PERFORMANCE PLAN AND APPRAISAL RECORD

Non-Supervisory Employees

(See Privacy Act Statement on page 3)

PART I. ADMINISTRATIVE DATA

A. EMPLOYEE NAME *(Last, First, Middle Initial)*	B. EMPLOYEE IDENTIFICATION NUMBER	C. RATING PERIOD *(MM/DD/YYYY)*	
		FROM	TO

D. ORGANIZATION	E. OFFICE SYMBOL	F. PAY PLAN, SERIES AND GRADE	G. POSITION TITLE

PART II. POSITION DESCRIPTION/REVIEW/CERTIFICATION

I certify that I have reviewed the employee's position description. If I do not believe it is an accurate statement of the major duties and responsibilities of the position, I have initiated appropriate action.

POSITION DESCRIPTION HAS BEEN REVIEWED ☐ REVIEWED BY: DATE

PART III. PERFORMANCE PLAN AND APPRAISAL INSTRUCTIONS

A performance plan must be issued to the employee at the beginning of each rating period. These plans may be modified during the performance cycle, but employees must perform under a documented performance plan for a minimum of 90 days before they can be rated.

Development of the performance plan should be a collaborative endeavor between the supervisor and the employee. The performance plan for each employee must contain critical elements. Critical elements are work assignments or responsibilities of such importance that unsatisfactory performance on the element would result in a determination that an employee's overall performance is unacceptable. Objectives, activities, and tasks should be identified under each critical element. Non-Supervisory plans must have at least three, but no more than six critical elements. Non-Supervisory plans must include the Organizational Goal(s) element. The total of the percentages assigned to the critical elements selected must equal 100%. Performance levels Level 3 and Level 5 must be addressed for each critical element.

Performance will be measured against 3 levels, as follows:

Level 5 - Meets and consistently exceeds performance expectations as defined in Level 3 *(Outstanding)*
(1) Consistently demonstrates extraordinary and exceptional performance, achieves outstanding results, makes unique and impactful contributions, and significantly contributes to organizational goals.
(2) Highest level of performance, indicating sustained excellence and high-value, optimized, meaningful results.

Level 3 - Meets performance expectations *(Fully Successful)*
(1) Objectives, activities and specific tasks are carried out with expected levels of quantity, quality, timeliness and cost-effectiveness.
(2) Contributes positively toward the achievement of organizational goals and produces meaningful results.
(3) Performance indicates solid, dependable, and consistent achievement of requirements and expectations. Objectives, activities, and specific tasks associated with each critical element are carried out with expected levels of quantity, quality, timeliness, and cost effectiveness in accordance with performance plan. Responsibilities are carried out in accordance with all official guidance, policies, and applicable laws, rules, and regulations.

Level 1 - Does not meet performance expectations as defined in Level 3 *(Unacceptable)*
(1) Performance does not meet established expectations, timelines and targets.
(2) Fails to deliver acceptable work products, services, or outcomes, does not contribute to organizational goals, and/or does not meet the goals and objectives of the position.

Unrateable - Employees are not rated on elements they have not been given an opportunity to perform. The weighted unrated element will be equally distributed to the remaining elements that are rated to generate the summary rating.

Once the performance plan is finalized and a copy provided to the employee, both the supervisor and employee must certify issuance and receipt under Part VII. Mid-year performance reviews are required under GSA's Employee Performance Plan and Appraisal System (EPPAS). Both the supervisor and employee must certify the mid-year performance review under Part VII.

Within 45 days of the end of the rating period, evaluate the performance plan objectives, underlying activities and tasks, and assign a rating to each critical element based on how well the employee met the performance expectations. Document the rating for each critical element and the derived summary on this form *(see Part VIII for instructions on deriving summary ratings)*. Overall comments on performance and identification of training and/or developmental needs should be documented in Parts V and VI, respectively. If the summary rating is at Level 5 or Level 1, the employee's appraisal MUST be reviewed and approved by the appropriate reviewing official.

The supervisor and employee must certify under Part VIII that an annual performance appraisal was conducted, and a summary rating was issued to the employee. Once both parties sign, a copy of this form, including the performance plan, MUST be provided to the employee.

PART IV. PERFORMANCE PLAN AND CRITICAL ELEMENT APPRAISAL

CRITICAL ELEMENTS: *(For performance plan with standards complete Performance Plan Worksheet Part IX.) (attach additional pages as necessary)*

ELEMENT TITLE	WEIGHT	RATING
	%	

COMMENTS

ELEMENT TITLE	WEIGHT %	RATING

COMMENTS

ELEMENT TITLE	WEIGHT %	RATING

COMMENTS

ELEMENT TITLE	WEIGHT %	RATING

COMMENTS

ELEMENT TITLE	WEIGHT %	RATING

COMMENTS

ELEMENT TITLE	WEIGHT %	RATING

COMMENTS

PART V. COMMENTS

COMMENTS ON OVERALL PERFORMANCE (*attach additional pages as necessary)*

PART VI. DEVELOPMENT AND TRAINING

INDICATE PROFESSIONAL GROWTH NEEDS AND AVENUES TO MEET THOSE NEEDS *(attach additional pages as necessary)*

PART VII. CERTIFICATION OF PERFORMANCE PLAN AND MID-YEAR REVIEW

PERFORMANCE PLAN DEVELOPED:

Signatures below certify that the supervisor and employee have discussed performance expectations, and the employee has been given a copy of their performance plan.

SUPERVISOR/RATING OFFICIAL	SUPERVISOR'S/RATING OFFICIAL'S SIGNATURE	DATE
EMPLOYEE	EMPLOYEE'S SIGNATURE	DATE

I understand my signature does not constitute agreement or disagreement with the plan, but merely verifies I have received the information.

MID-YEAR PROGRESS REVIEW:

Signatures below certify that the supervisor and employee have discussed performance against the expectations, and changes have been made to the performance plan as necessary.

SUPERVISOR/RATING OFFICIAL	SUPERVISOR'S/RATING OFFICIAL'S SIGNATURE	DATE
EMPLOYEE	EMPLOYEE'S SIGNATURE	DATE

I understand my signature does not constitute agreement or disagreement with the review, but merely verifies I have received the information.

PART VIII. SUMMARY RATING

Level 5 for 70% or more of the critical elements weights and no critical element is rated below Level 3.

Level 3 or higher all of the critical element weights but does not meet the 70% rule for assigning a Level 5 summary rating; and no critical element is rated below Level 3.

Level 1 if one or more critical elements are rated at Level 1.

Unrateable is issued when an employee has not served 90 days on a signed performance plan for any element during the rating period.

SUMMARY RATING:

TYPE OF RATING ISSUED (Select One)**:**	**RATING**	
SUPERVISOR/RATING OFFICIAL	SUPERVISOR'S/RATING OFFICIAL'S SIGNATURE	DATE
REVIEWING OFFICIAL ***(For Summary Ratings at Level 5 or Level 1)***	REVIEWING OFFICIAL'S SIGNATURE	DATE
EMPLOYEE	EMPLOYEE'S SIGNATURE	DATE

I understand my signature does not constitute agreement or disagreement with the rating, but merely verifies I have received the information.

PRIVACY ACT STATEMENT

This form is subject to the provisions of the Privacy Act. Records will be processed and maintained by the employee's supervisor and the Consolidated Processing Center. Information will be made available to the appropriate review authorities. Disclosure of the employee ID number is mandatory to determine or verify eligibility for benefits accruing to employees such as additional tenure credit for reduction-in-force purposes, pay increases, within-grade increases and quality-step increases, which are directly linked to overall performance rating levels. The information gathered through the use of the employee ID number will be used only as necessary in personnel administration processes carried out in accordance with established regulations and published systems of records notices.

PART IX. EMPLOYEE PERFORMANCE PLANNING WORKSHEET

A. EMPLOYEE NAME *(Last, First, Middle Initial)*	B. EMPLOYEE IDENTIFICATION NUMBER	C. RATING PERIOD *(MM/DD/YYYY)*	
		FROM	TO

D. ORGANIZATION	E. OFFICE SYMBOL	F. PAY PLAN, SERIES AND GRADE	G. POSITION TITLE

RATER	DATE DEVELOPED	DATE CERTIFIED

ELEMENT TITLE	WEIGHT
	%

ELEMENT DESCRIPTION	DERIVED FROM

GENERAL MEASURE(S)

SPECIFIC MEASURE(S)	PERFORMANCE STANDARD(S) AND FEEDBACK SOURCE(S) *(At a minimum the Level 3 and Level 5 standard MUST be addressed)*

ELEMENT TITLE	WEIGHT
	%

ELEMENT DESCRIPTION	DERIVED FROM

GENERAL MEASURE(S)

SPECIFIC MEASURE(S)	PERFORMANCE STANDARD(S) AND FEEDBACK SOURCE(S) *(At a minimum the Level 3 and Level 5 standard MUST be addressed)*

ELEMENT TITLE	WEIGHT %

ELEMENT DESCRIPTION	DERIVED FROM

GENERAL MEASURE(S)

SPECIFIC MEASURE(S)	PERFORMANCE STANDARD(S) AND FEEDBACK SOURCE(S) *(At a minimum the Level 3 and Level 5 standard MUST be addressed)*

ELEMENT TITLE	WEIGHT %

ELEMENT DESCRIPTION	DERIVED FROM

GENERAL MEASURE(S)

SPECIFIC MEASURE(S)	PERFORMANCE STANDARD(S) AND FEEDBACK SOURCE(S) *(At a minimum the Level 3 and Level 5 standard MUST be addressed)*

ELEMENT TITLE	WEIGHT %

ELEMENT DESCRIPTION	DERIVED FROM

GENERAL MEASURE(S)

SPECIFIC MEASURE(S)	PERFORMANCE STANDARD(S) AND FEEDBACK SOURCE(S) *(At a minimum the Level 3 and Level 5 standard MUST be addressed)*

ELEMENT TITLE	WEIGHT %

ELEMENT DESCRIPTION	DERIVED FROM

GENERAL MEASURE(S)

SPECIFIC MEASURE(S)	PERFORMANCE STANDARD(S) AND FEEDBACK SOURCE(S) *(At a minimum the Level 3 and Level 5 standard MUST be addressed)*