rating cycle.	Rating official/employee
October	Review employee's accomplishment report and prepare rating and justification for each element rating.	Rating/reviewing official
October	Rating is completed and reviewed prior to presentation to employee.	Rating/reviewing official
NLT October 30	Rating is discussed with and presented to employee as soon as practicable after the end of the rating cycle.	Rating official/employee
November 14	Last possible day of a rating cycle for employees on an extended performance period to meet the 90 day requirement.	Rating official

I. PLANNING work and setting performance standards and communicating expectations.

Performance planning is a process to identify organizational and individual goals and determine how to reach those goals. Involving employees in this process is essential to the organization because it allows them to understand what, why, and how to accomplish these goals. More importantly, performance planning shows employees their value to the organization. Setting goals provides individual direction and helps clarify expectations for employees within the organization.

Alignment. Aligning employee performance plans with FSIS's strategic goals and management initiatives is critical to the Agency accomplishing its goals. It is important that employees' performance elements and standards are written clearly so that their responsibilities and what they are accountable for is understood.

Plans. The Performance Plan communicates to the employee what is expected on the job. It must include all critical elements, non-critical elements if used, and the performance standards and measures on which the employee will be evaluated.

The plan should be flexible for changing program objectives and work requirements. Any significant changes in organizational goals that will impact an employee's performance plan should be duly noted, and the employee must be informed and given an opportunity to discuss the revisions to assure they can be met.

"In an effective organization, work is planned out in advance. Planning means setting performance expectations and goals for groups and individuals to channel their efforts toward achieving organizational objectives. Getting employees involved in the planning process will help them understand the goals of the organization, what needs to be done, why it needs to be done, and how well it should be done."

OPM.GOV, Performance Management

Elements. An employee's performance plan must have a minimum of three elements. FSIS has developed standardized performance plans. The elements are based on the employee's occupational series or supervisory status (except SES/SL).

Critical Element. An element of a performance plan which covers an aspect of a job for which an employee can be held individually accountable, and that must be done successfully in order for the organization to complete its mission. It is of such importance that failing to attain the Fully Successful performance level of the element would result in a determination that an employee's summary rating would be Unacceptable.

The Mission Results element for all employees is worth four (4) appraisal points. For supervisors, the Supervision element is worth four (4) appraisal points. All other critical elements are worth two (2) appraisal points.

Non-critical Elements. An element of a performance plan which is related to a work assignment or responsibility that is important to the successful achievement of a position's performance expectations, but not of such importance that failing to attain the Fully Successful performance level of the element would result in a determination that an employee's summary rating would be Unacceptable. Non-critical elements are weighted with a one (1).

Elements.

- **All Employees** – Mission Results (critical) and Fostering Customer Service, Collaboration, and Partnerships (critical or non-critical).
- **Supervisors** – Supervision (critical) and Equal Opportunity and Civil Rights (critical).
- **Non-supervisory** – Communication (critical).
- **Non-supervisory non-bargaining unit “Administrative” optional and “Scientific” mandatory** - Research and Analytical Thinking (critical)

Customer Perspective. To achieve the best in business performance, incorporate reasonable customer needs and wants consistent with FSIS's mission and take them into account as part of performance planning. All performance plans must include a customer perspective. For example, effective customer relations, service delivery, resolution of customer complaints.



Employee Perspective. To focus on the performance of the key internal processes that drive the organization, including employee development and retention, incorporate an employee perspective into the supervisor's performance plan. Adequate investment in these areas is critical to long-term success. All supervisory performance plans must include an employee perspective. For example, work must be assigned in a fair and effective manner, guidance to subordinate staff must be provided in a timely manner, performance feedback must be communicated to the employee.

Standards. The performance standard is the expression of objective criteria to define how well an employee must perform on the associated element in order to be appraised at a specific level. **Performance Standards must include credible measures of performance that are observable, measurable and/or demonstrable** (see Appendix 8 - Developing Performance Standards and Measures).

Absolute standards, which allow for no errors, are prohibited unless a single failure could result in loss of life, injury, breach of national security, or great monetary loss.

Final authority for establishing performance measures for the Mission Results element rests with rating officials. The supervisor/manager must ensure consistency, objectivity, and equity in the development of performance measures and the appraisal of performance against those measures.

Performance standards are written for the Fully Successful level and Exceeds Fully Successful level for each element. The absence of written standards at the Does Not Meet Fully Successful level does not preclude the assignment of an element rating at that level.

- **Exceeds Fully Successful.**
Performance in an element that, overall, exceeds the performance standards established for the Fully Successful level.
- **Meets Fully Successful.**
Performance in an element that meets the standards established for the Fully Successful level, or exceeds the Fully Successful level in only some aspects. The employee is completing the work assigned at the expected level of performance.
- **Does Not Meet Fully Successful.**
Performance in an element that falls below the standards established at the Fully Successful level.

The documentation on the Form AD-435 (end of year rating narratives) must clearly show how the employee's accomplishments and contributions, or failed performance, support the element rating.

Measures. **Performance measures are quantitative or qualitative assessments of an employee's work results, which appropriately address outputs or outcomes (products or services) for which the employee is responsible. Activities or job duties themselves are not measures.** Measures should balance organizational results with the perspectives of stakeholders, including customers and employees.

Measures must allow for a range of performance, and must allow for the means to attain the Exceeds Fully Successful element rating.

To develop specific measures, the rating official must determine which of the following measure(s) are important for a given element:

- **Quantity** addresses how much work the employee or work unit is expected to produce. Measures are expressed as a number of products or services expected, or as a general result to achieve.
- **Quality** addresses how well the employee or work unit is expected to perform the work and/or the accuracy or effectiveness of the final product. It refers to accuracy, appearance, usefulness, or effectiveness. Measures can include error rates and customer satisfaction rates.

- **Timeframes** address how quickly, when, or by what date the employee or work unit is expected to produce the work.
- **Cost-Effectiveness** addresses dollar savings or cost control. These should address cost-effectiveness on specific resource levels (money, personnel, or time) that can generally be documented and measured. It can include such aspects of performance as maintaining or reducing unit costs, reducing the time it takes to produce or provide a product or service, or reducing waste.
- **Manner of performance** addresses employee performance related to customer service.

Employee Participation. Employees should be an active participant in the performance planning process. When establishing the performance plan, discussions should occur between the supervisor and employee regarding work products, performance goals, ideas for improvement, etc. The joint participation in developing the performance objectives and measures will benefit both the supervisor and employee. Performance planning then becomes a meaningful process instead of an administrative process. Note: Not all FSIS Program Areas and/or positions allow employee involvement in performance plan development.

Also essential to the Planning process is the development of an Individual Development Plan (IDP) that provides long- and short-term goals for the employee. See the “Developing” section for information and guidance on IDPs.

Deadlines for Communicating Expectations. Individual performance plans must be established and communicated to the employee within 30 days of the beginning of the performance year or within 15 days of when the employee is hired or assigned to a different position with substantially different duties and responsibilities (for example, promotion, reassignment or a detail or temporary promotion for 90 or more days).

If a temporary promotion of fewer than 90 days is extended to 90 days or more, a performance plan must be given to the employee within 10 days of when the extension is decided. This will ensure the supervisor of the detail is compliant with the requirement to provide an interim rating for appraisal periods of 90 or more days.

Performance expectations must be communicated to the employee before he/she can be held accountable for them.

Documenting Elements and Standards. Rating Officials are required to utilize the Performance Rating Tool (PRT) to create performance plans.

All performance elements and standards must be included on the appropriate Form AD-435 appraisal form, which are in the PRT.

II. MONITORING performance and providing continuous feedback throughout the performance appraisal period.

Effective and timely feedback that occurs throughout the performance appraisal period is an essential component of successful performance management. Employees should know in a timely manner, how well they are performing and if there are areas that need improvement.

Developing an effective feedback loop between the supervisor, the employee, and the customer(s) will improve communication and provide insight for achieving organizational goals.

During the monitoring process, it is important for the supervisor to ensure the employee understands the connection between their normal duties and the achievement of desired organizational expectations, goals, and outcomes.

The supervisor is responsible for:

- Monitoring employee performance against performance standards throughout the rating period;
- Providing on-going feedback to the employee about the level and quality of performance related to their performance plan;
- Providing feedback in a timely manner (informing an employee when they need to improve their performance will help to correct the problem before it is too late and

providing feedback when they reach or exceed a goal will be even more rewarding than just at the end of the appraisal period);

- Providing feedback in a manner that will best improve performance (an employee will likely respond better to feedback presented in a positive manner which reinforces what the employee did well and identifies how they can improve what they did not do well); and
- Conducting at least one formal progress review during the appraisal period.

The employee is responsible for:

- Participating in the development of performance plans and measurable standards (when the program area allows employee involvement in the development of the plan);
- Assuring they have a clear understanding of their supervisor's expectations and requesting clarification when necessary;
- Communicating with their supervisor throughout the appraisal period;
- Participating in discussions of individual performance;
- Assisting in identifying training needs to enhance performance;
- Listening to and considering suggestions their supervisor proposes;
- Providing input on accomplishments;
- Improving those aspects of performance identified as needing improvement; and
- Managing performance to achieve expectations and bringing to the supervisor's attention issues that may affect achievement of standards.

Progress Review. A formal progress review, mid-year review, is required at the midpoint of the performance year. The employee and rating official initial and date the appropriate blocks on the Form AD-435. Additional progress reviews, while not required, are encouraged throughout the rating year.

Completion of progress reviews must be documented by the Rating Official in the PRT.

The purpose of the progress review is to review an employee's current performance and ensure that performance elements and standards are still appropriate and relevant to his/her position. Any significant changes in an employee's duties, responsibilities, or work assignments should be reflected accurately in the performance standards.



Sources of feedback can include observations by supervisors, measurement systems, feedback from peers, and input from customers. Some issues that may be discussed in a progress review are:

- Communication
- Training needs (informal/formal)
- Skills and knowledge level for successful performance
- Status of work (challenging/fulfilling)
- Delegation of assignments

- Changes in organizational goals or priorities
- Getting/giving regular feedback

If there are areas of performance that need improvement, inform the employee and discuss solutions that will help him/her to improve performance. It is important to contact the Labor and Employee Relations Division (LERD) for additional advice and guidance when addressing performance problems.

Personnel Decisions (Other Than Awards) Affected by Performance Appraisals.

Within Grade Increase (WGI). To grant or withhold a WGI is based upon an employee's performance rating within the appropriate WGI waiting period. An eligible employee must have a Fully Successful or better to receive a WGI.

Once a WGI has been denied, a supervisor has the flexibility to approve a WGI at any time thereafter once the employee is determined to be performing at an acceptable level of competence.

Promotions and Other Competitive Selections. Performance ratings are considered when evaluating an employee for promotion, reassignment to positions with greater promotion potential, and for training under competitive procedures.

An employee cannot receive a career promotion unless their current rating of record is Fully Successful or higher.

Training and Development. The performance appraisal process provides useful information to determine the employee's training and development needs.

Reduction In Force (RIF). Ratings of record are used to establish service credit for RIF purposes.

Reassignment, Demotion, or Removal for Unacceptable Performance. The supervisor must assist employees with improving a less than Fully Successful performance rating. Assistance can include, but is not limited to: formal training, on the job training, counseling, and closer supervision.

If an employee's performance is unacceptable in one or more critical element at any time during the performance appraisal cycle, the supervisor must:

- a. Contact LERD for instructions and guidance to place the employee on a Performance Improvement Plan (PIP).
- b. Inform the employee in writing of the standard(s) or requirement(s) for Fully Successful performance.
- c. Provide an opportunity period to demonstrate Fully Successful performance.

Management can reduce grade, remove, or reassign employees who continue to have unacceptable performance. At any time during the appraisal period, an agency can make the determination that an employee's performance is unacceptable in one or more critical element. This determination is sufficient to begin the process that could lead to a performance-based action if the employee's performance fails to improve to an acceptable level.

III. DEVELOPING the employee's ability to perform through training and work assignments.

Developing performance pertains to increasing an employee's capacity to perform through formal and informal training; rotational assignments that introduce new skills, higher levels of quality or quantity, higher levels or expanded areas of responsibility; improving work processes; and other appropriate methods.

Developing performance is an ongoing part of the performance management process. Meaningful performance-related discussions assist the employee by reinforcing strengths and addressing weaknesses. Employee developmental opportunities may include classroom or web based training, on-the-job training, mentoring, special assignments, details/reassignments, participating in professional and technical organizations and process improvement teams.

Individual Development Plan (IDP). At the Agency level an IDP is not required, however it is recommended. At the beginning of each performance appraisal period, the supervisor and employee should discuss the employee's IDP together. This allows the employee to understand what developmental and training opportunities may be available for the performance year. Long- and short-term goals should also be included to assist in reinforcing strengths, improving good performance, and correcting performance deficiencies. An employee's development can be either formal or informal.

An IDP is a 3-step process:

Self-Assessment. The employee should review prior job experience, training, education, and other developmental experiences to provide concrete information regarding current strengths and skills. The employee should assess their personal career goals and determine both short- and long-term steps toward achieving the goals.

The employee should identify specific opportunities for developmental experiences. The employee may seek out career counseling from a variety of sources including peers, current and past supervisors, and the Agency's training staff.

Discussions and Collaboration. To obtain mutual commitment between the supervisor and the employee, open discussion and collaboration is necessary. The employee and supervisor mutually agree to discuss the results of the self-assessment and the draft IDP prepared by the employee. The discussion includes perspectives of organizational needs, job requirements, the employee's strengths and developmental needs, financial limitations, timing, and learning opportunities that the supervisor will actively support.

The supervisor assists the employee by giving open and constructive feedback, identifying challenging assignments, and discussing career paths in the organization and reasonable timeframes for meeting the objectives of the IDP.

The supervisor and employee sign a completed IDP based on mutual agreement or final decisions of the supervisor.

Implementation and Follow-up. The employee ensures that any necessary procurement or training request forms are prepared and monitors work that is assigned to best accomplish the goals of the IDP. The employee reports on completion of items in the IDP. The supervisor and the employee meet periodically throughout the year to review and update the IDP.

Informal Development. One of the best strategies to improving individual performance throughout the performance year is informal development such as special projects and details/reassignments. Usually, at no cost, it has big payoffs in terms of organizational performance. Also, as part of a "performance improvement period," training and/or development may become a critical component of demonstrating assistance to employees who are not meeting performance requirements.

"In an effective organization, employee developmental needs are evaluated and addressed. Developing in this instance means increasing the capacity to perform through training, giving assignments that introduce new skills or higher levels of responsibility, improving work processes, or other methods. Providing employees with training and developmental opportunities encourages good performance, strengthens job-related skills and competencies, and helps employees keep up with changes in the workplace, such as the introduction of new technology."

OPM.GOV, Performance Management

IV. EVALUATING employee performance and establishing a summary rating of record.

The rating of record is the formal evaluation and summary rating of an employee's performance as compared to the elements and standards for performance over the entire appraisal period.

At the end of the appraisal period, the employee's rating official, with consideration of feedback provided by the employee and customers, as appropriate, must evaluate the employee's accomplishments and issue a rating of record.

The rating official may assign a rating of record as long as there is supporting information and the employee has been under an established performance plan for the minimum appraisal period of 90 or more days. Ratings must be based on actual employee performance for the given appraisal period.

The 3-tier element rating includes the following (definitions of each level on Page 7):

- Exceeds Fully Successful
- Meets Fully Successful
- Does Not Meet Fully Successful

The following appraisal units are assigned on Form AD-435:

- Mission Results element: four (4) appraisal units
- Supervision element: four (4) appraisal units
- Other critical elements: two (2) appraisal units
- Non-critical elements: one (1) appraisal unit

The PRT calculates the summary rating based on the element ratings. The 5-tier summary ratings of record include the following:

Outstanding – A level of performance for the appraisal period that shows exceptional contributions to the accomplishment of the Department and Agency mission; a demonstrated mastery of required technical skills and a thorough understanding of the mission of the organization; a level of effort which has had a fundamental impact on the completion of program objectives; and an exceptional quality and quantity of work produced significantly ahead of established schedules or deadlines and with very little or no supervision.

Superior – A level which demonstrates a comprehensive understanding of the objectives of the job and the procedures for accomplishing them and the employee produces a very high quality and quantity of work ahead of established schedules or deadlines and with minimal supervision.

Fully Successful – A level which shows quality work in support of the Department and Agency mission; the employee effectively applied technical skills and organizational knowledge to successfully complete work products; the employee successfully carried out regularly assigned duties as well as any special assignments; the employee produced the expected quantity and/or quality of work and met deadlines or schedules for completion of work.

Minimally Satisfactory – The employee's work products frequently need revision or adjustments, often requiring assistance from the supervisor and/or peers. Organizational goals and objectives are only met because of close supervision. Note: If a performance plan does not contain any non-critical elements, this summary level will not be applicable.

Unacceptable – At this level, the employee's performance does not meet the established performance standards in one or more critical element. When performance is unacceptable, corrective action must be taken consistent with required procedures, i.e., employee must be placed on a PIP when the supervisor first notices that performance in a critical element is below the Fully Successful level. A timely, formal rating of record must be given to an employee after the end of an appraisal period. The fact that an employee may be currently serving a PIP will not preclude a supervisor from issuing a formal rating of record. There is no requirement that an employee complete a PIP before receiving a rating of Unacceptable.

Supervisor should consult with LERD for advice and guidance when addressing performance problems

Documenting Ratings.

Rating of Record – The formal evaluation and summary rating of an employee's performance as compared to the elements and standards for performance over the entire appraisal period (usually one year, but no fewer than 90 days on the performance plan). A summary rating is valid and becomes a rating of record when the rating official and reviewing official sign the rating of record and issue it to the employee. The rating official may not communicate the rating of record to the employee until official.

An employee's performance rating may be changed by the reviewing official. Prior to any change, an attempt should be made to settle any differences between the rating and the reviewing officials. Changes made must be consistent with the performance standards and observable performance.

Meaningful Distinctions – Rating officials are responsible for ensuring there are meaningful distinctions in ratings of record within the organizational unit, such that higher performing employees receive higher ratings than lower performing employees in the same unit.

Reviewing officials are responsible for ensuring there are consistent, meaningful distinctions in ratings of record throughout the organizational units which are within their span of control.

Forced distribution – Placing limitations on the use of particular summary appraisal levels is prohibited when doing ratings of record, i.e., a rating official should not be limited in the number of employees rated at a given level.

Advisory Assessment – An informal, unofficial written record of an employee's performance while on assignment to another supervisor or program area for a period of fewer than 90 days. Advisory assessments must be based on clearly communicated and documented expectations, but not necessarily a formal performance plan. Advisory assessments may be considered in assigning an interim rating or a rating of record and must be provided to the rating official of record in writing.

Interim Rating – A written appraisal of an employee's performance conducted before the end of the appraisal period. Interim ratings are required for situations such as:

- change in supervisor
- promotion to a new position
- reassignment
- details and temporary promotions of 90 or more days.

Interim ratings must be based on expectations formally communicated in a performance plan.

All interim ratings and advisory assessments should be completed within 15 days, and should be considered in deriving the employee's rating of record at the end of the appraisal period. The rating official, in consultation with the reviewing official, should consider the nature of assignments and the length of time covered by the interim rating(s) and advisory assessment(s) when determining the impact on the element and summary ratings.

Interim ratings are required when an employee changes positions after having been under a performance plan in the original position for at least 90 days.

When a supervisor changes positions, he or she must provide interim ratings for the previous subordinate employees if they were on plans at least 90 days before the change.

Mid-year Review – A formal progress review is required for every employee. It is conducted halfway through the performance year, or another appraisal period of at least 180 days. It is intended to provide a “check-in” to ensure that performance elements and standards are appropriate, and to advise an employee of current performance. Regular and recurring feedback is critical to effectively managing employee performance, and there should never be a period of longer than six months between formal conversations about expectations and progress toward those goals.

If the appraisal period is fewer than 180 days (such as when an employee joins the agency after March 30), a formal mid-year progress review is not required.

Details and Temporary Promotions.

Performance elements and standards must be established for employees who are detailed or temporarily promoted for 90 days or more to other positions in FSIS or USDA.

The supervisor of the detail or temporary promotion of 90 days or more shall: prepare elements and standards; communicate them in writing to the employee within 15 days of the start of the assignment; and at the end of the assignment prepare an interim rating within 15 days. The interim rating is provided to the employee and a copy is sent to the employee's supervisor of record.

When details or temporary promotions are less than 90 days in duration, formal performance elements and standards are not required, but the performance expectations must still be clearly communicated and documented. An advisory assessment must be provided to the employee and their supervisor of record within 15 days of the end of the assignment. When employees are detailed outside the Department, the employing agency must make a reasonable effort to obtain appraisal information from the outside organization.

Change in Supervisors. When an employee has a performance plan in place and works in the same position under different supervisors during the appraisal period, each supervisor of 90 days or more must prepare an interim rating and forward it to the employee's new rating official for appropriate consideration in the final rating of record.

Employees can be rated if under new a supervisor for less than 90 days as long as the employee's standards remained the same.

New Supervisors may serve as rating officials provided the following:

- The subordinate employees have been under established performance plans for the minimum appraisal period of 90 days;
- The supervisor has had formal training in assessing and rating performance; and
- If the supervisor has been in the supervisory role for fewer than 90 days, there is at least one interim rating to consider in the rating of record.

If the above provisions are not in place, the second-level supervisor will serve as the rating official, and the third-level supervisor will serve as the reviewing official.

Acting Supervisors may serve as rating and/or reviewing officials provided the following:

- The employees have been under established performance plans for the minimum appraisal period of 90 days;
- The acting supervisor is officially designated as acting for a period of at least 60 days, either by detail or temporary promotion;
- The acting supervisor has had formal training in assessing and rating performance, and;
- If the acting supervisor has been in the acting supervisory role for fewer than 90 days, there is at least one interim rating to consider in the rating of record.

If the above provisions are not in place, the second-level supervisor will serve as the rating official and the third-level supervisor will serve as the reviewing official.

Vacant Supervisory Position. If a supervisory position is unencumbered at the end of the performance year, the second-level supervisor will serve as the rating official, and the third-level supervisor will serve as the reviewing official.

Appraising Employees on Approved Leave. An agency may not hold an employee accountable for work that does not get done because of an absence for which the employee is on any type of approved leave.

Collateral Duties. Collateral duties (such as Equal Employment Opportunity Advisory Committee or Special Emphasis Program Manager responsibilities) can be included in the Fostering Customer Service, Collaboration, and Partnerships element. The official supervising the collateral duties is responsible for developing standards and providing an advisory rating to the supervisor of record. The employee's day-to-day supervisor decides whether these duties have constituted a significant portion (generally equivalent to 1 month's work or 10 percent of official time) of the employee's time and should be included as part of the summary rating. Collateral duties cannot be designated as critical elements.

Employee Certification. The rating official must review the approved rating of record with the employee. The employee's signature on Form AD-435 will serve as certification that such a discussion took place, but does not necessarily signify that the employee agrees with the rating. If this discussion cannot take place or the employee refused to sign Form AD-435, the supervisory must document the reason for not having the employee's signature on Form AD-435.

Inability to Rate an Employee. When a rating of record cannot be prepared at the time specified, the appraisal period shall be extended, such as when the employee has not met the 90 day minimum rating period by the end of the performance year, provided the 90 day requirement is met by November 14th.

August 16 is the last day to set standards for new, reassigned or promoted employees; resulting in an extended rating period of no later than November 14. Employees whose standards are not set by August 16 will have their rating cycle extended to the end of the next performance year.

Once the conditions necessary to complete a rating of record have been met, a rating of record shall be prepared as soon as is practicable, but not more than 15 days after the end of the extended appraisal period, or 30 days after the end of the normal performance year, whichever is later.

Grievances.

Non-Bargaining Unit Employees may challenge the rating of record or a lack of a rating under the terms of the administrative grievance procedure, as appropriate.

Bargaining Unit Employees may challenge either the rating of record or a lack of a rating under the terms of the applicable negotiated grievance procedures, as appropriate.

V. RECOGNIZING and rewarding good performance.

Performance Awards must be linked to a rating of record based upon results achieved and documented on the Form AD-435.

Performance-based awards are intended to recognize sustained levels of successful performance over the course of the rating period. Employees who receive a rating of record of Superior and Outstanding are eligible for a performance-based award.

An employee may be granted no more than one performance-based award for the same appraisal cycle.

The granting of a performance-based award is discretionary on the part of management, not an employee entitlement unless provided for in accordance with the terms of a collective bargaining agreement.

“In an effective organization, rewards are used well. Rewarding means recognizing employees, individually and as members of groups, for their performance and acknowledging their contributions to the agency's mission. A basic principle of effective management is that all behavior is controlled by its consequences. Those consequences can and should be both formal and informal and both positive and negative.”

OPM.GOV, Performance Management

APPENDIX 1. DEFINITIONS

Absolute Standards. Performance standards which allow for no errors. These types of standards may be considered invalid by the Merit Systems Protection Boards (MSPB) unless a single failure could result in loss of life, injury, breach of national security, or great monetary loss.

Advisory Assessment. An informal, unofficial written record of an employee's performance while on assignment to another supervisor or program area for a period of fewer than 90 days. Advisory assessments must be based on clearly communicated and documented expectations, which will serve as an addendum to the employee's formal plan, but do not require a separate formal performance plan. Any information which may be considered in assigning an interim rating or a rating of record must be provided to the rating official of record in writing.

Alignment. Employee performance plans align with and are designed to support organizational goals. Alignment should be clear and transparent so that employees can see how their performance plans support organization goal achievement.

Appraisal Period. The period of time covered by a specific performance plan, during which performance will be evaluated against elements and standards, and for which a rating of record will be prepared. The minimum appraisal period is 90 days. The full appraisal period is October 1 – September 30 (also referred to as the Performance Year).

Appraisal Unit. The unit of measure used to establish the relative weighted value of critical and non-critical elements.

Balanced Measures. An approach to performance management that balances organizational results with the perspectives of stakeholders, including customers and employees.

Competency. The measurable or observable knowledge, skills, abilities, behaviors and other characteristics an individual needs to perform a particular job or job function successfully.

Credible Measures. Performance measures that are observable, measurable and/or demonstrable.

Critical Element. An element of a performance plan which covers an aspect of a job for which an employee can be held individually accountable, and that must be done successfully in order for the organization to complete its mission. It is of such importance that failing to attain the Fully Successful level of the element would result in a determination that an employee's summary rating would be Unacceptable. Such elements must only be used to measure performance at the individual level, such that the critical element describes performance that is reasonably measured and controlled at the individual employee's level.

Element Rating. The level of performance assigned to a specific performance element, as measured by a comparison of accomplishments to the performance standards established for that element. The three possible element ratings are Meets Fully Successful, Exceeds Fully Successful and Does Not Meet Fully Successful.

Interim Rating. A written appraisal of an employee's performance conducted before the end of the appraisal period. Interim ratings are required for situations such as changes in supervisors, promotions, significant changes in responsibilities, and details and temporary promotions of 90 days or more. Interim ratings must be based on expectations formally communicated in a performance plan and provided to the rating official of record for consideration in assigning a rating of record.

Mid-year Review. A required progress review conducted halfway through the performance year, or at the midpoint of another appraisal period of at least 180 days, to ensure that performance elements and standards are appropriate, and to advise an employee of current performance.

Minimum Appraisal Period. The minimum 90 day period of performance that must be completed on a performance plan before a rating of record may be prepared. Interim ratings may be based on 90 or more days of performance, and advisory assessments may be based on fewer than 90 days of performance on a detail or temporary promotion.

Minimally Satisfactory Performance. The level of performance below Fully Successful but above Unacceptable that is sufficient to be retained in the position. It is the summary rating which is assigned when performance in a non-critical element is rated as Does Not Meet Fully Successful.

Mission Results Element. A mandatory performance element which aligns performance expectations and outcomes directly to USDA and FSIS mission, goals, initiatives and objectives.

Non-critical Element. An element of a performance plan which is related to a work assignment or responsibility that is important to the successful achievement of a position's performance expectations, but not of such importance that failing to attain the Meets Fully Successful performance level of the element would result in a determination that an employee's summary rating would be Unacceptable. A non-critical element may reflect group or team expectations.

Performance. The accomplishment of work described in the employee's performance plan.

Performance Goals. Specific goals assigned to an employee by the rating official that establish the results that are to be achieved. These are most often documented by describing the required outcome, results and associated performance measures.

Performance Improvement Plan (PIP). A written plan that provides an employee an opportunity to demonstrate the Meets Fully Successful level of performance in one or more critical elements previously rated as Does Not Meet Fully Successful.

Performance Measures. Quantitative or qualitative assessments of an employee's work results, which appropriately address outputs or outcomes (products or services for which the employee is responsible). General measures of performance include quality, quantity, timeliness, cost effectiveness and manner of performance. Activities or job duties themselves are not measures.

Performance Plan. The written document that communicates to the employee what is expected on the job. A plan must include all critical elements, non-critical elements, and the performance standards and measures on which the employee will be evaluated.

Performance Rating Tool (PRT). An online reporting system that provides a user friendly, web-based interface for Rating and Reviewing Officials to create performance plans, document performance element ratings of employees, create summary level ratings, submit performance appraisal data for review, and track the status of employee performance appraisal information.

Performance Standard. The expression of objective criteria to define how well an employee has to perform on the associated element in order to be appraised at a specific level. Standards must be attainable and verifiable. Performance standards must include credible performance measures.

Performance Year. The full 12 month appraisal period from October 1 – September 30.

Progress Review. Formal communication with the employee about progress in meeting the expectations documented in the performance standard for critical and non-crucial elements. The mid-year review is the one required progress review during the performance year.

Rating-Based Performance Award. A performance-based award granted to an employee on the basis of a current rating of record of Superior or Outstanding. Rating-based awards are granted in accordance with USDA/FSIS's employee recognition policy.

Rating Official. A representative of management, generally the employee's immediate supervisor, who establishes the employee's performance plan; provides progress reviews; and prepares an interim rating, as applicable. The rating official prepares the final rating of record at the end of the appraisal period.

Rating of Record. The formal evaluation and summary rating of an employee's performance as compared to the elements and standards for performance over the entire appraisal period.

Results. Measurable employee accomplishments, activities and demonstrated competencies linked to organizational and job-specific missions, goals, products and services, which take the form of an output or outcome.

Reviewing Official. A representative of management, generally the employee's second-level supervisor, and in all cases at least one organizational level above the rating official, who reviews and approves the performance plan, interim rating(s) and rating of record. The reviewing official is also responsible for ensuring consistency among similar positions and alignment with organizational goals.

Summary Rating. The overall rating assigned to the summarization of the element ratings of employee performance. The five possible summary ratings are Outstanding, Superior, Fully Successful, Minimally Satisfactory, and Unacceptable.

Unacceptable. An employee's performance that fails to meet established performance standards in one or more critical elements of the employee's position.

APPENDIX 2. PERFORMANCE EVALUATION MODEL

The standardized performance evaluation is based on occupational series and supervisory status. The model consists of critical and non-critical elements and standards. The following six performance elements are to be applied agency wide:

1. **Mission Results** (*Mandatory critical element for FSIS employees*). This element measures the achievement of program strategic goals and initiatives within the primary functional areas of responsibility and the employee's contributions to the overall accomplishment of FSIS strategic goals and objectives. The supervisor is to set specific measures for the employee for this element.
2. **Supervision** (*Mandatory critical element for FSIS supervisory employees*). This element measures the achievement of program strategic goals and initiatives within the primary functional areas of supervision and accountability. This element measures the supervisory employee's contributions to the overall accomplishment of FSIS strategic goals and objectives.
3. **Equal Opportunity and Civil Rights** (*Mandatory critical element for FSIS supervisory employees*). This element measures the employee's ability to foster an inclusive workplace where diversity and individual differences are valued and leveraged to achieve the vision and mission of the organization through both personal leadership and appropriate managerial action. It also measures whether or not the employee performs in a nondiscriminatory manner that demonstrates behaviors that conform with civil rights and EEO laws, regulations, and policies, including fairness, cooperation, and respect towards employees and customers.
4. **Communication** (*Mandatory critical element for FSIS non-supervisory employees*). This element measures the employee's ability to establish and nurture effective oral and written communication within his/her staff, and with customers and stakeholders both internal and external to USDA. It also measures the extent to which the employee performs his/her duties in a manner which consistently demonstrates commitment and adherence to civil rights/equal employment opportunity (CR/EEO) laws, regulations, and policy.
5. **Research and Analytical Thinking** (*Optional critical element for non-bargaining unit non-supervisory "Administrative" employees. Mandatory critical element for "Scientific" employees*). This element measures an individual's ability to perform relevant and thorough research, while involving skillful analysis and critical thought to decide on the best possible outcome.
6. **Fostering Customer Service, Collaboration, and Partnerships** (*Mandatory element for FSIS non-supervisory employees; can be critical or non-critical*). This element measures the employee's ability to deliver high levels of customer service (*if applicable*) to internal and external customers, and measure their effectiveness in partnerships and collaborative efforts towards the achievement of the organizational missions and goals.

Administrative/Professional Occupations

Assigned Performance Elements:

- ✓ Mission Results (Critical) – 4 points
- ✓ Communication (Critical) – 2 points
- ✓ Fostering Customer Service, Collaboration and Partnerships (Critical or Non-Critical) – 2 points if critical and 1 point if non-critical

Optional* Performance Element:

- ✓ Research and Analytical Thinking (Critical) – 2 points

*Applies to job series, as needed, which require a separate performance element that focuses on the employee's ability to perform research and analytical thinking. Must be approved by the Assistant Administrator for the specific program area.

Job Series included:

0018	0080	0201	0203	0260	0301	0303	0305	0318	0326
0335	0340	0341	0342	0343	0344	0501	0503	0510	0511
0544	0560	0696	1035	1071	1082	1084	1101	1102	1412
1654	1701	1702	1750	1801	1810	1862	1863	2001	2210
3359	3515								

Scientific Occupations

Assigned Performance Elements:

- ✓ Mission Results (Critical) – 4 points
- ✓ Communication (Critical) – 2 points
- ✓ Fostering Customer Service, Collaboration and Partnerships (Critical or Non-Critical) – 2 points if critical and 1 point if non-critical
- ✓ Research and Analytical Thinking (Critical) – 2 points

Job Series included:

0101	0110	0401	0403	0404	0414	0499	0601	0602	0690
0701	0896	1301	1311	1320	1382	1501	1515	1529	1530

Supervisory Occupations

Assigned Performance Elements:

- ✓ Mission Results (Critical) – 4 points
- ✓ Supervision (Critical) – 4 points
- ✓ Equal Opportunity and Civil Rights (Critical) – 2 points
- ✓ Fostering Customer Service, Collaboration and Partnerships (Critical or Non-Critical) – 2 points if critical and 1 point if non-critical

Job Series Included:

0201	0260	0301	0340	0401	0403	0501	0510	0560	0696
0701	1035	1101	1102	1320	1701	1801	1862	2210	

APPENDIX 3 – PERFORMANCE PLAN TEMPLATE

UNITED STATES DEPARTMENT OF AGRICULTURE

PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET

1. EMPLOYEE INFORMATION

Name (Last, First, M.I.)	Pay Plan, Series, Grade	Agency/Division	APPRAISAL PERIOD	
Position Title			From Click here to enter a date.	To Click here to enter a date.

2. USDA AND AGENCY OR STAFF OFFICE STRATEGIC GOALS AND MANAGEMENT INITIATIVES

(List the current Strategic Goals and Management Initiatives)

USDA Strategic Goals #4: Ensure that all of America’s children have access to safe, nutritious, and balanced meals.

Vision: Everyone’s food is safe. Mission: Protecting the public’s health by ensuring the safety of meat, poultry, and processed egg products. FSIS Strategic Goals and Management Initiatives:

- Goal 1:** Prevent Foodborne Illness and Protect Public Health
 - Outcome 1.1 – Prevent Contamination
 - Outcome 1.2 – Limit Illness from Regulated Products

- Goal 2:** Modernize Inspection Systems, Policies, and the Use of Scientific Approaches
 - Outcome 2.1 – Improve Food Safety and Humane Handling Practices through Adoption of Innovative Approaches
 - Outcome 2.2 – Enhance Access to Complete and Accurate Information to inform Decisions

- Goal 3:** Achieve Operational Excellence
 - Outcome 3.1 – Maintain a Well-Trained and Engaged Workforce
 - Outcome 3.2 – Improve Processes and Services

3. RESULTS-ORIENTED PERFORMANCE ELEMENT

Mission Results (*Mandatory critical element for all employees*)

This element measures the achievement of program strategic goals and initiatives within primary functional areas of responsibility and the employee’s contributions to the overall accomplishment of FSIS strategic goals and objectives.

CRITICAL

MEETS FULLY SUCCESSFUL: The employee effectively and consistently applies a working knowledge of functional areas that support organizational missions and goals. The measures below will be evaluated based on the employee’s ability to achieve results, avoiding repeated errors, which positively impact the mission of the Agency. The evaluator will measure the employee’s results/outcomes and scope of impact in the following areas: (1) assignments and work products are completed according to agreed upon specifications and timeframes; (2) required work revisions are not due to errors or oversights; (3) multiple assignments and projects, including related correspondence, are well-managed and provide current, accurate statuses as needed or requested; and (4) technical advice and assistance to internal and external customers on designated subject matters are timely and in accordance with Federal regulations. In accordance with established procedures, the employee adheres to safety and occupational health practices and procedures and maintains a safe and healthful work environment.

EXCEEDS FULLY SUCCESSFUL: In addition to accomplishing all the requirements at the meets level, the employee must exceed the majority of the measures by demonstrating the following results: (1) performance results/outcomes are continuously met with few or no errors; (2) assignments are completed accurately and ahead of agreed upon timeframes; (3) work products are timely and quality (and quantity when applicable) surpasses agreed upon specifications; (4) effective work methods and program assessment result in improved efficiency, cost-effectiveness (when applicable), and customer satisfaction; and (5) improvement or development of effective work processes are produced through self-directed expertise, innovation or problem-solving.

4. ALIGNMENT, STANDARDS AND MEASURES

<p>LINKAGE (List the Goal or Initiative with which the Results-Oriented Performance Element will align, and any specific Strategies and Objectives.)</p>	<p>STANDARDS AND MEASURES (Describe the level expected for “Fully Successful” performance. Include appropriate measures of quality, quantity, cost efficiency, or timeliness.)</p>
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Goal/Initiative: Strategies and Objectives: <ul style="list-style-type: none"> • • • • 	
Goal/Initiative: Strategies and Objectives: <ul style="list-style-type: none"> • • • • 	
Goal/Initiative: Strategies and Objectives: <ul style="list-style-type: none"> • • • • 	
Goal/Initiative: Strategies and Objectives: <ul style="list-style-type: none"> • • • • 	

5. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standards and assign an element rating.)



- EXCEEDS
- FULLY SUCCESSFUL
- DOES NOT MEET

ACCOMPLISHMENTS

6. CERTIFICATION OF DEVELOPMENT, EMPLOYEE INVOLVEMENT AND RECEIPT OF PLAN

Signatures certify employee involvement in the development of, and receipt of plan which reflects current position description

NOTE TO EMPLOYEE: You are requested to sign and date below to certify receipt of this performance plan. Your signature does not mean that you agree or disagree with the contents of the plan. However, your failure to sign does not void the contents of this plan or the performance expectations documented within.

Employee's Signature

- I participated in the development of this performance plan.
- I was not invited to participate in the development of this performance plan.
- I chose to not participate in the development of this performance plan.

Date [Click here to enter a date.](#)

Supervisor's Signature	Date Click here to enter a date.
Reviewer's Signature	Date Click here to enter a date.

7. PROGRESS REVIEWS (at least one must be completed mid-year)

Employee's Initials and Date				3 rd Quarter		4 th Quarter		Supervisor's Initials and Date				3 rd Quarter		4 th Quarter	
1 st Quarter		2 nd Quarter		Date	Date	Date	Date	1 st Quarter		2 nd Quarter		Date	Date	Date	Date
	Date		Date		Date		Date		Date		Date		Date		Date

8. CERTIFICATION OF PERFORMANCE MANAGEMENT PROGRAM TRAINING

Signatures certify completion of the most recent program training, required every two years

Employee's Signature	Date Click here to enter a date.
Course Title or Other Description	Date(s) of Training
Supervisor's Signature	Date Click here to enter a date.

(12-86) **PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET**

1. NAME (Last, First, M.I.)		2. POSITION TITLE	
3. AGENCY/DIVISION	4. PAY PLAN, SERIES, GRADE	APPRAISAL PERIOD	
		5. START DATE	6. END DATE

7a. 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"/>
		CRITICAL	NONCRITICAL

COMMUNICATION – This element measures the employee’s ability to establish and nurture effective oral and written communication within his/her staff, customers, and stakeholders both internal and external to USDA. It also measures the extent to which the employee performs his/her duties in a manner which consistently demonstrates commitment and adherence to civil rights/equal employment opportunity (CR/EEO) laws, regulations, and policy.

7b. STANDARD (Describe the level expected for “Fully Successful” performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)

MEETS FULLY SUCCESSFUL: The measures below will be evaluated based on the employee’s ability to effectively and consistently achieve results, avoiding repeated errors, which positively impact the mission of the Agency. The evaluator will measure the employee’s results/outcomes and scope of impact in the following areas:

Communication: (1) Written responses are concise, clear, factually accurate, logically ordered, and substantially free of errors. They are provided within designated or negotiated time frames with the supervisor, organization and/or customer. (2) Oral responses are clear, courteous and directly address issues and questions on relevant issues. Provides technical expertise on initiatives and actions required to establish and maintain effective delivery of assigned programs. (3) Continually informs supervisor and senior management of sensitive or controversial emerging issues and offers well thought-out recommendations to prevent and/or respond to developing problems.

Civil Rights/Equal Employment Opportunity Standards for Nonsupervisory Positions: (1) Completes annual CR/EEO training as required within established timeframes. (2) Models appropriate behavior by treating customers, colleagues, employees, and other internal and external stakeholders with respect, courtesy, and sensitivity. (3) Effectively works with customers, peers and stakeholders.

EXCEEDS FULLY SUCCESSFUL: In addition to accomplishing all the requirements at the meets level, the employee must exceed the majority of the measures by demonstrating the following results: (1) performance results/outcomes are continuously met with few or no errors; (2) assignments are completed accurately and ahead of agreed upon timeframes; (3) work products are timely and quality (and quantity when applicable) surpasses agreed upon specifications; (4) effective work methods and program assessment result in improved efficiency, cost-effectiveness (when applicable), and customer satisfaction; and (5) improvement or development of effective work processes are produced through self-directed expertise, innovation or problem-solving.

7c. 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"/>
7d. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)			

(12-86) **PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET**

1. NAME (Last, First, M.I.)		2. POSITION TITLE	
3. AGENCY/DIVISION	4. PAY PLAN, SERIES, GRADE	APPRAISAL PERIOD	
		5. START DATE	6. END DATE

8a. PERFORMANCE ELEMENT		CRITICAL	NONCRITICAL
No.	(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"/>	<input type="checkbox"/>

FOSTERING CUSTOMER SERVICE, COLLABORATION AND PARTNERSHIPS – This element measures the employee’s ability to deliver high levels of customer service (*if applicable*) to internal and external customers, and measure their effectiveness in partnerships and collaborative efforts towards the achievement of the organizational missions and goals.

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

MEETS FULLY SUCCESSFUL: The measures below will be evaluated based on the employee’s ability to effectively and consistently achieve results, avoiding repeated errors, which positively impact the mission of the Agency. The evaluator will measure the employee’s results/outcomes and scope of impact in the following areas:

Customer Service (*check box, if applicable*) (1) Maintains professional relationships and interactions with colleagues, customers, and internal and external stakeholders to advance FSIS interests. (2) Routinely provides responses in a timely manner appropriate to the route of the inquiry and complexity of the issue. (3) Seeks and actively listens to others questions, ideas, and concerns; shows respect for and considers diverse viewpoints, following up to ensure understanding. (4) Analyzes customer feedback and identifies needs and concerns in making decisions, devising solutions, and resolving conflicts. (5) Worked with customers to develop a mutual understanding of their requirements. For discrete assignments, provided requested information, work products, or advice that was timely, responsive, and accurate. For recurring products and services, maintained existing standards of customer service for delivery of products and services.

Collaboration and Partnerships (1) Provides relevant information and knowledge to achieve results, and contributes to build and leverage diverse collaboration among coworkers, peers, customers, stakeholders, and teams; (2) fosters an environment that promotes engagement, communication, integration, accountability and integrity in the sharing of information and knowledge; (3) works effectively in groups to achieve a common consensus and partners with team members to implement decisions; (4) contributes creative, open-minded ideas to pursue resolutions to issues/concerns that meet the needs of customers and/or colleagues; and (5) actively participates towards achieving the goals and objectives of the team and/or organization.

EXCEEDS FULLY SUCCESSFUL: In addition to accomplishing all the requirements at the meets level, the employee must exceed the majority of the measures by demonstrating the following results: (1) performance results/outcomes are continuously met with few or no errors; (2) assignments are completed accurately and ahead of agreed upon timeframes; (3) work products are timely and quality (and quantity when applicable) surpasses agreed upon specifications; (4) effective work methods and program assessment result in improved efficiency, cost-effectiveness (when applicable), and customer satisfaction; and (5) improvement or development of effective work processes are produced through self-directed expertise, innovation or problem-solving.

8c. 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"/>

8d. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)

(12-86) **PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET**

1. NAME (Last, First, M.I.)		2. POSITION TITLE	
3. AGENCY/DIVISION	4. PAY PLAN, SERIES, GRADE	APPRAISAL PERIOD	
		5. START DATE	6. END DATE

9a. 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"/>
		CRITICAL	NONCRITICAL

RESEARCH AND ANALYTICAL THINKING

This element measures an individual's ability to perform relevant and thorough research, while involving skillful analysis and critical thought to decide upon the best possible outcome.

9b. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)

MEETS FULLY SUCCESSFUL: The measures below will be evaluated based on the employee's ability to effectively and consistently achieve results, avoiding repeated errors, which positively impact the mission of the Agency. The evaluator will measure the employee's results/outcomes and scope of impact in the following areas: (1) ensures that methods of research, analysis and deduction are sound, accurate and communicated in a timely and understandable manner; (2) ensures that sources of information are relevant and appropriately cited when used to formulate conclusions and provide guidance; (3) advises supervisor or senior staff, when inquiries or impeding issues occur, in a timely and coherent manner; (4) analyzes and integrates data to identify patterns or trends and draws reasonable, logical conclusions; (5) seeks alternative solutions, identifies creative approaches to problem solving, and modifies approach in light of new information; (6) researches best practices (benchmarking) that usually reflects relevant and thorough analysis and recommendations; and (7) maintains knowledge of current practices, trends, methodology, and continually explores new and innovative processes and strategies to meet organizational objectives.

EXCEEDS FULLY SUCCESSFUL: In addition to accomplishing all the requirements at the meets level, the employee must exceed the majority of the measures by demonstrating the following results: (1) performance results/outcomes are continuously met with few or no errors; (2) assignments are completed accurately and ahead of agreed upon timeframes; (3) work products are timely and quality (and quantity when applicable) surpasses agreed upon specifications; (4) effective work methods and program assessment result in improved efficiency, cost-effectiveness (when applicable), and customer satisfaction; and (5) improvement or development of effective work processes are produced through self-directed expertise, innovation or problem-solving.

9c 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"/>
9d. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)			

UNITED STATES DEPARTMENT OF AGRICULTURE
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET
FOR SUPERVISORY POSITIONS
SUPERVISION AND EQUAL OPPORTUNITY AND CIVIL PERFORMANCE ELEMENTS

1. 1. EMPLOYEE INFORMATION

Name (Last, First, M.I.)	Pay Plan, Series, Grade	Agency/Division	APPRAISAL PERIOD	
Position Title			From Click here to enter a date.	To Click here to enter a date.

7a SUPERVISION PERFORMANCE ELEMENT

No. (Describe below the element title and the duty or responsibility for which the employee is accountable and responsible.)

CRITICAL

SUPERVISION (*Mandatory critical element for rating supervisors and reviewing officials*)

This element measures the achievement of program strategic goals and initiatives within the primary functional areas of supervision and accountability, and the supervisory employee's contributions to the overall accomplishment of FSIS strategic goals and objectives.

MEETS FULLY SUCCESSFUL: The measures below will be evaluated based on the employee's ability to effectively and consistently achieve results, avoiding repeated errors, which positively impact the mission of the Agency. The evaluator will measure the employee's results/outcomes and scope of impact in the following areas: (1) ensures that mission-critical workload of staff is completed according to agreed upon specifications and timeframes; (2) provides clear direction and sound judgment in an impartial, respectful and constructive manner when giving or addressing staff assignments; (3) rewards good performance in a timely manner, appropriately using performance appraisal systems, performance-based incentives and other awards; (4) monitors and addresses poor performance in a timely manner, appropriately effecting performance improvement measures or adverse actions, when necessary; (5) conducts regular meetings with staff (at least monthly) to foster communication and feedback; (6) supports the fairness, equal opportunity and affirmative action objectives of the organization; (7) ensures that oral, written and interpersonal communications are clear, correct, timely and presented in an understandable and professional manner to the supervisor, managers, direct reports, customers, constituents and plant employees (if applicable); (8) ensures that administrative functions are completed timely and accurately within the work day; and (9) ensures that staff assignments and projects, including related correspondence, are well-managed and provide current, accurate statuses as needed or requested.

EXCEEDS FULLY SUCCESSFUL: In addition to accomplishing all the requirements at the meets level, the employee must exceed the majority of the measures by demonstrating the following results: (1) performance results/outcomes are continuously met with few to no errors; (2) assignments are completed accurately and ahead of agreed upon timeframes; (3) work products are timely and quality (and quantity when applicable) surpasses agreed upon specifications; (4) effective work methods and program assessment result in improved efficiency, cost-effectiveness (when applicable), and customer satisfaction; and (5) improvement or development of effective work processes are produced through self-directed expertise, innovation or problem-solving and addresses poor performance.

7b. STANDARDS AND MEASURES

CATEGORY	STANDARDS AND MEASURES (Describe the level expected for "Fully Successful" performance. Include appropriate measures of quality, quantity, cost efficiency, or timeliness.)
a) General Supervision	<p>Standards:</p> <ul style="list-style-type: none"> • Supervisors are to ensure that employee administrative functions are conducted during the employee's official duty hours. This includes but is not limited to: <ul style="list-style-type: none"> - Completing of timesheets: In situations when extenuating circumstances do not occur -- supervisors of employees who input their own time in webTA are required to certify no later than close of business Monday following the end of the pay period. Supervisors of employees who send their T&A documents to the Financial Services Center for input are required to certify their employees' T&A records by close of business Wednesday following the end of the pay period. - Completing travel authorizations and vouchers: Supervisors must ensure that all traveling subordinates receive authorization for incurring travel expenses prior to the travel, except in emergency situations. Supervisors must ensure all traveling subordinates submit a reimbursement voucher claim within 5 days of the completion of the trip. Supervisors must ensure that all traveling subordinates in a continuous travel status must submit an interim travel voucher at a minimum of every 2 weeks. When prompted by FSIS Office of the Chief Financial Officer, Supervisors must notify subordinate travel credit card holders of any questionable or inappropriate charges and/or delinquencies on their card, and ensure the employee provides an explanation of the charge or delinquency. A record must be maintained of the notification and the explanation received from the employee. • Completing mandatory training requirements (*see addendum, entitled "Supervisory Mandatory Training Requirements")

	<ul style="list-style-type: none"> • Actively creates an environment that promotes staff engagement, integration and collaboration. Based on employee feedback and the data collected with the most recent FEVS, identifies both strengths and challenges related to employee engagement, development and satisfaction. Works proactively and inclusively with staff members to develop and implement strategies to maintain areas of strength and improve engagement and satisfaction in the organizational unit. Promotes open, candid and ongoing dialogue with and among the staff to develop more comprehensive and innovative insights to manage obstacles to engagement. • Supervisors are required to review and discuss occupant emergency plans; provide employee assistance and guidance on all LincPass credentialing processes to include enrollment; issuance, maintenance, pin resets, and lost or stolen cards, to ensure readiness for 100% LincPass usage of FSIS computer access. • In accordance with the policies and procedures set forth on FSIS Employee Separation/Transfer Clearances, supervisors are required to: <ul style="list-style-type: none"> - Assist the employee with accurately completing the FSIS Form 2410-9, Clearance of Employee for Separation or Transfer, at least two weeks, no later than the employee's last day on duty and submit the completed form to the Clearance Officer within 48 hours of receipt; - Supervisors should advise employees of their responsibility of ensuring any indebtedness has been resolved and all government property has been returned to the agency or coordinated arrangements for their return have been accomplished; - Supervisors are to encourage employees to participate in an Exit Survey to assist the Agency in identifying methods to improve employee retention and morale. <p>*Addendum can be located on the FSIS intranet at Home/Benefits & Pay/Performance & Recognition.</p> <p>Measures:</p>
<p>b) Performance Management</p>	<p>Standards:</p> <ul style="list-style-type: none"> • The supervisor establishes subordinate employee performance plans within established timeframes and that align with Agency and Departmental goals and objectives. Communicates to employees how their work supports the Agency mission and strategic plan/initiatives. Employee performance plans contain clear, results-focused measures and the supervisor provides accurate and timely feedback to determine progress and success in meeting expectations: <ul style="list-style-type: none"> - In situations when extenuating circumstances do not occur -- the supervisor completes performance plans no later than October 30th, progress reviews by April 1st, and appraisals of subordinate employees by October 30th. Performance plans for each employee include at least one critical element that is traceable to the agency's goals and objectives (e.g., Mission Results critical performance element). - Provides ongoing feedback and coaching as demonstrated through performance feedback sessions as evidenced by eligible employees receiving at least one feedback session at the midpoint of the rating period. - Ensures appropriate action is taken to address performance problems in a manner that supports organizational goals and objectives. - As applicable, ensures subordinate managers and supervisors adhere to the Agency performance management policy with regard to performance appraisal and employee recognition. • Performance and employee feedback data are used as an indicator of compliance and general satisfaction or needed improvement with regard to the planning, developing, monitoring, rating and rewarding of performance. <p>Measures:</p>
<p>c) Recruitment and Hiring (if applicable)</p>	<p>Standards:</p> <ul style="list-style-type: none"> • Supervisor and hiring managers must adhere to the FSIS Hiring Reform policies and procedures, to include but not limited to: <ul style="list-style-type: none"> - Recruits and selects new employees based on organizational goals, budget considerations, and staffing needs, after consulting the Human Capital Plan. - When filling a position, engages and collaborates with HR to ensure skills required for the job are identified, the job vacancy posted is accurate, and assists in identifying contacts for diverse locations or organizations for recruiting purposes. Participates as needed with HR in the proper screening of applications, and appropriate categorization of applicants based on qualifications. - Aids in the process of meeting the mandated 70-Day hiring timeline by making selections for frontline and non-frontline positions within 15 days, but not to exceed 30 days (includes one 15 day extension) of receiving the certificate, and proactively reserving blocks of time for interviews and establishing review panels in advance as to prevent unnecessary delays. - Utilizes flexible hiring authorities when filling a vacancy (e.g., targeted disabilities, student employment, direct hire, appointing

	<p>veterans, etc.) to ensure diversity in recruitment and hiring.</p> <p>Measures:</p>
<p>d) Retention and Succession Planning</p>	<p>Standards:</p> <ul style="list-style-type: none"> • Successfully transitions new hire(s) into the position by promptly providing an orientation into the workforce and establishing performance elements and standards. Supervisor provides ongoing feedback and coaching, and makes appropriate use of the probationary period to assess the new hire's ability to perform in the position. • Implements retention strategies that focus on key internal processes (e.g., work environment, employee orientation, executing Individual Development Plans for all employees--subject to bargaining obligations, coaching, developing, and mentoring, etc.) that promotes employee growth, supports the health of the workforce and drives the future success of the organization's people and infrastructure. • Ensures 95% of eligible employees have an IDP. For current employees, plans must be reviewed and updated at least once a year, with the purpose of providing opportunities and training for staff to develop or enhance work related competencies. New employees must receive their IDP within 60 days of their onboarding within FSIS. • Assesses current workforce plans to ensure they are up-to-date in order to meet Program/Agency goals and objectives. Works with senior management officials and HR to comply with the workforce planning process as described in the Department's position management policy. <p>Measures:</p>
<p>e) Cultural Transformation (not applicable if already included in the Mission Support element)</p>	<p>Standards:</p> <ul style="list-style-type: none"> • Supports the Secretary's initiative for Cultural Transformation by continually examining program delivery and surveying the workforce and/or stakeholders/customers. Creates an environment of inclusion, exceptional performance and effective leadership; and works to eliminate any barriers to operational and service excellence. Examines workforce and workplace processes and flexibilities and implements improvements where needed. • Supports the Secretary's initiative for USDA Diversity Recruitment Roadmap by expanding upon mission-specific activities and timelines to ensure diversity recruitment program success and leadership accountability. • Establish telework agreements with 80% of eligible employees and have agreements on file. Meet with eligible employee within 10 business days of receipt of a proposed Telework Agreement and approve, modify or deny the request. - Provide written justification to the employee and the Telework Coordinator in the event of a denial or termination of telework within 5 business days after the completion of the Telework Agreement Form. - Provide copies of approved Telework Agreements and notices of Agreement terminations within 15 business days after the completion of the Telework Agreement Form, AD-3018 to the FSIS Telework Program Coordinator. • Support and promote telework in that 45% of eligible employees' telework in accordance with their signed agreement. • Ensure telework is accurately recorded on employees' T&As. <p>Measures:</p>
<p>f) Employee Perspectives</p>	<p>Standards:</p> <ul style="list-style-type: none"> • The supervisor seeks employee feedback to identify needs and expectations and considers employee perspective when making management decisions affecting workforce or programs. • The supervisor considers employee perspective when planning employee development and training goals/requirements and internal standard operating procedures. Encourages employees to participate in the annual human capital survey to assist the agency in measuring its' success in improving its performance goals and objectives. • The supervisor analyzes feedback received from employees from employee surveys or other feedback mechanisms and develops action plans to improve future survey results/employee satisfaction. • Encourages employees to provide feedback using the AgLearn 360 degree tool. <p>Measures:</p>
<p>g) Customer Perspectives</p>	<p>Standards:</p> <ul style="list-style-type: none"> • Stakeholders are engaged in program priorities; problems and issues of mutual concern are identified and resolved collaboratively. Key messages and information are communicated effectively to stakeholders, and the public through statements to the press, promotional events, and other strategies as applicable. Engages in dialog with advocates and public interest groups in the region to further agency goals and priorities and to hear and respond to issues that may be raised.

	<ul style="list-style-type: none"> • Internal and external stakeholder needs and expectations are considered in making decisions, devising solutions, and resolving conflicts. Those consistent with corporate priorities are included in plans and commitments, and are monitored for success in achieving satisfactory results. • 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. <p>Measures:</p>
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<p>h) Other, Agency-specific</p>	<p>Standards:</p> <p>Fleet and Motor Vehicles</p> <ul style="list-style-type: none"> • Supervisors are required to adhere to the FSIS Policies and Procedures outlined in the FSIS Directive 2450.1 and FSIS Directive 4791.13. These policies include but not limited to: <ul style="list-style-type: none"> - Informing employees of FSIS Directive 2450.1 - Making appropriate recommendations for granting authorized use or revoking driving privileges. - Completing the FSIS Form 2450-10 and provide a recommendation to concur or not concur within 5 business days after receiving the form. <p>Workplace Safety and Compensation</p> <p>Supervisors are required to provide a safe, healthful, positive, respectful, productive workplace for employees, in addition to:</p> <ul style="list-style-type: none"> • Reporting all cases of known, alleged, or suspected misconduct/workplace violence using FSIS Form 4735-4 within 1 day or receipt or notification. • Taking corrective actions within 1 day after receipt of FSIS Forms 4735-4 from the complainant to resolve the reported workplace violence incident. Ensure that resolution of reported workplace violence incidents occur with 65 days after initial receipt of FSIS Forms 4735-4. • Completing the Occupational Safety and Health Administration (OSHA) forms 300 and 301 within 7 days of a work related injury that results in days away from work or work restriction, medical treatment beyond first aid, loss of consciousness, or diagnosis of a serious condition or illness by a medical professional. Supervisors must post a summary of injuries annually on OSHA form 300A from February 1 to April 30. Supervisors shall immediately notify District Management and/or the appropriate Occupational Safety and Health Specialist when a representative from OSHA enters an FSIS workplace, including laboratories and USDA offices at regulated establishments, for the purpose of reviewing the local employee safety and health program. • Completing and forward all CA-1, CA-2 and CA-7 forms to the Workers' Compensation Group within 2 business days of receipt from injured employee. • Completing the FSIS Form 4610-11 within 2 business days of receipt of medical documentation from the employee or the Workers' compensation group. If unable to accommodate the restrictions, submit a justification in writing to the Workers' Compensation Group within 1 business day. <p>Measures:</p>
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<p>7c. ELEMENT RATING (At the end of the rating period, compare the employee's performance with the standards and assign an element rating.)</p>	<p><input type="checkbox"/> EXCEEDS <input type="checkbox"/> FULLY SUCCESSFUL <input type="checkbox"/> DOES NOT MEET</p>
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<p>7d. ACCOMPLISHMENTS</p>

8a. EQUAL OPPORTUNITY AND CIVIL RIGHTS PERFORMANCE ELEMENT – This element measures the employee’s ability to foster an inclusive workplace where diversity and individual differences are valued and leveraged to achieve the vision and mission of the organization through both personal leadership and appropriate managerial action. Performs in a nondiscriminatory manner that demonstrates behaviors that conform with civil rights and EEO laws, regulations, and policies, including fairness, cooperation, and respect towards employees and customers.

CRITICAL

MEETS FULLY SUCCESSFUL: The measures below will be evaluated based on the employee’s ability to effectively and consistently achieve results, avoiding repeated errors, which positively impact the mission of the Agency. The evaluator will measure the employee’s results/outcomes and scope of impact in the following areas: (1) demonstrates fairness, cooperation, and respect toward coworkers, office visitors, and others in the performance of official business; (2) exhibits commitment to EO/CR policies and responsibilities of Agency and Departmental goals of valuing a diverse, yet unified workforce; (3) ensures that employees are knowledgeable of the Agency’s EO/CR policies by posting the Agency’s current EEO, Civil Rights and Diversity policy statements in conspicuous places throughout the work unit and by reviewing and discussing those statements with no less than 90% of the employees by the end of each fiscal year (4) proactively seeks to manage and resolve conflict at the earliest stage by utilizing the ADR/mediation process; (5) ensures that at least 90% of employees complete mandatory EEO, Civil Rights and Diversity training by September 30th; (6) resolves or addresses EEO issues, grievances, or complaints within supervised unit by providing thorough, complete, and accurate records, evidence, or responses, and by contributing towards the Agency’s goal of an 80% acceptance rate for case assessments, proposed discipline, and systemic remedies reviewed by the Department; (7) demonstrates an understanding of career development, training, recognition, and advancement opportunities for employees at all levels by providing equitable training and career development opportunities and performance awards for all grade levels when warranted; (8) encourages, acknowledges and judiciously utilizes the perspectives of employees, including employees’ suggestions; (9) collaborates with Human Resources and other networks, as appropriate, to recruit, hire, promote and maintain a diverse workforce; (10) ensures that interview panels are diverse and trained in cross-cultural interviewing techniques; (11) supports the use of Special Emphasis Programs (SEP) designed to attract and utilize minorities, women, individuals with disabilities, and veterans into the workforce by conducting at least one SEP observance or activity within the work unit by the end of the fiscal year; and (12) promotes and demonstrates culturally competent customer service, ensuring a courteous environment, culturally competent delivery of services, printed materials provided in different languages as requested, and facilities that are accessible for all customers.

EXCEEDS FULLY SUCCESSFUL: In addition to accomplishing all the requirements at the meets level, the employee must exceed the majority of the measures by demonstrating the following results: (1) performance results/outcomes are continuously met with few or no errors; (2) assignments are completed accurately and ahead of agreed upon timeframes; (3) work products are timely and quality (and quantity when applicable) surpasses agreed upon specifications; (4) effective work methods and program assessment result in improved efficiency, cost-effectiveness (when applicable), and customer satisfaction; and (5) improvement or development of effective work processes are produced through self-directed expertise, innovation or problem-solving and addresses poor performance.

Describe the level expected for “Fully Successful” performance. Include appropriate measures of quality, quantity, cost effectiveness, or timeliness.)

8b. ELEMENT RATING
(At the end of the rating period, compare the employee’s performance with the standards and assign an element rating.)

EXCEEDS FULLY SUCCESSFUL
 DOES NOT MEET

8c. ACCOMPLISHMENTS

CERTIFICATION OF TRAINING

(Signatures signify completion of training.)

Performance Management Program (required every two years)	<input type="checkbox"/>	Employee's Signature and Date Date	Supervisor's Signature and Date Date
Dealing with Poor Performers (as needed)	<input type="checkbox"/>	Date	Date
EEO and Civil Rights	<input type="checkbox"/>	Date	Date
Leadership Competency:	<input type="checkbox"/>	Date	Date
Leadership Competency:	<input type="checkbox"/>	Date	Date
Leadership Competency:	<input type="checkbox"/>	Date	Date
Leadership Competency:	<input type="checkbox"/>	Date	Date

DATA REPORTING FOR INCUMBENT

(Respond to questions below.)

a) How frequently did you discuss their performance with your subordinate employees?	<input type="checkbox"/> Weekly <input type="checkbox"/> Bi-weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Bi-Monthly <input type="checkbox"/> Semi-Annually <input type="checkbox"/> Annually	d) An official in your Agency provided guidance to you about how unit performance should be considered when deciding ratings and awards.	<input type="checkbox"/> Strongly agree <input type="checkbox"/> Agree <input type="checkbox"/> Neutral <input type="checkbox"/> Disagree <input type="checkbox"/> Strongly Disagree
b) You have a clear understanding of how your work unit contributes to the Agency's mission and goals.	<input type="checkbox"/> Strongly agree <input type="checkbox"/> Agree <input type="checkbox"/> Neutral <input type="checkbox"/> Disagree <input type="checkbox"/> Strongly Disagree	e) The performance rating distribution in your organization is a fair reflection of distinctions in performance.	<input type="checkbox"/> Strongly agree <input type="checkbox"/> Agree <input type="checkbox"/> Neutral <input type="checkbox"/> Disagree <input type="checkbox"/> Strongly Disagree
c) You have a clear understanding of how your Agency's overall performance is assessed.	<input type="checkbox"/> Strongly agree <input type="checkbox"/> Agree <input type="checkbox"/> Neutral <input type="checkbox"/> Disagree <input type="checkbox"/> Strongly Disagree	f) You have a clear understanding of the Agency's goals and initiatives with respect to the scores from the Federal Employee Viewpoint Survey.	<input type="checkbox"/> Strongly agree <input type="checkbox"/> Agree <input type="checkbox"/> Neutral <input type="checkbox"/> Disagree <input type="checkbox"/> Strongly Disagree

APPENDIX 4. RATING OFFICIAL CHECKLIST- DEVELOPING PERFORMANCE PLANS

Performance plans are to be established and communicated to employees **within 30 days** of the beginning of the appraisal period or **within 15 days** of an employee starting a new position or a detail/temporary promotion of 90 days or more.

To establish a Performance Plan, access the Performance Rating Tool (PRT):

<http://prt.fsis.usda.gov/p3s/>.

- Select the appropriate year from the drop down menu at top of screen.
- Select the Planning Status link from the menu bar on the left side of the screen.
- Click the employee's name.
- Click the appropriate Performance Plan Template for the employee. Select "basic employee" or "basic supervisor" unless the employee's position has a standardized position-specific plan. NOTE: The elements included in the plan template are listed below the employee information.
- Complete From and To dates.
- Select the appropriate Goals and Outcomes, aligning employee performance plans with mission goals and organizational objectives that are integral to the accomplishment of organizational goals. The OFO position-specific plans have the goals/outcomes selected.
- Type in at least one Goal/Initiative for the Mission Results element. The standardized position-specific plans have the goals/initiatives identified.
- Type in at least one Strategy and Objective for the Mission Results element. The standardized position-specific plans have the strategies/objectives identified.
- Type in job specific Standards and Measures related to the Mission Results element. The standardized position-specific plans have the standards and measures identified.
- Fostering Customer Service, Collaboration, and Partnerships is a mandatory element for all non-bargaining unit plans and is included in the templates. If it is determined to be a critical element, check the critical box.
- Research and Analytical Thinking is a mandatory element for employees in the Scientific job series and optional for non-supervisory employees in the Administrative job series. To add this element to the plan click the next available element tab and select the Research and Analytical Thinking element from the drop-down list.
- Click the Save button at any point if the plan is still in progress.
- Click the Submit for signature button when the plan is complete.
- From the Planning Status screen select PDF.
- Select Generate PDF to print and/or save an electronic PDF copy.
- Meet with the employee to discuss the plan; obtain employee signature.
- Sign the plan as the Rating Official.
- Obtain Reviewing Official signature on printed plan.
- Complete the Appraisal Certification Section in the PRT by including the names and dates in which the performance plan was physically signed by the Employee, Rating Official and Reviewing Official.
- Upload the entire signed plan into the PRT.

APPENDIX 5. GUIDANCE ON THE PERFORMANCE RATING TOOL (PRT)

PRT Access and Authorization. User access to the PRT is authenticated by USDA's e-Authentication system upon log-in. Authorization to access PRT functions is determined by the assigned user role(s) of the PRT user. The Navigation Bar on the left side of the screen is customized based on assigned role(s) to an individual PRT user. Thus, a PRT user who is a Rating Official and a Reviewing Official will see both role options.

To access the PRT, users must use the following URL: <http://prt.fsis.usda.gov/p3s/>. Also, users must be logged into the FSIS Network.

PRT Workflow for Performance Plans and Appraisals. Each employee is assigned to a program area pool in the PRT, and has assigned officials for each supervisory level (i.e. Rating Official, Reviewing Official, etc.). The assignment of supervisors to employees is used by the PRT to control access to employee performance plans and appraisals by assigned officials only. Each program area has one or more Program Advisor(s) and Data Administrator(s), who will administer an employee's supervisory assignment. They also maintain access to the data of all employees within their program area.

The PRT treats the performance planning and performance appraisal as separate, but dependent processes, and they are controlled by the PRT workflow. The workflow starts with the creation of the performance plan by the Rating Official. Once the performance plan is complete, the final plan is reviewed and signed by the Rating Official, the Employee, and the Reviewing Official. The next process in the workflow is the performance evaluation and appraisal. Again, the Rating Official starts the process by evaluating and rating an employee's performance. Next, the performance appraisal is approved by the Reviewing Official and signed by the Rating Official and Reviewing Official, before reviewing with the employee for signature. Throughout the process, PRT manages the workflow and provides the performance planning and appraisal statuses. For example, the employee performance appraisal cannot begin until the performance plan has been finalized and signed. Although the planning and appraisal processes are separate, the appraisal process is dependent on the completion of the planning process. In addition, the PRT maintains the performance plan and appraisal data as one record, therefore both processes share the same status.

Rating Official:

The PRT supports the rating official's ability to create and modify performance plans and ratings for each employee they supervise, which includes the rating of performance elements, recording supporting narrative comments, and the automated calculation of the summary level rating. The Rating Official will have the following options appear in the Navigation Bar: Planning Status, Appraisal Status, IDP Status, Mid-Year Status, and PRT Reports.

- The Planning Status option provides a list of employees and their current performance plan status, and provides the capability to select an employee to access the performance plan.

- The Appraisal Status option provides a list of employees, current appraisal status, and summary level rating if available, and provides the capability to select an employee to access the performance appraisal.
- The IDP Status option lists the employees along with Individual Development Plans (IDP) and provides a link to access the IDP for each employee if one exists.
- The Mid-Year Status option lists the employees along with Mid-Year Progress Review status, and provides the capability to select an employee to access the Mid-Year Progress Review form.
- The PRT Reports option provides the capability to generate reports that list employees, appraisal status, supervisor assignments, etc.

Reviewing Official:

The Reviewing Official uses the PRT to review the rating of a selected employee for completeness of forms and accurate application and adherence to the policies and procedures of the Performance Management Process. The Reviewing Official also reviews the performance ratings of employees for fair consideration, and consistency across the appraising supervisors. The Reviewing Official will have the following options appear in the Navigation Bar: Planning Status; Appraisal Status, IDP Status, Mid-Year Status, Rating Matrix, and PRT Reports.

- The Planning Status option provides a list of employees and their current performance plan status, and provides the capability to select an employee to access the performance plan.
- The Appraisal Status option provides a list of employees, current appraisal status, and summary level rating, if available. The Reviewing Official is responsible to review the Performance Appraisal of these employees.
- The IDP Status option lists the employees along with Individual Development Plans (IDP) and provides a link to access the IDP for each employee if one exists.
- The Mid-Year Status option lists the employees along with Mid-Year Progress Review status, and provides the capability to select an employee to access the Mid-Year Progress Review form.
- The Rating Matrix option provides the capability to view ratings of all appraisals submitted for review and compares performance ratings.
- The PRT Reports option provides the capability to generate reports that list employees, appraisal status, supervisor assignments, etc.

Creating an Employee/Supervisor Performance Plan in the PRT. The PRT allows the Rating Official to create and edit the employee/supervisor performance plan.

1. To create/edit employee/supervisor performance plans, Rating Officials should click the **Employee Name** field. If the Status of the selected employee's performance plan is "Not Started," the PRT will display the **Performance Plan Templates - Rating Official** screen to allow selection of the base template to create the employee performance plan.
2. Select a Performance Plan Template for the employee. Once selected the PRT will display the employee performance plan in edit mode.
 - **Plan Type** is Employee or Supervisor. The employee template uses form AD435-E and the supervisor template uses for AD435-S. Select an employee template if the employee is in a non-supervisory role.

- **Template Type** is custom or standard. Custom templates allow the Rating Official to modify the performance plan and add additional performance elements. Standard templates are non-modifiable and only allow the Rating Official to change the appraisal period dates.
- Note: Before selecting a template the Rating Official should know whether the employee is a supervisor or non-supervisor, whether they should use a standard template or a custom template, and whether they should use a position-specific plan.
- Once the Rating Official selects the template, they should review the performance plan to ensure they selected the correct template. If they selected the wrong template, they can re-select another template before starting the performance plan. If they edit the performance plan and then realize that they selected the wrong template, they should save their information before re-selecting the new template because their updates will not transfer to the new template.

Certification of Performance Plans in the PRT. To sign or view, and to manage signed employee's performance plans, the Rating or Reviewing Officials should click the **PDF** button for that employee within their inbox.

- The PRT allows Rating and Reviewing Officials to view and save the plans to their local drive. It also allows them to upload signed documents and to update signature status.
- The PRT allows the Rating or Reviewing Official to enter the reason the employee declined to sign the plan and return the plan to employee if the status is "Plan Employee Declined to Sign."

Certification of Employee Training and Supervisor Data Reporting in the PRT. The PRT allows the Rating Officials to certify training for the employee, at any time during the performance cycle. To record the employee training, the Rating Official should click the "**Trn**" button on the **Planning Status** page.

1. The PRT displays the **Employee Performance Training Form** with pre-populated employee information, training information, planning and appraisal activity, and assigned supervisors.
2. Enter Date of Training, Supervisor Name and signed date in the appropriate fields.
3. If a supervisory employee is selected, the PRT displays the supervisor training form.
4. Enter a new training course in one of the available training course fields.
5. If a supervisory training form is selected, check the appropriate checkboxes for the course/training that is being certified.
6. Enter the "Supervisor" and "Date" in corresponding fields.
7. Click **Save** button to store all training input to PRT.

The PRT allows the Rating Official to review survey questions and respond to predefined answers on behalf of the supervisory employee. To update Data Reporting for the incumbent (Supervisors Only), Rating Officials should click the **Q&A** button for that supervisor.

1. The PRT displays the **Employee Data Reporting Survey Q&A** with pre-populated employee information, survey questions and answers, planning and appraisal activity, and assigned supervisors. Click the appropriate radio button to answer each question.
2. Click **Save** button to store all your answers to PRT.

Certification of Individual Development Plans in the PRT. The PRT is used to track the status of Individual Development Plans (IDP). Below are step by step instructions for completing this process as a Rating Official.

1. The Rating Official should log into the PRT using their E-Authentication credentials.
2. Click on the “IDP Status” link in the left hand navigation bar.
3. The Rating Official will see a list of their employees. For each of their employees, the Rating Official should click on the IDP icon in the right hand column.
4. Select the appropriate box: “IDP Complete” and use calendar to select date completed; “IDP Incomplete” and select reason; or “IDP Declined” if employee declined an IDP.
5. Finally, the Rating Official must click the **Save** button and return to the main page to select the next employee.

Certification of Mid-Year Progress Reviews in the PRT. All supervisors are required to certify that progress reviews were completed for their employees. The PRT is used to track the status of mid-year progress reviews. Once supervisors have completed reviews and initialed/dated the AD-435 with their employees, they need to log into the PRT to certify for each of their employees. Below are step by step instructions for completing this process as a Rating Official:

1. The Rating Official should log into the PRT using their E-Authentication credentials.
2. Click on the “Mid-Year Status” link in the left hand navigation bar.
3. The Rating Official will see a list of their employees. For each of their employees, the Rating Official should click on the calendar icon in the right hand column.
4. If the progress review has been completed, the Rating Official should select the “Review Complete” box.
5. The system will pre-populate the current date in “Date Complete”. If the progress review was conducted prior to the current date, the Rating Official will need to change the date appropriately by either, manually entering or by selecting a date on the calendar.
6. Finally, the Rating Official must click the **Save** button and return to the main page to select the next employee.

7. Note: If an employee progress review has not been completed within the prescribed time frames, the Rating Official must select the “Review Not Complete” box, the “Reason Incomplete” from the drop down list and provide a short “Explanation” as to why.

Completion of Interim Ratings in the PRT. The PRT supports the application of interim appraisals. If the Rating Official has completed an interim rating for one of their employees, they can enter it into the PRT and submit it to the Reviewing Official for approval, before it is shared with the employee. If necessary, the Rating Official should contact their designated Advisors and Data Administrator for assistance in administering interim dates and supervisory assignments.

- In the PRT, it is important that the Rating Official adjust the interim appraisal period dates to reflect the dates for which they are rating the employee. This is the **From** and **To** dates section. Once the interim rating has been approved by the Reviewing Official, the Rating Official will be able to print their interim appraisal report in the PRT, i.e., “PRT-RPT-09 Performance Appraisal Report (Interim Rating Approved)”.
- Once the Interim rating is presented to the employee, it cannot be changed. All documentation, review, and signatures are required prior to presenting it to the employee.
- Also, during the performance discussion, it is important that the Rating Official let the employee know that the interim rating is not their final rating of record for the performance rating cycle.

Rating Employees in the PRT. All supervisors are required to complete a performance appraisal for their eligible employees. The following steps should be taken to rate employees in the PRT:

1. The Rating Officials should first click the **Employee Name** from the Employee Appraisal Status section.
2. In most cases the PRT defaults the appraisal period **From** and **To** dates to the start and end dates of the current performance cycle and provides the capability to edit the end dates. When multiple ratings are specified for the employee, the **From** and **To** dates are set to the interim appraisal period assigned to the Rating Official. **Note.** Appraisal dates may not overlap other specified rating periods for the employee.
3. The PRT automatically assigns the applicable performance elements from the employee performance plan.
4. The Rating Official should rate each **Performance Element** as “Exceeds,” “Meets Fully Successful,” “Does Not Meet,” or “Not Rated.” A rating must to be assigned to every selected Performance Element.
5. The PRT assigns a weight of “4” units for mission results and supervision or leadership/management elements. All other critical performance elements are assigned a weight of “2” units; a weight of “1” is assigned to non-critical performance element(s); and the PRT calculates the **Total Appraisal Units** for each rating and displays it at the bottom.
6. The rating Official should enter the rationale for ratings in the **Rating Comment** text-box.
7. The PRT automatically calculates the ratings and displays the calculated **Summary Level Rating** based on the **Total Appraisal Units**.

8. The **Summary Comment** text-box allows the capability to enter additional overall comments and is optional.
9. For employees with multiple rating periods, the PRT automatically calculates the weighted average of all Interim Appraisals and displays the result in the **Annual Rating of Record** box below the **Summary Level Rating**.
10. Rating Officials should click the **Save** button if they need to log-off before completing the performance appraisal or if they are not ready to submit the performance appraisal to the Reviewing Official.
11. The Rating Official should **Submit to Reviewing Official** button if they have completed the Performance Appraisal Form, and they are ready to forward it to the Reviewing official for review.

PRT Enhancements. Highlighted below are some of the significant recent improvements to the system:

Mathematical Formula/Combined Rating Form – The mathematical formula/combined rating form is no longer permissible and has been removed from the PRT. Any interim ratings or advisory assessments captured in the PRT will be forwarded to the gaining rating official's inbox for consideration in completing the employee's final rating of record at the conclusion of the performance rating cycle. The gaining rating official is responsible for taking into consideration the nature of assignments and the length of time covered by the interim rating(s), when determining the impact of the interim rating(s) on the element and summary ratings.

Periods – The PRT now supports three distinct appraisal period categories: "Permanent Assignment", "Temporary Detail", and "Advisory Feedback". Using the familiar Assign Interim Roles feature, the Data Administrator will specify appraisal period details as needed.

- "Permanent Assignment" is the new name for the traditional PRT interim appraisal period. This appraisal category evaluates performance for the employee's primary job position and permanent supervisors. By default an employee has one permanent assignment that spans the entire rating year. If and when a change of supervisor (Rating Official) occurs, the Data Administrator will split the performance cycle to allow the "losing" supervisor to evaluate performance to date and the "gaining" supervisor to assume responsibility for the remaining days in the cycle. Each "permanent assignment" period spans at least 90 days and dates may not overlap. The first and last permanent assignments define appraisal "from" and "to" dates reported to NFC. And the last permanent assignment (a.k.a. "Final Appraisal") determines the employee's final "Annual Rating of Record" for the year.
- "Temporary Detail" is the new type of appraisal period that enables PRT planning and rating activities for a Rating Official who temporarily supervises an employee for 90 days or more. The rating period spans at least 90 days and freely overlaps other appraisal periods. Temporary detail periods do not factor into appraisal "from" and "to" dates reported to NFC.

- “Advisory Ratings/Feedback” is another type of appraisal period that enables Rating Officials to provide performance evaluations for employees whom they supervise for fewer than 90 days. Advisory periods must be less than 90 days duration and may freely overlaps other periods.

“Inherited” Performance Plans – When a new permanent or temporary rating period is created, the Data Administrator has the option to assign a previously certified performance plan to the new Rating Official, as appropriate. When this option is exercised, the Rating Official is notified by email that status “Plan Ready for Recertification” is pending.

APPENDIX 6. RATING OFFICIAL RESPONSIBILITIES IN THE PRT AND KEY DATES

Rating Official is responsible for:	Date
✓ Referring to the PRT User’s Manual.	As necessary
✓ Developing employee performance plans in the PRT, which includes measurable standards for the Mission Results element.	Oct 30
✓ Completing the Plan Certification Section in PRT, indicating dates the employee, rating official and reviewing official signed plan.	Oct 30
✓ Uploading the entire signed performance plan into the PRT.	Nov 14
✓ Conducting mid-year progress review.	Apr 1
✓ Uploading page of the plan which the rating official and employee initialed and dated for mid-year review.	Apr 14
✓ Creating employee rating of record, including justification for each element rating, obtaining reviewing officials signature, and delivering to employee.	Oct 30
✓ Uploading the entire signed performance appraisal into the PRT.	Nov 13

APPENDIX 7. PROGRAM AREA DATA ADMINISTRATOR RESPONSIBILITIES IN THE PRT AND KEY DATES

Program Area Data Administrator is responsible for all employees in the program area pool:	Date
✓ Providing first level help for rating and reviewing officials, referring to PRT user's manual.	As necessary
✓ Assigning employees to supervisors and supervisory roles.	Within 5 days
✓ Tracking the completion status of the performance plans, following up with rating officials as necessary.	Oct 30
✓ Tracking the completion status of entire signed plans uploaded into the PRT, following up with rating officials as necessary.	Nov 14
✓ Tracking the completion status of mid-year progress reviews (rating official and employee initiated and dated page uploaded into the PRT), following up with rating official as necessary.	Apr 14
✓ Utilize the Compensation Workbench (CWB) for non-bargaining unit employee's award calculations; importing, reviewing, certifying, and exporting data.	TBD (Dec)
✓ Helping to print and distribute employee award notices.	TBD (Dec)
✓ Updating documentation and tools to reflect any changes to policy, compensation management guidance and organizational business rules.	As necessary
✓ Create analytical reports.	As necessary
✓ Abide by all data confidentiality protection rules of printed and electronic material containing sensitive personnel material.	Ongoing

APPENDIX 8. DEVELOPING PERFORMANCE STANDARDS AND MEASURES

Rating Officials must identify ways to measure whether the performance elements have been achieved. Performance measures must be written at the fully successful level and be appropriate to the level of responsibility of the employee. They should include number ranges instead of a single number or a single percentage whenever possible for numeric measures. They should not include any absolute standards (an absolute standard allows for no errors). Employees must have the opportunity to exceed the standards.

Standards and Measures tell employees how well they need to do the work, based on observable, measurable, and attainable criteria that describe performance. The five types of appropriate measures are listed in the table below.

Measures – the terms for expressing performance standards
Quantity: specifies how much work must be completed within a certain period of time, e.g., enters 30-35 enrollments per day.
Quality: describes how well the work must be accomplished. Specifies accuracy, precision, appearance, or effectiveness, e.g., 80-85% of documents submitted are accepted without revision.
Timeliness; answers the questions, By when (a date)? How soon (within 30 days of receipt)? Or within what period (in the 2 nd quarter)? e.g., all work orders completed within 5 to 7 working days of receipt, or a project completed by June 30.
Cost Effectiveness: Used when performance can be assessed in terms of utilization of resources: money saved, e.g., the project to ensure all computers, lights, and equipment are turned off daily saves at least \$60,000 in energy.
Manner of Performance: describes conditions in which an individual's personal behavior has an effect on performance, e.g., assists other employees in the work unit in accomplishing assignments.

The steps that rating officials must take to develop job-specific measurable standards are:

1. Identify the performance tasks within the element.
2. Determine the types of measures needed to assess completion of the task (i.e., quality, quantity, timeliness, cost effectiveness, or manner of performance).
3. Determine how to evaluate the measurable standards.
4. Write the measureable standards.
5. Discuss the measurable standards with the employee.
6. Record the measurable standards.

To identify performance tasks, look at the element and description and ask yourself, "What must an employee do to achieve this element of performance?" Then write a short phrase beginning with an action (e.g., develop, prepare, initiate, communicate).

Make sure you break the tasks into specific parts so that tasks of varying importance can be assessed individually. For example, if an employee is responsible for writing weekly reports and preparing a yearly proposal and the yearly proposal is more important, then you may want to have two tasks (writing weekly status reports and developing yearly proposal) instead of having a single task "writes reports and a proposal."

Good measurable standards help structure clear expectations of how well something has to be done. This clarity makes managing performance problems much easier, and helps develop and build on employee strengths as well.

To determine which of the five types of measures that might be appropriate for each task, think about the following questions.

- Is quality important? Does the stakeholder or customer care how well the work is done?
- Is quantity important? Does the stakeholder or customer care how many times items are produced?
- Is it important to accomplish the element by a certain time or date?
- Is it important to accomplish the element within certain cost limits?
- What measures are already available?

Determine how to evaluate the quality, quantity, timeliness, cost-effectiveness and/or manner of performance of the element based on factors that are within the employee's control. The key to developing useful measures is verifiability – can you verify that a measurable standard has been met or exceeded? You must be able to observe and monitor the performance to ascertain whether the standards have been met.

APPENDIX 9. EXAMPLE PERFORMANCE MEASURES FOR CONTRACTING OFFICER'S REPRESENTATIVE

The Contracting Officer's Representatives (CORs) play a critical role in ensuring that contractors meet the commitment of their contracts. They ensure proper development of requirements and assist Contracting Officers in managing their contracts.

- Federal Acquisition Institute

The Federal Acquisition Regulation defines "Contracting Officer's Representative (COR)" to mean an individual designated and authorized in writing by the contracting officer to perform specific technical or administrative functions. The COR is the technical liaison between the contractor and the contracting officer and is responsible for ensuring satisfactory performance and timely delivery as set forth in the contract. The COR can:

- Perform pre-award program management tasks such as preparation of work statements and Independent Government Cost Estimates;
- Act as liaisons and coordinate contractor/Government activities;
- Arrange for and coordinate the use of Government resources;
- Provide guidance concerning the technical performance of the contract; and
- Receive, review, and approve (but not reject or deny) progress reports, selected invoices, and final reports, or other functions of a technical nature. The authority to reject performance and deny associated invoices is expressly reserved for the contracting officer.

Example "Meets Fully Successful" Performance Measures:

Note: Performance measure(s) can only be applied the COR's Mission Results performance element.

- The COR serves as the primary liaison between the Contractor and the Contracting Officer; monitoring and evaluating the contractor's performance, prepares reports of findings, maintain complete working file for the assigned contractual instrument and provide additional substantive oral communications, notes and/or summaries to include copies of written correspondence (including electronic communications) with the contractor; to the Contracting Officer in a timely manner.
- Any COR engaged in contracting and related activities must be above reproach in their business dealings with industry.
- CORs who may have direct or indirect financial interest in an organization that they are monitoring must advise their supervisor of the conflict so that appropriate action may be taken within 24-48 hours of acquired knowledge.
- Every COR and his/her supervisor must certify to the Contracting Officer that the COR has officially filed an OGE Form 450, Confidential Financial Disclosure Report.

- The Contracting Officer specifies the COR's responsibilities in the letter of COR appointment/designation. All duties delegated to the COR by the Contracting Officer must be in the appointment/designation letter prior to start of the contract work.
- The COR must complete the mandatory 40 hrs of continuous learning on or before their anniversary date.
- Inspect and evaluate products (including reports and drafts) and services delivered by the contractor, and make recommendations to the Contracting Officer regarding their acceptability;
- Review and approve/reject contractor's invoices (fixed-price contracts) or vouchers (cost-reimbursement type contracts);
- Monitor the contractor's use of key personnel and notify the Contracting Officer of any changes in key personnel proposed by the contractor;
- Review the qualifications of proposed subcontractors and the appropriateness of subcontracting contract work, and make recommendations to the Contracting Officer regarding consent to the placement of subcontracts;
- Provide the contractor with, monitor the use of, and report on Government-furnished property;
- Provide technical guidance to the contractor;
- Promptly notify the Contracting Officer immediately of any: a) actual or potential contractor performance problems; b) action or inaction by FSIS personnel that may affect the contractor's ability to perform; and c) inappropriate action on the part of FSIS personnel with regard to the contract (e.g., any action that creates a conflict of interest on the part of the contractor or causes the contractor to perform inherently governmental functions). The COR should concurrently notify the program office of any such action.
- As requested by the Contracting Officer, provide him/her with technical assistance on contract-related matters (e.g., disputes, settlements, litigation, patent and copyright issues, final payment during closeout, etc.); provide timely reports on contractor performance to the Contracting Officer and other interested parties; and ensure proper distribution of final products and other information resulting from the contract.

EXCEEDS FULLY SUCCESSFUL: In addition to accomplishing all the requirements at the meets level, the employee must exceed the majority of the measures by demonstrating the following results: (1) performance results/outcomes are continuously met with few or no errors; (2) assignments are completed accurately and ahead of agreed upon timeframes; (3) work products are timely and quality (and quantity when applicable) surpasses agreed upon specifications; (4) effective work methods and program assessment result in improved efficiency, cost-effectiveness (when applicable), and customer satisfaction; and (5) improvement or development of effective work processes are produced through self-directed expertise, innovation or problem-solving and addresses poor performance.

APPENDIX 10. STANDARDS FOR COLLATERAL DUTY SPECIAL EMPHASIS PROGRAM MANAGER

NOTE: Collateral duties are to be included in the Fostering Customer Service, Collaboration, and Partnerships element (Non-critical)

FSIS Special Emphasis Program Manager (SEPM) activities and assignments are consistently completed in accordance with applicable and current law, agency regulations, policies, procedures and guidelines, subject to the oversight of the Director, Civil Rights Staff (CRS), OA (hereafter “the Director”). SEPM work product is responsive to the organization's stated priorities and requirements. Evaluates the effectiveness of annual SEP work and, in consultation with the Director, adjusts SEPM annual performance plan accordingly. Solutions or options for assigned Special Emphasis Program (SEP) project issues or problems are presented to the Director or SEP customers in a timely and appropriate manner to ensure that all SEPM projects or resolutions of SEP issues stay on target. SEPM follows guidance provided in the SEPM Strategic Plan and the FSIS SEPM MOU.

Meets Fully Successful apply to the following:

Attends a minimum of one (1) outreach activity during the rating cycle.

Independently authors a minimum of one (1) article related to assigned SEP or other EEO or Civil Rights issue during the course of the rating cycle. Article is clear, concise, easy to read/understand, and requires minimal revision by the Director.

Assists with the preparation of the SEP-related portion of the Agency’s MD-715 and other reports (e.g., Administrator’s Annual Assessment) as appropriate. Assistance is timely, accurate, and in accordance with instructions provided by the Director.

Provides assistance with the coordination and execution of a minimum of one (1) Departmental special emphasis observance and ensures that the observance is well promoted within FSIS.

Coordinates a minimum of one (1) FSIS special emphasis observance activity that included both field and headquarters employees. At least 85% of those who participate in the observance indicate that it “met” their expectation.

Attends a minimum of eight (8) SEP-related meetings hosted by the CRS or the Department during the rating cycle. Attendance is either in person, telephonic, webinar, etc.

Assists with identifying barriers to employment and strategies to overcome those barriers. SEPM must be able to demonstrate how he/she accomplishes this measure.

Establishes relationships with a minimum of two (2) new external affinity groups whose goals and objectives are closely aligned to the assigned SEP. SEPM must be able to demonstrate how he/she accomplishes this measure.

If SEPM is not assigned any of the duties identified above during the course of the rating year, he/she will not be rated for those duties.

Exceeds Fully Successful: Consistently exceeds expectations in majority of the “Meets” elements.

Signature of Approving Official

Date

APPENDIX 11. ADDENDUM TO SUPERVISORY PERFORMANCE ELEMENT: MANDATORY TRAINING REQUIREMENTS

In accordance with the Departmental Regulation 4040-412-002, Training and Development for Supervisors, the supplemental guidance below outlines the mandatory training requirements, in addition to performance indicators and learning objectives that are mandatory for USDA/FSIS supervisors and managers. Supervisors and managers are required to complete the mandatory trainings on or before the due date, in addition to ensuring that their supervisory functions and regulatory requirements are accomplished by designated deadlines.

MANDATORY TRAINING

TRAINING TOPIC	TARGETED AUDIENCE	TRAINING LOCATION	DUE BY
MANDATORY ANNUAL TRAINING			
<i>USDA Information Security Awareness Training</i>	All USDA employees, partners, & contractors	Available in AgLearn	Mar 31
<i>EEO, Civil Rights and Diversity Policy</i>	All USDA employees, partners, & contractors	Record Own Learning for credit in AgLearn	Sept 30
<i>Diversity and Inclusion</i>	All USDA employees, partners, & contractors	Available in AgLearn	Sept 30
<i>General Security and Situational Awareness</i>	All USDA employees	Available in AgLearn	Sept 30
<i>Active Shooter</i>	All USDA employees	Available in AgLearn	Sept 30
<i>Ethics Mandatory Training: Acquisition and Ethics Issues, Political Activities and the Hatch Act, or Ethics and Leadership.</i>	All USDA employees	Available in AgLearn	Sept 30
<i>Maximizing Employee Engagement</i>	Executives, Supervisors & Managers only	Available in AgLearn	Sept 30
<i>Veteran Employment Training for Federal Hiring Manager</i>	Hiring managers (Supervisory status 2,4,5 or 6)	Available in AgLearn	Sept 30
MANDATORY TRAINING FOR NEW SUPERVISORS (**W/ REQUIRED ANNUAL REFRESHER TRAINING)			
<i>TeleWork 101 for Employees</i>	USDA Employees who intend to telework	Live Webinar. Also courses available in AgLearn	Sept 30
<i>Workplace Violence Prevention and Response Training</i>	FSIS Managers	Available in AgLearn	Sept 30
MANDATORY TRAINING FOR NEW SUPERVISORS (**W/ REQUIRED BI-ANNUAL REFRESHER TRAINING)			
<i>FSIS Overview of the FSIS Performance Management System</i>	All Non-Bargaining Unit Employees	Record Own Learning for credit in AgLearn	June 30
<i>USDA No FEAR Act Training - Comprehensive</i>	All new USDA employees	Available in AgLearn & paper based as well	Sept 30

MANDATORY TRAINING FOR EXPERIENCED SUPERVISORS (**W/ REQUIRED REFRESHER TRAINING EVERY 3 YEARS)			
<i>FSIS Experienced Supervisor Training Program – Classroom</i> <i>FSIS-Experienced Supervisor 2015 Web-based</i>	Supervisors & Managers only	Live Webinar, Classroom and online courses available in AgLearn	Sept 30
MANDATORY TRAINING FOR NEW SUPERVISORS – ONE TIME TRAINING REQUIREMENT			
<i>Hiring Reform Training for Hiring Managers</i>	Supervisors and Managers w/Hiring Responsibilities	Available in AgLearn	Aug 21
<i>Reprisal</i>	Executives, Supervisors & Managers only	Available in AgLearn	Sept 30
<i>Re-inventing Diversity for Today's USDA</i>	All new USDA employees	Available in AgLearn & paper based as well	Sept 30
<i>Ethics: Training Module 21 New Employee Ethics Orientation</i>	All new USDA employees	Available in AgLearn & paper based as well	Sept 30
<i>USDA Scientific Integrity Policy</i>	All USDA employees, partners, & contractors	Available in AgLearn	Sept 30
<i>FSIS-Management Directive 715 Training</i>	FSIS Managers	Live Webinar	Sept 30
<i>FSIS-Resolving Officials Training</i>	FSIS Managers	Live Webinar	Sept 30
<i>TeleWork 101 for Managers</i>	FSIS Managers who have employees who are eligible to telework	Available in AgLearn	Sept 30

****SUPERVISOR ADMINISTRATIVE FUNCTIONS AND REGULATORY REQUIREMENTS**

TOPIC	PERFORMANCE INDICATOR	OBJECTIVES
Pay and Leave Policies	Approves and validates leave using the agency's system.	Makes leave decisions in compliance with agency policies.
Time and Attendance	Approves and validates time sheets using the agency's system, e.g., WebTA.	Grants credit hours and overtime in compliance with agency policies.
Managing Telework	All eligible employees who are interested have telework agreements.	Supports telework in accordance with USDA and agency policies. Ensures employees are engaged and productive while using telework.
Prohibited Personnel Practices and Merit Systems Principles	Manages work unit in compliance with Prohibited Personnel Practices and Merit System Principles.	Applies the Merit System Principles. Avoids use of the Prohibited Personnel Practices.
Ethics for Supervisors	Adheres to all policy and federal laws.	Follows USDA Office of Ethics Training guidelines for supervisors, managers, and new employees.
Workplace Violence and Prevention	Takes appropriate action to prevent and/or address workplace violence.	Takes appropriate action to prevent and/or address workplace violence.
Federal EEO Process	Complies with all EEO policies resulting in zero substantiated complaints.	Complies with policies on disparate treatment and harassment. Complies with policies on reasonable accommodations

		Takes action to ensure the workplace is free of unlawful discrimination. Supports and promotes diversity and inclusion.
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****LEADERSHIP COMPETENCIES**

TOPIC	PERFORMANCE INDICATOR	OBJECTIVES
Leveraging Diversity	Attains maximum performance from each team member; Provides each team member with maximum career development/growth opportunities.	Explains the business case for cultural transformation. Articulate the value and differences between diversity and inclusion. Describes the role of the supervisor in creating an inclusive environment.
Conflict Management	Fosters creative tension and manages and resolves conflicts/disagreements in a constructive manner.	Demonstrates active listening. Practices generating alternative solutions. Facilitates effective discussions. Demonstrates ability to: keep people in dialogue, separate purpose from strategy, seek mutual purpose by generating alternatives.
Teambuilding	Facilitates cooperation and motivates team members to accomplish group goals; Fosters team commitment and trust.	Demonstrates ability to keep people in dialogue as means to build trust and build team unity. Articulates the drivers of trust Identifies strategies to encourage different personality types to work together well.

****DEVELOPING OTHERS**

TOPIC	PERFORMANCE INDICATOR	OBJECTIVES
Mentor/Coach Employees	Provides long-term career growth guidance. Uses coaching skills to match employee performance to stated expectations or goals.	Describes the value of and differences between coaching and mentoring. Demonstrates a variety of listening/coaching skills.
Managing AgLearn as a Supervisor	Appropriately populates employee learning plans on Ag Learn.	Manages employee learning plans on AgLearn including how to approve/disapprove learning options.
Developing and Managing IDPs	Ensures development of IDPs that incorporate personal and organizational goals for 100% of eligible employees, and upon request.	Outlines learning goals based on work unit priorities and employee interests. Uses AgLearn to manage IDPs for employees (if employees have AgLearn account or by paper if AgLearn is not employee accessible).

****ACCOUNTABILITY AND PERFORMANCE MANAGEMENT**

TOPIC	PERFORMANCE INDICATOR	OBJECTIVES
Increase Employee Performance	Establishes and communicates work objectives that support organizational goals and supports employees so that they meet expectations.	Outlines the performance management process. Outlines the regulatory requirements for planning employee performance. Creates performance elements and standards in relation to work outputs. Clearly communicate work objectives to employees.
Empower Employees	Delegates tasks and responsibilities in a manner that affords employees the opportunities to best use their talents and increase their skill sets.	Delegates work to support employee commitment. Delegates work that provides for employee growth opportunities as well as talent utilization. Gives employees the

		opportunity to make decisions that most impact their work outcomes.
Create Performance Plans	All employees have a performance plan that links to organizational mission and goals.	Describes elements and standards in relation to work outputs. Sets meaningful goals to establish work priorities.
Conduct Performance Feedback Meetings	Conducts midyear review Conducts end of year review	Conducts midyear review. Conducts end of year review. Provides frequent, constructive feedback.
Handle Unacceptable Performance	Expediently identifies performance issues and provides timely guidance and opportunities for employees to meet expectations.	Seeks guidance from Employee Relations to help employee be successful. Recognizes the difference between a performance problem and misconduct. Describes the process for analyzing performance problems. Identifies the steps for managing performance problems. Identify special considerations associated with performance problems.
Handle Misconduct	Expediently identifies conduct issues and decisively addresses misconduct.	Defines misconduct. Includes Employee Relations when handling issues of misconduct. Describes the elements of disciplinary action. Identifies special considerations associated with handling misconduct situations.

****HUMAN CAPITAL MANAGEMENT**

TOPIC	PERFORMANCE INDICATOR	OBJECTIVES
Hiring Practices	Ensures positions align with unit and organizational requirements if part of supervisor's role; Contacts appropriate HR specialists for staffing and classification issues; Conducts hiring interviews and checks references.	Describes supervisory responsibilities in the hiring process. Applies Merit System Principles and avoid Prohibited Personnel Practices during the hiring process. Recognizes primary strategies used for filling vacancies. Understands the purpose of special selection priorities. Describes steps in the applicant ranking/rating process. Identifies process for preparing for and conducting candidate interviews.
Onboarding New Hires	100 % of new hires on-boarded within prescribed timeframe.	Uses the USDA New Employee Onboarding Portal. Ensures all new hires are aware of administrative requirements. Incorporates new hires onto team so that they are immediately engaged in their workgroup.
USERRA and Hiring Veterans	Meets agency and Department goals for hiring Veterans.	Applies Veterans preference appropriately in the hiring process. Ensures that employees who are called away from job assignments to perform military service are returned to the job appropriately once the service has been completed.

Hiring and Supervising Persons with Disabilities	<p>Complies with EEO regulations and policies relating to employing individuals with disabilities.</p>	<p>Complies with Section 501 of the Rehabilitation Act to support affirmative action and nondiscrimination in employment of individuals with disabilities.</p> <p>Complies with Section 503 to support affirmative action and prohibit employment discrimination by Federal government contractors and subcontractors with contracts of more than \$10,000.</p> <p>Complies with Section 504 to provide accessible programs and a work environment that includes individuals with disabilities.</p> <p>Complies with Section 508 of the Rehabilitation Act to ensure that electronic and information technology is accessible to individuals with disabilities.</p> <p>Complies with USDA Reasonable Accommodation Policy and Procedures.</p> <p>Complies with Executive Order 13548, "Increasing Federal Employment of Individuals with Disabilities".</p>
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ADDITIONAL SUPERVISORY REQUIREMENTS (WHEN APPLICABLE)

TOPIC	PERFORMANCE INDICATOR	OBJECTIVES
Managing Employees covered under the Bargaining Unit Agreements	<p>Functions in full compliance with collective bargaining agreement for employees.</p>	<p>To be addressed based on each collective bargaining agreement. As required by labor agreements, training should be developed in consultation with the bargaining union.</p>
Financial Management	<p>Develops budgets in compliance with agency and program requirements. Tracks and spends funds in compliance with all Federal, agency, and program policies.</p>	<p>Creates budgets that support work unit and organizational goals. Tracks and spend funds in compliance with agency policies and procedures.</p>
Managing Travel	<p>All Concur transactions processed in a timely manner, in compliance with agency travel policies.</p>	<p>Approves travel requests. Approves travel vouchers.</p>