

For: FSA Employees

FSA Performance Management Program

Approved by: Deputy Administrator, Management



1 Overview

A Background

In 1993, the Government Performance and Results Act established the idea of strategic planning and performance measurement in the Federal government. Building on this, the President’s Management Agenda, issued in 2002, focused on improving government performance and budget and performance integration. Also in 2002, Congress passed the Chief Human Capital Officer’s Act that requires OPM to design a set of systems for assessing the management of human capital by Federal agencies. This requirement resulted in the development of the Human Capital Assessment and Accountability Framework (HCAAF). A key implementing system of HCAAF is a results-oriented performance culture. According to OPM, a performance management program must effectively differentiate between high and low performance and develop employee performance plans that are aligned with and support organizational goals.

Note: For sites **not** using EmpowHR, performance plans are documented on AD-435A and AD-435B.

During FY 2005, when FSA was under a pass/fail performance management program, all employees, starting with senior managers, developed and implemented new performance plans that aligned with and supported FSA’s mission and goals. During FY 2006, FSA implemented a new, 5-tiered performance management program that effectively differentiated between high and low performance.

It is FSA’s policy to maintain a performance management program for improving individual and organizational effectiveness in accomplishing FSA’s mission and goals. Beginning with the FY 2007 appraisal period, FSA implemented a performance management program that builds on our former program, and develops and maintains a results-oriented performance culture in FSA.

Disposal Date October 1, 2008	Distribution All FSA employees; State Offices relay to County Offices.
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1 Overview (Continued)

B Purpose

This notice:

- announces the FY 2008 FSA performance management program
- obsoletes Notices PM-2584 and PM-2589.

C Authorities

The FSA performance management program is based on the following:

- 5 U.S.C. Chapter 43
- 5 CFR Part 430
- USDA Performance Management DR 4040-430.

D Coverage

FSA's performance management program applies to all FSA employees nationwide, except for:

- individuals in the Senior Executive Service (SES)
- individuals for which employment is not reasonably expected to exceed the minimum appraisal period (90 calendar days) in a consecutive 12 month period

Note: Temporary intermittent employees would only be subject to the performance management system if they actually work a continuous 90-calendar day period regardless of the length of their appointment.

- STC and COC members
- individuals excluded from coverage by statute or by OPM regulation.

E Effective Date

The FY 2008 FSA performance management program is effective October 1, 2007.

F Action

All supervisors shall ensure that all of their employee's performance plans comply with the provisions of this notice. Any changes that need to be made to bring an employee's performance plan into compliance with this notice shall be completed no later than **October 30, 2007**.

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1 Overview (Continued)

G EmpowHR

EmpowHR, formerly known as I*CAMS, is a computer-based management tool used for various programs, 1 of which is performance management. All FSA Field Offices currently access EmpowHR using self-service EmpowHR. All other FSA offices will adopt EmpowHR at some point in the future.

2 Responsibilities

A Administrator Responsibilities

The Administrator is responsible for the following:

- monitoring program compliance with applicable laws and regulations, Department policies, and collective bargaining agreements
- ensuring program compliance with policy and program direction and administration
- developing and communicating FSA's mission, strategic goals, and objectives to all levels, to assist supervisors and managers in developing employee performance plans.

B Rating Official Responsibilities

Rating officials are responsible for the following:

- determining and communicating the appropriate FSA and USDA mission, goals, objectives, priorities, and relative performance measures and results to employees
- communicating performance expectations clearly and holding employees responsible by establishing individual performance plans and creating a performance culture and environment that promotes a high performing work unit
- engaging the employee in the process of establishing and documenting performance plans and providing a written copy of performance plan at the beginning of each appraisal period or no later than 30 calendar days after the beginning of each appraisal period or assignment of an employee to a position, or when performance plans are revised during the appraisal period
- ensuring that each employee's performance plan has at least 1 critical element that is aligned to the mission, goals, and outcomes of FSA and USDA
- monitoring performance during the rating period and providing feedback to employees on their performance, developing employees, and conducting 1 or more progress reviews as provided for in this notice
- preparing performance ratings in a timely manner, making meaningful distinctions among employees based on performance, and fostering and rewarding excellent performance and addressing poor performance.

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2 Responsibilities (Continued)

C Reviewing Official Responsibilities

Reviewing officials are responsible for the following:

- managing individual and organizational performance and creating a work culture and environment that promotes a high-performing work unit
- implementing the principles, policies, procedures, and requirements of the performance management program within their span of control
- ensuring that rating officials carry out their performance management responsibilities and assessing the rating official's performance in fulfilling these responsibilities
- reviewing and approving performance plans and ratings of their subordinate rating officials for consistency, fairness, objectivity, completeness, and to ensure that performance plans reflect the larger organization's overall needs and goals
- ensuring equity and consistency in consideration for awards within their organization
- resolving disagreements between the rating officials and employees.

Note: In all discussions, the reviewing official shall make the final decision.

D Employee Responsibilities

Employees are responsible for the following:

- participating in discussions and documentation of their performance plan, with their rating official for developing performance elements, standards and measures; progress reviews; and summary ratings
- ensuring that they have a clear understanding of their performance expectations and how performance relates to the mission of the organization, and requesting clarification if necessary
- taking responsibility to continuously improve performance, support team endeavors, develop professionally, and perform at their full potential
- identifying work problems and cooperating with rating officials to resolve them
- seeking performance feedback from their rating official and internal and external customers as appropriate.

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2 Responsibilities (Continued)

E Director, HRD Responsibilities

Director, HRD is responsible for the following:

- overseeing the performance management program and its results
- periodically evaluating the effectiveness and efficiency of the performance management program.

F Servicing Personnel Office (SPO's)

SPO's are responsible for the following:

- providing technical and operational support and advice to the rating and reviewing officials in administering the performance management program in a manner consistent with applicable laws, rules, and regulations
- ensuring that performance plans and ratings of record are maintained in SPO according to 5 CFR Parts 293 and 297
- providing training on the performance management program to all employees.

3 Rating and Reviewing Official Exceptions

A General Rule

Unless otherwise specified, the rating official is the employee's first-line supervisor and the reviewing official is the employee's second-line supervisor. The exceptions to this rule are:

- CED's
- program technicians (PT's).

For CED's, the:

- rating official is COC chairperson
- reviewing official is DD, who serves as STC designee.

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3 Rating and Reviewing Official Exceptions (Continued)

B CED Rating and Reviewing Official

CED performance plans, mid-year reviews, or performance appraisal shall be handled according to the following. DD shall:

- work with COC chairperson to prepare a draft document for each CED

Note: If CED has FLP duties as part of his/her performance agreement, the credit official for that area should be consulted when developing the rating/review.

- present draft document to CED for review and comment
- work with COC chairperson to finalize document
- present final document to CED
- enter information on CED into EmpowHR

Note: DD will enter information into EmpowHR as CED's rating official. The information will flow in EmpowHR to SED, who will act as the reviewing official. Once SED has approved the document, it will flow back to DD for review of any changes/updates made by the reviewing official and then to CED who will view and certify the document. The information will then flow back to DD.

- print a hard copy of document from EmpowHR
- give printed document to COC chairperson to sign as the rating official
- sign printed document as the reviewing official
- give printed document to CED for signature

Note: Provide a copy of the printed document to CED for their records.

- submit printed document to the State Office for review, if required
- if working on performance plan or mid-year review, keep the original printed performance plan or mid-year review in a secure file for later review/rating
- follow through with completing the process in EmpowHR, so that the summary rating can be entered and transmitted to NFC electronically at the end of FY.

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3 Rating and Reviewing Official Exceptions (Continued)

C PT Rating and Reviewing Official

The following are the rating and reviewing official for PT's working in County Offices with various workloads.

IF PT is a...	THEN the rating official is...	AND reviewing official is...
GS employee performing both farm program (FP) and FLP work	the Farm Loan Manager (FLM) in collaboration with CED	DD.
GS employee performing only FLP work	FLM	
CO employee performing only FP work	CED	DD, in collaboration with COC chairperson.
CO employee performing both FP and FLP work	CED in collaboration with FLM	

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3 Rating and Reviewing Official Exceptions (Continued)

C PT Rating and Reviewing Official (Continued)

IF PT is a...	THEN the rating official is...	AND reviewing official is...
CO employee performing only FLP work	<p>FLM</p> <p>Note: Since CED is the supervisor of record for CO-PT, performance plan, mid-year review, and performance appraisal will need to be signed on hard copy by FLM for CO-PT's who perform FLP work. CED will enter information into EmpowHR as PT's (performing FLP work only) rating official. The information will flow in EmpowHR to DD (the reviewing official). After DD has approved the document, it will flow to CED for review of any changes/updates by the reviewing official and on to PT for view and certification. The information will then flow back to CED. CED shall:</p> <ul style="list-style-type: none"> • print hard copy of the document from EmpowHR • sign printed document as rating official • give printed document to COC chairperson to sign off as reviewing official • present printed document to PT for signature • give a copy of the printed document to PT • submit printed document to State Office for review, if required by State Office • if working on a performance plan or mid-year review, keep the original printed document in a secure file for later review/rating • follow through with completing the process in EmpowHR, so the summary rating can be entered and transmitted to NFC electronically at the end of FY. 	DD.

Notes: In any instance where the rating or review is a collaborative process, the parties involved should discuss their positions. The “official” rating/reviewing official will then input all information for both parties.

The current workflow in EmpowHR shows CED as the rating official for CO-PT with DD as the reviewing official. For all instances where CO-PT performs both FP and FLP work or FLP work only, signatures of both FLM and CED are required. Hard copy documents will be necessary in dual signature situations until EmpowHR can be modified.

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3 Rating and Reviewing Official Exceptions (Continued)

D Specific Field Office Situations

All discussions on CED and CO-PT performance plans, mid-year reviews, or performance appraisals shall be documented in COC executive minutes.

DD's who do **not** yet have loan approval authority and are rating officials for FLM's should collaborate with the Farm Loan Chief (FLC) on any elements that require knowledge of FLP. DD's and FLC's should discuss their positions and then DD will input all information for both parties.

If SED is the rating official for an employee, then DAFO is the reviewing official for that employee.

In any shared management operation lasting at least 90 calendar days, the non-headquarter COC should provide input on the employee's performance to the headquarter COC, who will take this into account when preparing the final performance appraisal.

All final ratings for CO employees may be grieved to the State Grievance Board according to 22-PM. GS employees may grieve a final rating according to 15-PM or applicable collective bargaining agreement.

4 Establishing Performance Plans

A Appraisal Period and Documentation

The appraisal period starts October 1 of each year and ends September 30 of the following year.

Performance plans should be:

- established within 30 calendar days of the start of the appraisal period or of an employee's assignment to a position
- reviewed and, if necessary, amended each time a work assignment changes significantly, up to 90 calendar days before the end of the appraisal period.

Employees **must** be informed of and participate in any changes made to their performance plans.

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4 Establishing Performance Plans (Continued)

A Appraisal Period and Documentation (Continued)

Performance plans are documented:

- in EmpowHR for offices **using EmpowHR** (with the exception of situations listed in paragraph 3 which would be created and finalized on the hard copy of AD-435A and AD-435B and then dataloaded with follow through in EmpowHR)
- on AD-435A and AD-435B for offices **not using EmpowHR**.

Note: AD-435A and AD-435B are available from FFAS Employee Forms Online web site at <http://165.221.16.90/dam/ffasforms/currentforms.asp>.

See:

- Exhibit 1 for example AD-435A's and AD-435B's for Field Office positions
- Exhibit 2 for an example AD-435A and AD-435B's for a National Office position.

B Employee Participation

Employee participation is **required** in establishing or revising performance plans. This can be accomplished by whatever method works best for the parties concerned.

Example: The supervisor could ask the employee to develop draft performance plans for discussion or the supervisor himself/herself could develop draft performance plans for discussion. If there are differences between the employee and the supervisor, the final decision shall be made by the reviewing official.

C Elements

The basis for elements are the requirements of the employee's position. Applicable sources for developing elements include position descriptions, work plans, organizational goals and objectives, and any other source that assigns or fixes responsibility for accomplishing work.

D Number of Elements

Supervisors shall establish at least 3 but no more than 7 performance elements. See Exhibit 3 for a list of elements from which the 3 to 7 elements can be selected. Other job specific elements may be created, if necessary, in addition to those elements listed in Exhibit 3.

Note: For State and County Office employees, see:

- Exhibit 4 for possible elements for each position
- Exhibit 5 for possible standards for each element.

Using these elements and standards is **not** mandatory. They are meant merely to assist supervisors in developing performance plans.

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4 Establishing Performance Plans (Continued)

E Required Elements

The following **critical** elements in Exhibit 3 are **mandatory** for **all** supervisors and managers:

- “Supervision” element
- “Customer Service” element
- “Supervisory Equal Opportunity and Civil Rights” element.

The following **noncritical** element and associated standards are **mandatory** for Farm Loan Officer Trainee (FLOT) trainers:

- **Element.** “FLOT trainer provides direct instruction and oversees hands-on work experiences that facilitate mastery of the key concepts, regulations, and practices related to performing the duties of a Farm Loan Officer.”
- **Standards.**
 - “Gives clear directions; lays out assignments in a well-planned and organized manner with no more than 2-3 exceptions as determined by the FLOT coordinator and FLC.”
 - “Provides timely feedback and coaching for improvement with no more than 2 legitimate complaints, as determined by FLOT coordinator and FLC, received from the trainee that feedback is not provided.”
 - “Maintains 2-way dialogue with FLOT on work/results with no more than 2 legitimate complaints as determined by the FLOT coordinator and FLC. Any communications problems are brought to FLOT trainer’s attention within 24 to 30 hours.”
 - “Ensures that monthly, quarterly, or interim reports are submitted within established deadlines with no more than 1 exception.”

The following element and associated standards are **mandatory** for employees assigned Consent Decree Action Team (CDAT):

- **Element.** “Special projects: Detailed to Washington, DC, with the *Pigford v. Johanns* class action lawsuit project, commonly known as Consent Decree and/or Consent Decree Action Team (CDAT)”.

4 **Establishing Performance Plans (Continued)**

E Required Elements (Continued)

- **Standard.** “Completes assignments in a competent, accurate, and thorough manner. Assignments completed comply with regulations and procedures; completed assignments reflect research and collaboration with others, as required. Works closely with contractors, DOJ, OIG, OGC, Monitor of Consent Decree, Finance Office personnel, DAFO, LMD, LSPMD, FLC, State Office personnel, County Office personnel, and peers to ensure that all aspects of the Consent Decree are met. Completes claim and petition reviews, processes implementations of debt relief, and provides research in priority cases. Ensures that all requirements of the Consent Decree are completed within the timeframes established by the court order. Works closely with and reports to DAFLP and CDAT Project Manager. Performs CDAT functions a minimum of ____% of the time.”

Note: CDAT supervisors will develop measures to address this part of the employee’s responsibilities.”

F Critical and Noncritical Elements

Supervisors shall determine what elements shall be critical and noncritical. Critical elements cover duties that are essential to the successful performance of the position. Elements aligned with FSA mission and goals, and, for supervisors and managers, the “Supervisory Equal Opportunity and Civil Rights” and the “Supervision” elements **must** be critical. At least 1 element must be critical and 1 element must be noncritical. On the summary rating:

- critical elements will be scored as 2 points
- noncritical elements will be scored as 1 point.

G Equal Opportunity and Civil Rights (EO/CR) and Customer Service (CS) Elements for Nonsupervisors

Separate EO/CR and CS elements are **not** required for nonsupervisors. The elements may be kept separate or built into other critical elements. If the supervisor decides that there will **not** be separate EO/CR and CS elements, the following EO/CR and CS language **must** be built into the **element description** piece of another critical element.

For EO/CR:

“Performs all duties in a manner which consistently demonstrates fairness, cooperation, and respect toward coworkers, office visitors, and all others in the performance of official business. Demonstrates an awareness of EO/CR policies and responsibilities of FSA and Departmental goals of valuing a diverse, yet unified workforce.”

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4 Establishing Performance Plans (Continued)

G Equal Opportunity and Civil Rights (EO/CR) and Customer Service (CS) Elements for Nonsupervisors (Continued)

For Customer Service:

“Routinely displays courteous and tactful behavior. Projects a positive and professional image of USDA. Provides advice that is timely, responsive, and accurate. Maintains appropriate rapport with internal and external customers. Develops and establishes working relationships with external organizations as required. Keeps supervisor and/or team leader informed of difficult and/or controversial issues and unique problems. Takes action to effectively solve problems before they have an adverse impact on the organization or other employees.”

Supervisors will choose the appropriate element and develop at least 1 standard to address EO/CR component and at least 1 standard to address CS component.

Note: If EO/CR or CS elements are kept separate, they **must** be critical.

H Standards

For each element selected, there **must** be at least 3 written standards for measuring performance of the element. Standards **must** be observable, measurable, and attainable by the employee. Standards need only be written at the “Meets Fully Successful” level in the performance plans. However, rating officials should be prepared to explain performance at the “Does Not Meet Fully Successful” and “Exceeds Fully Successful” levels. Do **not** include phrases like “other duties as assigned”.

I Performance Management Standard

All employees with the “Supervision” element shall have the following standard in the “Supervision” element:

“Employee performance plans focus on results achieved, contain at least one element that is aligned with FSA and USDA mission, goals, and objectives, and are in place within 30 calendar days of the beginning of the appraisal period. Mid-year reviews are conducted according to Agency guidelines. Ratings are accurate and issued within 30 calendar days of the end of the appraisal period.”

J Customer and Employee Perspective Standard

performance plans for supervisors and managers **must** take into consideration customer and employee perspective; therefore, supervisors and managers shall have the following standards in their “Customer Service” element:

“Customer needs and expectations are identified and are considered when making decisions, identifying solutions, and resolving conflicts.”

4 Establishing Performance Plans (Continued)

J Customer and Employee Perspective Standard (Continued)

“Internal and external customers’ requirements and expectations for high quality products or results are met with almost no exceptions.

Employee’s written feedback is solicited to develop individual performance plans that support the goals and objectives of FSA.

Employee feedback accepted by the Rating Official is written into performance plans at the beginning of the performance cycle.”

K Health and Safety Standard

All performance plans shall contain the following health and safety standard. For:

- **supervisors**, the following standard is required under any appropriate critical or noncritical element:

“Adheres to Safety and Occupational Health practices and procedures in order to promote and maintain a safe and healthful work environment for all employees. Upon report of unsafe/unhealthful condition, notifies appropriate office within 48 hours, and follows up and/or takes appropriate action until condition is resolved.”

- **nonsupervisors**, the following standard is required under any appropriate critical or noncritical element:

“Demonstrates a basic understanding of the Agency’s Safety and Health Program. Complies with safety and health rules and regulations that apply to all employees. Ensures all reports of unsafe and unhealthful conditions are reported to supervisor or designated official within 48 hours.”

L Privacy Act Standard

All performance plans shall contain the following Privacy Act standard. For:

- **supervisors**, the following standard is required under any appropriate critical or noncritical element:

“Demonstrates an understanding of the Privacy Act and applies the Act correctly when exercising controls and safeguards to preserve the integrity and confidentiality of protected information. In addition, ensures all employees comply with this standard.”

4 Establishing Performance Plans (Continued)

L Privacy Act Standard (Continued)

- **nonsupervisors**, the following standard is required under any appropriate critical or noncritical element:

“Demonstrates an understanding of the Privacy Act and applies the Act correctly when exercising controls and safeguards to preserve the integrity and confidentiality of protected information.”

M Loan Approval Authority Standard

FLC's, DD's, CED's with loan approval authorities, FLM's, and Farm Loan Officers (FLO's) at a grade 11 are required to have and maintain loan approval authorities. The following standard shall be added to the “Program Management” or “Execution of Duties” (or similar) element of their performance plans:

“Acquires and meets FSA’s standards necessary for maintaining loan approval authority and loan servicing authority.”

Grade 7/9 FLO's with loan approval authority. The following standard shall be added to the “Program Management” or “Execution of Duties” (or similar) element of grade 7/9 FLO's with loan approval authority performance plans:

“Acquires and meets FSA’s standards necessary for maintaining loan approval authority and loan servicing authority.”

Grade 5/7/9 FLO's without loan approval authority and FLOT's. The following standard shall be added to the “Program Management” or “Execution of Duties” (or similar) element of grade 5/7/9 FLO's and FLOT's performance plans:

“Successfully completes assigned training and training activities within established timeframes.”

N Improper Payments Standard

All Field Office employees who work with FP payments shall have the following standard in the “Program Management”, “Execution of Duties” or similar element:

“Ensures that payment amounts are accurate, that necessary supporting documents are up-to-date and on file, and that applications are complete with no more than 1-2 exceptions.”

4 Establishing Performance Plans (Continued)

O Cascading Alignment

Performance plan alignment is an ongoing process and offices **must** continue this process into FY 2008 and beyond. Supervisors should develop performance plans for their employees that include at least 1 critical element with standards that identify clear and measurable tasks and results that are aligned to organizational goals. Supervisors and employees are encouraged to align more than 1 element, where possible. Alignment should be clear and transparent so that employees can see how their performance plans support organizational goal achievement. Merely including a generic statement in performance plans that employees support organizational goals is **not** adequate for communicating alignment. Simply restating organizational goals without including the metrics for determining performance against those goals is **not** adequate. It should be possible to map the responsibility for specific organizational goals through the performance plans of the chain of responsibility (SES member, to manager, to supervisor) to the front-line employee.

Example: An SED might be aligned to Objectives 1.1, 1.2, and the Cross-Cutting Management Objectives in the FSA Strategic Plan, the DD aligned to Objectives 1.1 and 1.2, the CED and CO-PT to Objective 1.2, and the FLM to Objective 1.1.

In preparing for performance plans, supervisors shall:

- ensure that all employees are aware of FSA's and USDA's current Strategic Plan or organizational goals

Note: FSA's Strategic Plan can be found at
http://intranet.fsa.usda.gov/bpms/zoneSP_jump.htm.

USDA's Strategic Plan can be found at
<http://www.ocfo.usda.gov/usdasp/usdasp.htm>.

- communicate how organizational goals are linked and cascaded to individual performance, and how the employee's accomplishments support organizational goals within their organizations, through:
 - staff meetings
 - individual or team meetings
 - electronic and internal correspondence
- develop performance plans that include at least 1 critical element with standards that identify clear and measurable (quality, quantity, cost, and/or timely) tasks and results that are aligned to organizational goals for each individual.

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4 Establishing Performance Plans (Continued)

O Cascading Alignment (Continued)

Notes: State and County Office employees shall see Exhibit 6 for examples of performance standards that may be aligned.

Alignment should be made to the appropriate bullet in SED's performance plans. See Exhibit 7 for element 5 of SED's performance plan, "Program Management". See Exhibit 1 for an example of how this alignment can be accomplished.

Aligned standards may be preceded by either of the following paragraphs, modified as applicable, based on the part of the strategic plan the alignment standard is addressing:

- "The following results-focused standards align with USDA Strategic Goal (), "(title of goal)", Strategic Objective (), "(title of objective)" in the USDA Strategic Plan, and with FSA Strategic Goal (), "(title of goal)", Strategic Objective (), "(title of objective)" in the FSA Strategic Plan:"
- "The following results-focused standards align with the "Improve Human Capital Management" Objective in the USDA "Management Initiatives" part of the USDA Strategic Plan, and with FSA Cross-Cutting Management Objective (), "(title of Objective)" in the Cross-Cutting Management Objectives part of the FSA Strategic Plan:"

P Results

Each element in performance plans **must** include language that holds the employee accountable for achieving expected results. This **must** be shown by explaining the results gained by the employee achieving their standards.

Example 1: "Receives and deposits payments within 18 to 24 hours of receipt. The result is a faster processing of customer payments. This is aligned to the organizational goal of supporting productive farms and ranches."

Example 2: "Budget contains well-justified descriptions of budget requests, is accurate, and is completed by the established deadline. The result is a complete budget document. This is aligned to the organizational goal of improving strategic accountability."

Results **must** be appropriate to the employee's level of responsibility.

4 Establishing Performance Plans (Continued)

Q Balanced, Credible Measures

All performance plans **must** include balanced, credible measures; balanced, so that in addition to measuring expected results, performance plans include appropriate measures, such as:

- quality, quantity, timeliness, and/or cost-effectiveness
- indicators of competencies.

To be credible, performance expectations **must** be:

- based on job analysis
- clear, specific, and understandable
- reasonable and attainable
- measurable, observable, or verifiable
- communicated in a timely manner
- foster continual improvement in productivity.

R Individual Development Plans (IDP's)

As part of the performance planning process, employees are encouraged to discuss their short- and long-term learning and developmental goals with their supervisor and develop an IDP. IDP's contain elective training, education, and developmental activities in which employees may engage to acquire the competencies to meet IDP goals. Rating officials retain sole discretion to determine the extent of implementation for IDP and will do so after considering operational requirements and budgetary limitations.

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5 Processing Performance Plan Responsibilities

A Rating Officials Using EmpowHR Responsibilities

Rating officials **using EmpowHR** shall process performance plans according to the following.

Step	Action
1	<p>Enter the appropriate performance plans information through Manager Self-Service portion of EmpowHR. For each element selected, there must be at least 3 standards for measuring performance of the element.</p> <p>Note: See http://www.fsa.usda.gov/FSA/hrdapp?area=home&subject=erpm&topic=prm for an example of the rating official actions in EmpowHR.</p>
2	Review performance plans for accuracy.
3	Send performance plans to reviewing official so the reviewing official can enter a check (✓) next to “Reviewed”.
4	<p>Upon receiving performance plans from the reviewing official, send to the employee.</p> <p>After discussing each element and standard with the employee, ensure that the employee has entered a check (✓) next to “Viewed Discussed”.</p> <p>Note: Rating officials should attempt to resolve concerns the employee may have about their performance plans. If the employee refuses to sign their performance plan, the employee shall be advised that they will still be:</p> <ul style="list-style-type: none"> • placed under the performance plan • held accountable for the elements and standards as described in the performance plan.
5	<p>If the employee refuses to agree to performance plan, print out a hard copy of the screen and annotate the copy as follows.</p> <p style="text-align: center;">“The performance plan was presented to, and discussed with, the employee. The employee refused to agree to the performance plan”.</p>
6	The finalized performance plan will flow to the employee electronically. Hard copies are not required.

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5 Processing Performance Plan Responsibilities (Continued)

B Rating Officials Not Using EmpowHR Responsibilities

Rating officials **not using EmpowHR** shall process performance plans according to the following.

Step	Action
1	Establish AD-435A and AD-435B. For each element selected, there must be at least 3 standards for measuring performance of the element.
2	Review AD-435A and AD-435B for accuracy.
3	Give AD-435A and AD-435B to reviewing official for signature.
4	Sign and date AD-435A.
5	Give AD-435A and AD-435B to the employee. After discussing each element and standard with the employee, request that the employee sign and date AD-435A. Note: Rating officials should attempt to resolve concerns the employee may have about their AD-435A and AD-435B. If the employee refuses to sign their AD-435A, the employee shall be advised that they will still be placed under AD-435A and AD-435B and be held accountable for the elements and standards, as described in AD-435A and AD-435B.
6	If the employee refuses to sign AD-435A, annotate AD-435A and AD-435B as follows. “The performance plan was presented to, and discussed with, the employee. The employee refused to sign AD-435A”.
7	Give a copy of the signed or unsigned AD-435A and AD-435B to the employee.

C Reviewing Officials Using EmpowHR Responsibilities

Reviewing officials **using EmpowHR** shall process performance plans according to the following.

Step	Action
1	Review employee’s elements and standards, as submitted by the rating official, to ensure that performance plan: <ul style="list-style-type: none"> • conforms with FSA policy and guidelines • is consistent with other performance plans in the work unit. Note: See http://www.fsa.usda.gov/FSA/hrdapp?area=home&subject=erpm&topic=prm for an example of the reviewing official actions in EmpowHR.
2	Enter a check (✓) next to “Reviewed”.

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5 Processing Performance Plan Responsibilities (Continued)

D Reviewing Officials Not Using EmpowHR Responsibilities

Reviewing officials **not using EmpowHR** shall process AD-435A and AD-435B according to the following.

Step	Action
1	Review employee's elements and standards, as submitted by the rating official, to ensure that AD-435A and AD-435B: <ul style="list-style-type: none">• conform with FSA policy and guidelines• are consistent with other AD-435A's and AD-435B's in the work unit.
2	Sign and date AD-435A.

E Employees Using EmpowHR Responsibilities

Employees **using EmpowHR** shall process performance plans according to the following.

Step	Action
1	Review presented performance plan with rating official.
2	Discuss elements and standards needing clarification.
3	Enter a check (✓) next to "Viewed Discussed". This action certifies that: <ul style="list-style-type: none">• a discussion took place with the rating official about performance plan• the employee has seen performance plan• the employee has viewed the standards of conduct and has had any questions answered to their satisfaction. <p>Notes: If the employee refuses to agree to the performance plan, they will still be held accountable for the elements and standards within performance plans.</p> <p>See http://www.fsa.usda.gov/FSA/hrdapp?area=home&subject=erpm&topic=prm for an example of the employee actions in EmpowHR.</p>

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5 Processing Performance Plan Responsibilities (Continued)

F Employee Not Using EmpowHR Responsibilities

Employees **not using EmpowHR** shall process performance plans according to the following.

Step	Action
1	Review presented AD-435A and AD-435B with rating official.
2	Discuss elements and standards needing clarification.
3	Sign and date AD-435A. The employee's signature certifies that: <ul style="list-style-type: none">• a discussion took place with the supervisor about AD-435A and AD-435B• the employee has seen AD-435A and AD-435B• the employee has viewed the standards of conduct and has had any questions answered to their satisfaction. <p>Note: If the employee refuses to sign AD-435A, the employee will still be held accountable for the elements and standards on AD-435A and AD-435B.</p>

6 Performance Reviews

A Mandatory Performance Reviews

The rating official shall:

- conduct at least 1 performance review during the 12-month appraisal period between the 5th and 8th month
- inform the employee of their level of performance as it relates to their performance elements and standards
- within 30 calendar days of the performance review, document on the employee's performance plans that the performance review took place.

Note: See

<http://www.fsa.usda.gov/FSA/hrdapp?area=home&subject=erpm&topic=prm>
for an example of the rating official's actions using EmpowHR.

6 Performance Reviews (Continued)

B Periodic Optional Performance Reviews

Even though only a mid-year performance review is required, it is in the best interest of the rating official and employee to periodically hold performance discussions. An employee may request a meeting for this review. Periodic performance reviews with the employee will:

- provide regular feedback
- keep the channels of communication open
- assist in identifying strengths and weaknesses
- help avoid an unexpected performance rating at the end of the appraisal period.

7 Documenting Performance

A Rating of Record

The Rating of Record is the performance appraisal that is issued at the end of the appraisal period and becomes part of the employee's performance file. Rating officials and reviewing officials **must**:

- rate appropriately against the standards in the employee's performance plan
- make distinctions in levels of performance.

Rating shall be based only on actual employee accomplishments. Presumptive ratings (that is, ratings that are **not** based on actual accomplishments) are prohibited. Rating officials and reviewing officials will be held accountable for rating appropriately against the standards in the employee's performance plan and making distinctions in levels of performance.

Artificial targets, such as quotas, for performance appraisals should **never** be used to evaluate employee performance. Performance appraisals **must** be based on the individual accomplishments of the employee being rated.

B Reduction-in-Force (RIF)

For:

- Federal employees, annual Ratings of Record are used to establish service credit and retention standing in the event of RIF's
- CO employees, best qualifications, skills, and abilities available to handle program responsibilities are used in the event of RIF's; **not** length of service.

Note: For CO employees, service computation dates are only used as a tiebreaker, **not** as a ranking factor. Annual ratings of record are **not** used in the event of RIF's.

Notice PM-2606

7 Documenting Performance (Continued)

C Minimum Appraisal Period

To rate an employee:

- a performance plan must have been established either:
 - on AD-435A and AD-435B
 - in EmpowHR
- the employee **must** be under a **performance plan** for at least 90 calendar days.

Note: If it has not been 90 calendar days by the end of the appraisal period, the period may be extended to allow for a rating to be given. If no plan has been put into place by the end of the appraisal period, no rating can be given.

D Obtaining and Completing Performance Appraisals Using EmpowHR

Rating officials **using EmpowHR** shall:

- enter summary ratings in the “Manager Self-Service” portion of EmpowHR
- review/respond to written comments entered by employees, as applicable
- verify the employee entered a check (✓) next to “Employee Viewed/Discussed Rating”.

E Obtaining and Completing AD-435 Not Using EmpowHR

Rating officials **not** using **EmpowHR** shall:

- use Microsoft Word versions of AD-435 (see Exhibit 8)
- complete AD-435 according to the instructions on AD-435.

Note: AD-435 is available from FFAS Employee Forms Online web site at <http://165.221.16.90/dam/ffasforms/currentforms.asp>.

7 Documenting Performance (Continued)

F Appraising Elements

The rating official will evaluate each performance element and determine which 1 of the following 3 rating levels is most appropriate when comparing the employee's performance with the "Fully Successful" performance standard established for that element.

- **"Exceeds Fully Successful"**; describes performance that exceeds the "Fully Successful" standard for the element being evaluated. Employees performing at this level may display initiative, ownership, and/or unusual independence.
- **"Meets Fully Successful"**; describes performance of the solid, effective employee whose work meets normal expectations in terms of quality, quantity, and timelines, as outlined in the "Fully Successful" standard.
- **"Does Not Meet Fully Successful"**; describes performance that has failed to fulfill the basic expectation for the work.

Note: Rating officials shall provide additional documentation to substantiate the rating for each element for each rating level given (such as, "Exceeds Fully Successful", "Fully Successful", and "Does Not Meet Fully Successful"). However, with assistance from SPO, the rating official **must** prepare a comprehensive written statement describing the employee's deficiencies for all elements rated at the "Does Not Meet Fully Successful" level. Early identification and correction of poor performance is strongly recommended.

G Summary Ratings

A 5-level summary rating system summarizes the employee's overall performance and is calculated using the description on AD-435. The following are the 5 summary levels.

- **"Outstanding"**, all appraisal units are rated "Exceeds Fully Successful".
- **"Superior"**, more appraisal units are rated "Exceeds Fully Successful" than are rated "Meets Fully Successful", and **no** elements are rated "Does Not Meet Fully Successful".
- **"Fully Successful"**, as many or more appraisal units are rated "Meets Fully Successful" than are rated "Exceeds Fully Successful".
- **"Marginal" (Minimally Satisfactory)**, more appraisal units are rated "Does Not Meet Fully Successful" than are rated "Exceeds Fully Successful".

Note: If a critical element is rated "Does Not Meet Fully Successful", then the summary rating is automatically "Unacceptable".

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7 Documenting Performance (Continued)

G Summary Ratings (Continued)

- “**Unacceptable**”, 1 or more critical elements are rated “Does Not Meet Fully Successful”.

Note: If the “Unacceptable” level occurs, the rating official shall contact their SPO for guidance.

H Due Date

EmpowHR processing or AD-435’s, AD-435A’s, and AD-435B’s shall be completed and distributed:

- by **October 30**
- according to subparagraph 9 A.

8 Reviewing Performance

A Rating Official Using EmpowHR Action

Rating officials **using EmpowHR** shall review the performance of their employees by:

- comparing the employee’s performance of each element with the standards established in EmpowHR
- checking the appropriate rating level for each element
- if necessary, obtaining interim ratings from the employee’s prior supervisors or detail supervisors. Rating official shall review and process in EmpowHR.

Note: For CED, the rating official is COC chairperson. Hard copies of CED performance plans entered in EmpowHR **must** be signed by COC chairperson. After a meeting between COC, DD, and CED, DD may then enter the CED’s summary appraisal in EmpowHR and print out a hard copy for COC chairperson’s signature as supervisor. DD shall sign the hard copy as reviewing official, and CED shall sign the hard copy as employee. This will complete the official action on the hard copy. The review of summary ratings will be documented in the Executive Session of COC meeting minutes. Follow through with completing the appraisal process based on reports to set up in EmpowHR so that appraisal will transmit to NFC.

8 Reviewing Performance (Continued)

B Rating Official Not Using EmpowHR Action

Rating officials **not using EmpowHR** shall review the performance of their employees by:

- comparing the employee's performance of each element with the standards established on AD-435A and AD-435B
- checking the appropriate rating level for each element
- if necessary, obtaining interim ratings from the employee's prior supervisors
- reviewing and signing AD-435.

Note: Supervisory employees detailed from their positions of record before the end of the appraisal period shall:

- provide input to the incoming supervisor of record about an employee's performance
- include a recommended rating for each performance element.

C Accountability for Performance Appraisals

Rating officials:

- shall ensure that the performance appraisal:
 - contains all elements
 - designates critical and noncritical elements
 - points are properly assigned, that is 2 points for critical elements and 1 point for noncritical elements
 - totals are added correctly
 - summary rating is properly designated
 - employee has checked "Yes" or "No" on AD-435, item 17
 - contains the required signatures
- **using EmpowHR**, shall ensure the correct boxes have been checked
- **not using EmpowHR**, shall ensure the required signatures are entered on AD-435.

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8 Reviewing Performance (Continued)

D Providing Additional Documentation

Rating officials shall provide additional documentation to substantiate the rating for each element for each rating level given (such as, “Exceeds Fully Successful”, “Fully Successful”, and “Does Not Meet Fully Successful”):

- for offices **using EmpowHR**, enter an accomplishment statement in the “Reviewer Comments” block
- for offices **not using EmpowHR**, complete AD-435A, item 10 and AD-435B, item 10.

Note: If more space is needed than is provided on AD-435A and AD-435B, additional documentation may be provided on a piece of paper and attached to the rating.

For each element, the additional documentation should explain how the employee’s accomplishments match up against each of their standards.

See Exhibit 9 for examples of what kind of additional documentation should be provided for each element.

E Completing the Performance Appraisal Using EmpowHR

Rating officials **using EmpowHR** shall complete the performance appraisal according to the following.

Step	Action
1	Enter the appropriate rating information through “Manager Self-Service” portion of EmpowHR. Note: See http://www.fsa.usda.gov/FSA/hrdapp?area=home&subject=erpm&topic=prm for an example of the supervisor, reviewing official, and employee actions in EmpowHR.
2	Obtain the reviewing official’s approval. Note: It is strongly recommended that the discussion between the supervisor and the reviewer be on a face-to-face basis. Alternative methods of communication, such as teleconference, may be used if face-to-face communication is not possible.
3	Discuss the approved rating and basis for the rating with the employee.
4	Verify the employee has entered a check (✓) next to “Employee Viewed/Discussed Rating”.
5	Forward the performance plan and the appraisal according to subparagraph 9 A. Hard copies are not required, except for CED’s, but can be printed by the employee or supervisor whenever needed.

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8 Reviewing Performance (Continued)

F Completing AD-435 Not Using EmpowHR

Rating officials **not using EmpowHR** shall complete AD-435 according to the following.

Step	Action
1	Complete AD-435 by transferring the performance elements and appropriate rating level information from AD-435A and AD-435B.
2	Obtain the reviewing official's approval on AD-435.
3	Discuss the approved rating and basis for the rating with the employee.
4	Forward AD-435, AD-435A, and AD-435B to HRD or KCHRO according to subparagraph 9 A.

G Reviewing Officials' Action

Reviewing officials:

- shall discuss the performance and rating of employees with rating officials
- shall change the ratings, if appropriate
- **using EmpowHR**, shall check (✓) the "Review Completed" box
- **not using EmpowHR**, shall sign AD-435, item 21 certifying approval of original or revised ratings
- shall return rating to the rating official for distribution according to subparagraph 9 A.

Note: In EmpowHR, the rating will flow electronically back to the supervisor.

8 Reviewing Performance (Continued)

H Employee Action

Employees:

- **using EmpowHR**, shall check (✓) the following:
 - “Employee Viewed/Discussed Rating” box
 - appropriate box for USDA regulations about employees’ responsibilities and conduct
- **not using EmpowHR**, shall:
 - complete AD-435, item 17
 - sign AD-435, item 18.

Note: If the employee refuses to sign/accept the rating, rating officials:

- **using EmpowHR**, shall indicate the refusal in the “Reviewer Comments” box
- **not using EmpowHR**, shall indicate the refusal on AD-435, item 18
- forward the rating to the appropriate SPO according to subparagraph 9 A.

9 Distributing Appraisals and Multiple Appraisals

A Distributing Performance Appraisals

The completed performance plan and performance appraisal shall be forwarded to the appropriate SPO by **October 30**. For offices:

- **using EmpowHR**, hard copies of documents are **not** required

Note: Employees and supervisors can print a copy of their performance appraisal at any time.

- **not using EmpowHR**, supervisors shall distribute the completed AD-435 according to the following.

Step	Action
1	Forward the original, completed copies of AD-435, AD-435A, and AD-435B to the appropriate SPO by October 30 .
2	Provide the employee with 1 copy of AD-435, AD-435A, and AD-435B.
3	Retain 1 copy of AD-435, AD-435A, and AD-435B for the supervisor’s files.

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9 Distributing Performance Appraisals, Rating Requirements, and Multiple Appraisals (Continued)

B Multiple Performance Appraisals

The following provides instructions for performance plans for employees detailed or temporarily promoted.

IF the employee...	THEN...
is detailed or has a temporary promotion to other positions in FSA or USDA for 90 calendar days or more	performance plans shall be established. The supervisor responsible for the detail or temporary promotion shall prepare the performance plan and communicate it, in writing, to the employee within 30 calendar days of the start of the assignment. At the end of the assignment, an interim assessment shall be prepared detailing the employee's accomplishments and forwarded to the supervisor of record. This shall be considered in deriving the employee's annual rating of record. Note: When employees are detailed outside USDA, the employing agency must make a reasonable effort to obtain information on the employee's accomplishments from the outside organization.
is detailed or has a temporary promotion to another position in FSA or USDA for 90 calendar days or less	performance plans are not required. However, a narrative document shall be prepared detailing the employee's accomplishments and forwarded to the supervisor of record. This shall be considered in deriving the employee's annual rating of record. Note: When employees are detailed outside USDA, the employing agency must make a reasonable effort to obtain information on the employee's accomplishments from the outside organization.
has a change in supervisors during the appraisal period including while on detail	each supervisor of 90 calendar days or more shall prepare an interim assessment detailing the employee's accomplishments, and forward to the supervisor of record. This shall be considered in deriving the employee's annual rating of record.
has position changes during the appraisal period and has served for 90 calendar days or more in the position	the supervisor shall prepare an interim assessment detailing the employee's accomplishments. This shall be considered in deriving the employee's annual rating of record.
has a transfer of rating (moves to another agency or Department) and has served for 90 calendar days or more in the position	the supervisor shall prepare an interim assessment detailing the employee's accomplishments. This shall be sent to the gaining organization to be considered in deriving the employee's annual rating of record.

Note: Interim assessments do **not** need to be on any particular form nor entered into EmpowHR, but should be written on a sheet of paper.

10 Monitoring Poor Performance

A Marginal Performance

If the employee's summary rating is "Marginal", the rating official **must** contact their SPO for guidance. The rating official shall:

- assist employee in improving less than "Fully Successful" performance in a noncritical element
- inform the employee as soon as the less than "Fully Successful" performance is apparent and give the employee a chance to demonstrate "Fully Successful" performance
- assist the employee by:
 - determining if training is needed
 - providing closer supervisory review of work
 - holding discussions and providing correction of work products
 - advising the employee when they have achieved "Fully Successful" performance.

A "Marginal" rating will result in the denial of a Within-Grade Increase.

B Unacceptable Performance

If the employee's summary rating is "Unacceptable", the rating official **must** contact their SPO for guidance. Rating officials shall:

- assist employee in improving less than "Fully Successful" performance in a critical element
- inform the employee in writing as soon as the less than "Fully Successful" performance is apparent and give a reasonable opportunity to demonstrate "Fully Successful" performance through an Opportunity To Improve (OTI).

OTI:

- provides formal notice to the employee that performance is unacceptable and provides the employee the opportunity to demonstrate "Fully Successful" performance
- may include activities like developmental assignments, structured employee assistance or counseling, formal or on-the-job training, and mentoring.

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10 Monitoring Poor Performance (Continued)

B Unacceptable Performance (Continued)

Careful records **must** be kept of the assistance offered and results achieved under OTI. Rating officials should provide the following:

- notification of elements in which performance is unacceptable
- specific examples of the unacceptable performance
- performance requirements or standards that **must** be attained to demonstrate “Fully Successful” performance
- a reasonable opportunity period, usually at least 90 calendar days, to demonstrate “Fully Successful” performance on the elements at issue
- notice that the employee **must** improve to the “Fully Successful” level by the conclusion of the opportunity period and **must** sustain that level of performance for at least 1 year from the start of OTI.

Should an employee’s performance again become unacceptable in 1 or more of these critical elements, a performance-based adverse action or other alternative action may be proposed without the benefit of an additional OTI.

An “Unacceptable” rating will result in the denial of Within-Grade Increase.

C Prior Administrative Actions

Administrative actions initiated against employees whose performance is “Unacceptable” under 5 U.S.C. 4303 or 5 U.S.C. 752 involving a performance management program in existence before the effective date of this program, shall continue to be processed consistent with that pre-established set of procedures and requirements.

11 Performance

A Organizational Performance Assessment

Organizational unit performance will be assessed and communicated throughout the organization. Rating officials will be provided guidance on how unit performance should be considered when deciding ratings and awards.

11 Performance (Continued)

B Performance Management Program Training

Each year, supervisors, managers, and employees will receive mandatory training and retraining on the requirements and operation of the performance management program. All supervisors, managers, and employees must know how the performance management program operates. Training courses are available for both supervisory and nonsupervisory employees in AgLearn.

C Performance Management Accountability

According to paragraphs 4 and 7, managers and supervisors will be held accountable for the performance management of their subordinates and **must** communicate with their employees continuously from the beginning to the end of the rating cycle, **not** just at certain times within it. At the end of the rating cycle, they must **accurately** rate their employee's performance. Corrective action will be taken against supervisors who fail to address performance deficiencies.

D Recognizing Performance

Employees receiving summary ratings of "Outstanding" or "Superior" should be considered for recognition. This recognition may be any of the following:

- quality step increases (can only be granted if the summary rating is "Outstanding")
- performance bonus
- time off award
- any other form of recognition.

Note: Recognition is **never** automatic. External factors, such as budgetary constraints, may affect the availability of certain types of recognition.

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12 Evaluation and Additional Information

A Evaluation of the Performance Management Program

The performance management program will be evaluated for its effectiveness on an annual basis within 90 calendar days of the end of each appraisal period. This evaluation will include such issues as the correlation between the:

- performance management program and any improvement of organizational performance
- employee/managerial satisfaction with the performance management program.

B Additional Information

If there are any questions about rating employees, supervisors may contact the appropriate SPO according to the following.

IF the supervisor is located in...	THEN contact...
the National Office	Employee Programs Branch, HRD at 202-401-0679, 202-401-0694, or TTY at 202-205-9057.
1 of the following: <ul style="list-style-type: none">• APFO• Kansas City• St. Louis• State Office	KCHRO, Human Capital Management Section at 816-926-1630 or TTY at 800-735-2966.
County Office	State Office

Example Field Office Performance Plans

This Exhibit consists of 8 Field Office performance plans, as follow:

- Example 1 provides AD-435A and AD-435B's for an administrative specialist with EO/CR as a separate performance element and Customer Service built in another performance element

AD-435A (12-96)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 1 of 4		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Campbell, Alexandra		2. POSITION TITLE Admin. Specialist				
3. AGENCY/DIVISION FSA/(State)		4. PAY PLAN, SERIES, GRADE GS-		5. APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT						
No.	1 (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"/> CRITICAL	<input type="checkbox"/> NONCRITICAL
Execution of Duties						
Completed work assignments are performed in a timely manner, assuring a quality of work that meets the needs of the organization. Appropriate work methods are selected for the development of work products. Work products do not require substantive revisions. Assignments are completed in accordance with applicable agency guidelines, including time-frames.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
The following results-focused measures align with USDA Goal "Management Initiatives", USDA Objective, "Improve Human Capital Management" in the USDA Strategic Plan, and with FSA Goal "Cross-cutting Management Objectives", Objective 2, "Strategically Managing Human Capital" in the FSA Strategic Plan and with Element 5, "Program Management", in the State Executive Director's performance plan:						
1. Prepares reports required with duties that are accurate and complete within established timeframes with only 1-3 exceptions.						
2. Ensures that operations occur in an efficient manner to support the program areas; like, printing and distributing materials, creating regulations and guidance, etc., with only 1-3 exceptions.						
3. Demonstrates a basic understanding of the Agency's Safety and Health Program. Complies with safety and health rules and regulations that apply to all employees. Ensures all reports of unsafe and unhealthful conditions are reported to supervisor or designated official within 48 hours.						
4. Demonstrates an understanding of the Privacy Act and applies the Act correctly when exercising controls and safeguards to preserve the integrity and confidentiality of protected information.						
RESULT: The achievement of these standards will result in a more efficient and effective management of the agency's human capital.						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful	Does Not Meet
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						
11. CERTIFICATION OF DEVELOPMENT AND RECEIPT OF PLAN (Signatures certify discussion with the employee and receipt of plan which reflects current position description.)						
Employee's Signature					Date	
Supervisor's Name (Print)					Supervisor's Signature	Date
Reviewer's Name (Print)					Reviewer's Signature	Date
12. PROGRESS REVIEWS (at least one must be completed)						
Employee's Initials and Date			Supervisor's Initials and Date			
Check appropriate copy designation below.						
<input type="checkbox"/> ORIGINAL-OFFICIAL PERSONNEL FOLDER/EMPLOYEE PERFORMANCE FILE COPY <input type="checkbox"/> EMPLOYEE COPY <input type="checkbox"/> SUPERVISOR'S COPY <input type="checkbox"/> AGENCY USE						

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 2 of 4	
(12-86) PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.) Campbell, Alexandra			2. POSITION TITLE Admin Specialist		
3. AGENCY/DIVISION PSA/(State)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD	
				5. START DATE 10/1/xx	6. END DATE 9/30/xx
7. PERFORMANCE ELEMENT					
No.	2 (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"/> CRITICAL <input type="checkbox"/> NONCRITICAL		
Non Supervisory Equal Opportunity and Civil Rights					
Performs all duties in a manner which consistently demonstrates fairness, cooperation, and respect toward coworkers, office visitors, and all others in the performance of official business. Demonstrates an awareness of EO/CR policies and responsibilities of Agency and Departmental goals of valuing a diverse, yet unified workforce.					
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)					
1. Attends 2-4 optional EEO/AA/Diversity information sessions provided/scheduled by supervisor. 2. Assists supervisor or responsible individual with planning, preparing for, or presenting EEO/AA/Diversity information sessions 2-4 times per year. 3. Consistently treats coworkers with respect, fairness, and politeness including socially-disadvantaged (SDA), females, and persons with disabilities with no more than 1-2 complaints. Relates well to people from various backgrounds and situations with no more than 1-2 complaints. RESULT: The achievement of these standards will result in an ensuring of civil rights for all agency employees and customers.					
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful
				<input type="checkbox"/>	<input type="checkbox"/>
				Does Not Meet	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)					

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 3 of 4
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET				
1. NAME (Last, First, M.I.)		2. POSITION TITLE		
Campbell, Alexandra		Admin Specialist		
3. AGENCY/DIVISION		4. PAY PLAN, SERIES, GRADE		APPRAISAL PERIOD
PSA/ (State)		GS-		5. START DATE
				6. END DATE
				10/1/xx
				9/30/xx
7. 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"/> CRITICAL <input type="checkbox"/> NONCRITICAL
3	<p>Communication: Oral and written communications are clear, correct, timely, and presented in an understandable manner. Supervisor and coworkers are informed of issues and problems when necessary. Information and guidance provided is timely and correct. Customer Service: "Routinely displays courteous and tactful behavior. Projects a positive and professional image of USDA. Provides advice that is timely, responsive and accurate. Maintains appropriate rapport with internal and external customers. Develops and establishes working relationships with external organizations as required. Keeps supervisor and/or team leader informed of difficult and/or controversial issues and unique problems. Takes action to effectively solve problems before they have an adverse impact on the organization or other employees."</p>			
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)				
<p>1. Communicates clearly with customers and co-workers and shares accurate information with only 3-5 exceptions.</p> <p>2. Responds to general program questions within 24 hours with only 4-6 exceptions. Elevates more complex questions to supervisor, team leader, or other individual responsible within 2 hours of inquiry.</p> <p>3. Prepares written documents that are clear, concise, and understandable as well as following prescribed procedures within established timeframes with only 1-3 exceptions.</p> <p>4. Customer Service: Receives no more than 4-6 valid customer complaints.</p> <p>RESULT: The achievement of these standards will result in an increase in the percentage of satisfied employees and customers.</p>				
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)		Exceeds	Fully Successful	Does Not Meet
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)				

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 4 of 4
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET				
1. NAME (Last, First, M.I.)		2. POSITION TITLE		
Campbell, Alexandra		Admin Specialist		
3. AGENCY/DIVISION		4. PAY PLAN, SERIES, GRADE		APPRAISAL PERIOD
PSA/ (State)		GS-		5. START DATE
				6. END DATE
				10/1/xx
				9/30/xx
7. PERFORMANCE ELEMENT				
No.	(Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)			CRITICAL
4				<input checked="" type="checkbox"/> NONCRITICAL
Research and Analysis				
Thoroughly and accurately researches issues in a timely manner, using available reference sources (e.g., USDA manuals, or applicable law or regulations). Makes reasonable recommendations or decisions based on available guidance.				
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)				
1. Reviews and analyzes temporary directive notices and handbook procedure on a daily basis 90-98 percent of the time.				
2. Takes actions required by temporary directive notices or handbook procedure within the timeframes required with only 2-4 exceptions.				
3. Asks questions for clarification and makes suggestions for implementation within the timeframes established by management with no more than 2-4 exceptions.				
RESULT: The achievement of these standards will result in an increase in the percentage of internal business processes that are streamlined systematically.				
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				
		Exceeds	Fully Successful	Does Not Meet
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)				

Example Field Office Performance Plans (Continued)

- Example 2 provides AD-435A and AD-435B's for an administrative specialist with Customer Service a separate performance element and EO/CR built in another performance element

AD-435A (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 1 of 4		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Campbell, Alexandra		2. POSITION TITLE Admin. Specialist				
3. AGENCY/DIVISION FSA/(State)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT						
No.	1	(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"/> CRITICAL <input type="checkbox"/> NONCRITICAL	
Execution of Duties						
Completed work assignments are performed in a timely manner, assuring a quality of work that meets the needs of the organization. Appropriate work methods are selected for the development of work products. Work products do not require substantive revisions. Assignments are completed in accordance with applicable agency guidelines, including time-frames.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
The following results-focused measures align with USDA Goal "Management Initiatives," USDA Objective "Improve Human Capital Management" in the USDA Strategic Plan, and with FSA Goal "Cross-cutting Management Objectives", Objective 2, "Strategically Managing Human Capital" in the FSA Strategic Plan, and with Element 5, "Program Management" in the State Executive Director's performance plan:						
1. Prepares reports required with duties that are accurate and complete within established timeframes with only 1-3 exceptions.						
2. Ensures that operations occur in an efficient manner to support the program areas; like, printing and distributing materials, creating regulations and guidance, etc., with only 1-3 exceptions.						
3. Demonstrates a basic understanding of the Agency's Safety and Health Program. Complies with safety and health rules and regulations that apply to all employees. Ensures all reports of unsafe and unhealthful conditions are reported to supervisor or designated official within 48 hours.						
4. Demonstrates an understanding of the Privacy Act and applies the Act correctly when exercising controls and safeguards to preserve the integrity and confidentiality of protected information.						
RESULT: The achievement of these standards will result in a more efficient and effective management of the agency's human capital.						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful	Does Not Meet
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						
11. CERTIFICATION OF DEVELOPMENT AND RECEIPT OF PLAN (Signatures certify discussion with the employee and receipt of plan which reflects current position description.)						
Employee's Signature					Date	
Supervisor's Name (Print)		Supervisor's Signature			Date	
Reviewer's Name (Print)		Reviewer's Signature			Date	
12. PROGRESS REVIEWS (at least one must be completed)						
Employee's Initials and Date			Supervisor's Initials and Date			
Check appropriate copy designation below.						
() ORIGINAL-OFFICIAL PERSONNEL FOLDER/EMPLOYEE PERFORMANCE FILE COPY () EMPLOYEE COPY () SUPERVISOR'S COPY () AGENCY USE						

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 2 of 4		
(12-86) PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.)			2. POSITION TITLE			
Campbell, Alexandra			Admin Specialist			
3. AGENCY/DIVISION		4. PAY PLAN, SERIES, GRADE		APPRAISAL PERIOD		
PSA (State)		GS-		5. START DATE	6. END DATE	
				10/1/xx	9/30/xx	
7. PERFORMANCE ELEMENT						
No.	2 (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
Customer Service Routinely displays courteous and tactful behavior. Projects a positive and professional image of USDA. Provides advice that is timely, responsive and accurate. Maintains appropriate rapport with internal and external customers. Develops and establishes working relationships with external organizations as required. Keeps supervisor and/or team leader informed of difficult and/or controversial issues and unique problems. Takes action to effectively solve problems before they have an adverse impact on the organization or other employees.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
1. Responds to customer questions accurately and according to procedures with only 2-4 valid complaints. Responds by at least acknowledging receipt of an inquiry as soon as possible, but within 24 hours with no more than 4-6 exceptions.						
2. Provides internal training that is accurate and given within established timeframes 85-95 percent of the time.						
3. Receives no more than 4-6 valid customer complaints.						
RESULT: The achievement of these standards will result in an increase in the percentage of satisfied customers.						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful	Does Not Meet
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 3 of 4		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.)		2. POSITION TITLE				
Campbell, Alexandra		Admin Specialist				
3. AGENCY/DIVISION		4. PAY PLAN, SERIES, GRADE		APPRAISAL PERIOD		
PSA/ (State)		GS-		5. START DATE	6. END DATE	
				10/1/xx	9/30/xx	
7. PERFORMANCE ELEMENT						
No.	3 (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"/> CRITICAL	<input type="checkbox"/> NONCRITICAL
<p>Communications</p> <p>Oral and written communications are clear, correct, timely, and presented in an understandable manner. Supervisor and coworkers are informed of issues and problems when necessary. Information and guidance provided is timely and correct. EO/CR: "Performs all duties in a manner which consistently demonstrates fairness, cooperation, and respect toward coworkers, office visitors, and all others in the performance of official business. Demonstrates an awareness of EO/CR policies and responsibilities of Agency and Departmental goals of valuing a diverse, yet unified workforce."</p>						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
<p>1. Communicates clearly with customers and co-workers and shares accurate information with only 3-5 exceptions.</p> <p>2. Responds to general program questions within 24 hours with only 4-6 exceptions. Elevates more complex questions to supervisor, team leader, or other individual responsible within 2 hours of inquiry.</p> <p>3. Prepares written documents that are clear, concise, and understandable as well as following prescribed procedures within established timeframes with only 1-3 exceptions.</p> <p>4. EO/CR: Assists supervisor or responsible individual with planning, preparing for, or presenting EEO/AA/Diversity information sessions 2-4 times per year.</p> <p>RESULT: The achievement of these standards will result in an increase in the percentage of satisfied employees and customers.</p>						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful	Does Not Meet
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 4 of 4		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.)		2. POSITION TITLE				
Campbell, Alexandra		Admin Specialist				
3. AGENCY/DIVISION		4. PAY PLAN, SERIES, GRADE		APPRAISAL PERIOD		
PSA/ (State)		GS-		5. START DATE	6. END DATE	
				10/1/xx	9/30/xx	
7. PERFORMANCE ELEMENT						
No.	4 (Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)				<input type="checkbox"/> CRITICAL	<input checked="" type="checkbox"/> NONCRITICAL
Research and Analysis						
Thoroughly and accurately researches issues in a timely manner, using available reference sources (e.g., USDA manuals, or applicable law or regulations). Makes reasonable recommendations or decisions based on available guidance.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
1. Reviews and analyzes temporary directive notices and handbook procedure on a daily basis 90-98 percent of the time.						
2. Takes actions required by temporary directive notices or handbook procedure within the timeframes required with only 2-4 exceptions.						
3. Asks questions for clarification and makes suggestions for implementation within the timeframes established by management with no more than 2-4 exceptions.						
RESULT: The achievement of these standards will result in an increase in the percentage of internal business processes that are streamlined systematically.						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful	Does Not Meet
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						

Example Field Office Performance Plans (Continued)

- Example 3 provides AD-435A and AD-435B's for a CED

AD-435A (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 1 of 5	
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.) Smith, John			2. POSITION TITLE CED		
3. AGENCY/DIVISION FSA/ (State) / (county)		4. PAY PLAN, SERIES, GRADE CO-	5. START DATE 10/1/xx		6. END DATE 9/30/xx
7. PERFORMANCE ELEMENT					
No. 1	(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"/> CRITICAL
					<input type="checkbox"/> NONCRITICAL
Program Management					
Manages program(s), resolving issues and problems within the employee's control. Monitors all aspects of program(s) for quality, effectiveness, and consistency. Program plans and guidance are responsive to objectives and requirements of the Agency. Policy instructions are appropriately issued and are accurate. Evaluates effectiveness of work and adjusts plans accordingly.					
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)					
The following results-focused measures align with USDA Strategic Goal 2, "Enhance the Competitiveness and Sustainability of Rural and Farm Economies", Strategic Objective 2.3, "Provide Risk Management and Financial Tools to Farmers and Ranchers" in the USDA Strategic Plan, and with FSA Strategic Goal 1, "Supporting Productive Farms and Ranches", Strategic Objective 1.2, "Mitigating Market Losses" in the FSA Strategic Plan, and with Element 5, "Program Management", in the State Executive Director's performance plan:					
<ol style="list-style-type: none"> Ensures that applications for benefits are processed within required timeframes with no more than 1-2 exceptions. Ensures that producer payments are made within required timeframes with no more than 3-4 exceptions. Ensures that staff is fully trained in the program areas for which each employee is responsible within at least 5 days of being assigned the program or within at least 3 days of learning of changes in the program. Demonstrates an understanding of the Privacy Act and applies the Act correctly when exercising controls and safeguards to preserve the integrity and confidentiality of protected information. In addition, ensures all employees comply with this standard. 					
RESULT: The achievement of these standards will result in more competitive, sustainable and productive farms and ranches.					
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)					<input type="checkbox"/> Exceeds
					<input type="checkbox"/> Fully Successful
					<input type="checkbox"/> Does Not Meet
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)					
11. CERTIFICATION OF DEVELOPMENT AND RECEIPT OF PLAN (Signatures certify discussion with the employee and receipt of plan which reflects current position description.)					
Employee's Signature					Date
Supervisor's Name (Print)					Supervisor's Signature
					Date
Reviewer's Name (Print)					Reviewer's Signature
					Date
12. PROGRESS REVIEWS (at least one must be completed)					
Employee's Initials and Date			Supervisor's Initials and Date		
Check appropriate copy designation below.					
() ORIGINAL-OFFICIAL PERSONNEL FOLDER/EMPLOYEE PERFORMANCE FILE COPY () EMPLOYEE COPY () SUPERVISOR'S COPY () AGENCY USE					

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 2 of 5
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET				
1. NAME (Last, First, M.I.) Smith, John		2. POSITION TITLE CED		
3. AGENCY/DIVISION FSA/ (State)/ (county)		4. PAY PLAN, SERIES, GRADE CO-		APPRAISAL PERIOD
		5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT				
No.	2		(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"/> CRITICAL	<input type="checkbox"/> NONCRITICAL
Customer Service Routinely displays courteous and tactful behavior. Projects a positive and professional image of USDA. Provides advice that is timely, responsive and accurate. Maintains appropriate rapport with internal and external customers. Develops and establishes working relationships with external organizations as required. Keeps supervisor and/or team leader informed of difficult and/or controversial issues and unique problems. Takes action to effectively solve problems before they have an adverse impact on the organization or other employees.				
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)				
1. Ensures that customer applications are accurate and processed within established timeframes with only 1-3 exceptions.				
2. Ensures that payments are processed within timeframes with only 1-3 exceptions.				
3. Responds to other agencies (NRCS, RMS, Conservation Districts, Extension Services, etc.) regarding shared programs within established timeframes with only 1-5 exceptions.				
4. Customer needs and expectations are identified and are considered when making decisions, identifying solutions, and resolving conflicts				
5. Internal and external customers' requirements and expectations for high quality products or results are met with almost no exceptions.				
6. Employee's written feedback is solicited to develop individual performance plans that support the goals and objectives of the agency				
7. Employee feedback accepted by the Rating Official is written into the performance plan at the beginning of the performance cycle."				
RESULT: The achievement of these standards will result in an increase in the percentage of satisfied customers.				
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)			Exceeds	Fully Successful
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	Does Not Meet
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)				

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 3 of 5	
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.) Smith, John		2. POSITION TITLE CED			
3. AGENCY/DIVISION FSA/ (State)/ (county)		4. PAY PLAN, SERIES, GRADE CO-		APPRAISAL PERIOD	
		5. START DATE 10/1/xx	6. END DATE 9/30/xx		
7. PERFORMANCE ELEMENT					
No.	3	(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"/> CRITICAL <input type="checkbox"/> NONCRITICAL	
Supervisory Equal Opportunity and Civil Rights					
Performs all duties in a manner which consistently demonstrates fairness, cooperation, and respect toward coworkers, office visitors, and all others in the performance of official business. Demonstrates an awareness of EO/CR policies and responsibilities of Agency and Departmental goals of working to employ and develop a diverse, yet unified workforce.					
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)					
1. Provides Civil Rights/EEO/Sexual Harassment/Diversity information (USDA material) to employees through information sessions, staff meetings, etc. 2-4 times a year.					
2. Ensures that employees receive required Civil Rights, EEO, and Sexual Harassment training within established timeframes with no more than 1-2 exceptions.					
3. Responds to issues/actions/allegations according to agency procedures and within established timeframes with no more than 1-3 approved exceptions.					
RESULT: The achievement of these standards will result in an ensuring of civil rights for all agency employees and customers.					
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)					
		Exceeds	Fully Successful	Does Not Meet	
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)					

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 4 of 5
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET				
1. NAME (Last, First, M.I.) Smith, John		2. POSITION TITLE CED		
3. AGENCY/DIVISION FSA/(State)/(county)		4. PAY PLAN, SERIES, GRADE CO-		APPRAISAL PERIOD
		5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. 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"/> CRITICAL <input type="checkbox"/> NONCRITICAL
4	Supervision			
Work is assigned in a fair and effective manner. Technical guidance to subordinate staff is given in a timely manner. Performance management is implemented in accordance with procedure. Issues, concerns, or problems are handled promptly and fairly. To the extent possible, staff is properly trained and complies with occupational health and safety programs. Management decisions are supported and implemented within appropriate time-frames.				
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)				
1. Employee performance plans focus on results achieved, contain at least one element that is aligned with organizational goals, contain at least one element that is aligned with FSA and USDA mission, goals, and objectives, and are in place within 30 days of the beginning of the appraisal period with no more than 1-2 exceptions. Mid year reviews are conducted according to Agency guidelines. Ratings are accurate and issued within 30 days of the end of the appraisal period with no more than 1-2 exceptions.				
2. Adheres to Safety and Occupational Health practices and procedures in order to promote and maintain a safe and healthful work environment for all employees. Upon report of unsafe/unhealthful condition, notifies appropriate office within 48 hours, and follows up and/or takes appropriate action until condition is resolved with no more than 1-2 exceptions.				
3. Ensures issues and problems are identified, documented, and dealt with in a timely manner (immediately for minor issues, usually within 1 week for others, or within agency established timeframes as applicable) 85-95 percent of the time.				
RESULT: The achievement of these standards will result in an increase in the percentage of satisfied employees.				
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				
		Exceeds	Fully Successful	Does Not Meet
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)				

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 5 of 5
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET				
1. NAME (Last, First, M.I.) Smith, John		2. POSITION TITLE CED		
3. AGENCY/DIVISION FSA/ (State)/ (county)		4. PAY PLAN, SERIES, GRADE CO-	APPRAISAL PERIOD	
		5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT				
No.	5	(Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)		<input type="checkbox"/> CRITICAL <input checked="" type="checkbox"/> NONCRITICAL
Resource Management				
Monitors allocated funds and maintains complete and accurate records of expenditures. Routinely utilizes resources in an efficient and effective manner. Ensures that funds, property and other resources are guarded against waste, loss, unauthorized use, and misappropriation.				
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)				
1. Manages within the established budget for program, function, or work assigned; notifies appropriate individual of potential budget shortfalls at least 30 calendar days in advance with no more than 1-2 exceptions.				
2. Ensures that budget object codes are correctly entered with only 1-3 exceptions.				
3. Ensures that travel, training, and other administrative forms are properly completed, timely, and followed-up to ensure proper processing with only 1-3 exceptions.				
RESULT: The achievement of these standards will result in an increase in the percentage of internal business processes that are streamlined systematically.				
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)		Exceeds	Fully Successful	Does Not Meet
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)				

Example Field Office Performance Plans (Continued)

- Example 4 provides AD-435A and AD-435B's for a DD

AD-435A (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 1 of 5		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Andrews, Natalie			2. POSITION TITLE DD			
3. AGENCY/DIVISION FSA/(State)		4. PAY PLAN, SERIES, GRADE GS-	5. START DATE 10/1/xx		6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT						
No.	1	(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"/> CRITICAL <input type="checkbox"/> NONCRITICAL	
Program Management						
Manages program(s), resolving issues and problems within the employee's control. Monitors all aspects of program(s) for quality, effectiveness, and consistency. Program plans and guidance are responsive to objectives and requirements of the Agency. Policy instructions are appropriately issued and are accurate. Evaluates effectiveness of work and adjusts plans accordingly.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
The following results-focused standards align with USDA Strategic Goal 2, "Enhance the Competitiveness and Sustainability of Rural and Farm Economies", Strategic Objective 2.3, "Provide Risk Management and Financial Tools to Farmers and Ranchers" in the USDA Strategic Plan, and with FSA Strategic Goal 1, "Supporting Productive Farms and Ranches", Strategic Objectives 1.1, "Improving Access to Capital" and 1.2, "Mitigating Market Losses" in the FSA Strategic Plan, and with Element 5, "Program Management" in the State Executive Director's performance plan:						
1. Successfully completes assigned Farm Loan Program training and training activities within established timeframes. Acquires and meets the Agency's standards necessary for maintaining loan approval authority and loan servicing authority. 2. Achieves or makes progress on a monthly basis toward reducing delinquency rates within the States established goals with no more than 1-2 exceptions. 3. Ensures that reviews are conducted and reports are filed and submitted within established timeframes with no more than 1-2 exceptions. 4. Demonstrates an understanding of the Privacy Act and applies the Act correctly when exercising controls and safeguards to preserve the integrity and confidentiality of protected information. In addition, ensures all employees comply with this standard.						
RESULT: The achievement of these standards will result in more competitive, sustainable and productive farms and ranches.						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)						
			Exceeds	Fully Successful	Does Not Meet	
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						
11. CERTIFICATION OF DEVELOPMENT AND RECEIPT OF PLAN (Signatures certify discussion with the employee and receipt of plan which reflects current position description.)						
Employee's Signature					Date	
Supervisor's Name (Print)					Supervisor's Signature	
					Date	
Reviewer's Name (Print)					Reviewer's Signature	
					Date	
12. PROGRESS REVIEWS (at least one must be completed)						
Employee's Initials and Date			Supervisor's Initials and Date			
Check appropriate copy designation below.						
<input type="checkbox"/> ORIGINAL-OFFICIAL PERSONNEL FOLDER/EMPLOYEE PERFORMANCE FILE COPY <input type="checkbox"/> EMPLOYEE COPY <input type="checkbox"/> SUPERVISOR'S COPY <input type="checkbox"/> AGENCY USE						

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 2 of 5	
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.) Andrews, Natalie			2. POSITION TITLE DD		
3. AGENCY/DIVISION PSA/(State)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD	
				5. START DATE 10/1/xx	6. END DATE 9/30/xx
7. PERFORMANCE ELEMENT					
No.	2 (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
Customer Service Routinely displays courteous and tactful behavior. Projects a positive and professional image of USDA. Provides advice that is timely, responsive and accurate. Maintains appropriate rapport with internal and external customers. Develops and establishes working relationships with external organizations as required. Keeps supervisor and/or team leader informed of difficult and/or controversial issues and unique problems. Takes action to effectively solve problems before they have an adverse impact on the organization or other employees.					
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)					
1. Responds to customer questions accurately and according to procedures with only 2-4 valid complaints. Responds by at least acknowledging receipt of an inquiry as soon as possible, but within 24 hours with only 4-6 exceptions.					
2. Provides internal training that is accurate and given within established timeframes 85-95 percent of the time.					
3. Responds to other agencies (NRCS, RMS, Conservation Districts, Extension Services, etc.) regarding shared programs within established timeframes with only 1-5 exceptions.					
4. Customer needs and expectations are identified and are considered when making decisions, identifying solutions, and resolving conflicts					
5. Internal and external customers' requirements and expectations for high quality products or results are met with almost no exceptions					
6. Employee's written feedback is solicited to develop individual performance plans that support the goals and objectives of the agency					
7. Employee feedback accepted by the Rating Official is written into the performance plan at the beginning of the performance cycle."					
RESULT: The achievement of these standards will result in an increase in the percentage of satisfied customers.					
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful
				<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)					

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 3 of 5
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET				
1. NAME (Last, First, M.I.) Andrews, Natalie		2. POSITION TITLE DD		
3. AGENCY/DIVISION FSA/(State)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD
		5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT				
No. 3	(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"/> CRITICAL <input type="checkbox"/> NONCRITICAL
Supervisory Equal Opportunity and Civil Rights				
Performs all duties in a manner which consistently demonstrates fairness, cooperation, and respect toward coworkers, office visitors, and all others in the performance of official business. Demonstrates an awareness of EO/CR policies and responsibilities of Agency and Departmental goals of working to employ and develop a diverse, yet unified workforce.				
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)				
1. Reviews the USDA's civil rights policy with employees 2-4 times a year to ensure that customers and employees are treated in accordance with the policy 2. Increases awareness of all FSA programs with all SDA groups of the following activities: provides information to SDA high schools, establishes partnerships with SDA institutions and community-based groups, provides articles and success stories to newsletters and newspapers, uses COC and/or SDA advisor to identify all SDA organizations, places informational posters in public facilities and churches or businesses serving socially-disadvantaged members by holding 1-3 outreach meetings per year with SDA groups. 3. Develops an election outreach plan to increase the number of SDA producers on the COC within established timeframe that includes actively soliciting and accepting nominations from producers and groups representing SDA producers and holds 1-3 informational meetings in advance of the nomination period. RESULT: The achievement of these standards will result in an ensuring of civil rights for all agency employees and customers.				
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)			Exceeds Fully Successful Does Not Meet <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)				

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 4 of 5		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Andrews, Natalie			2. POSITION TITLE DD			
3. AGENCY/DIVISION PSA/(State)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT						
No.	4	(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"/> CRITICAL	<input type="checkbox"/> NONCRITICAL
Supervision						
<p>Work is assigned in a fair and effective manner. Technical guidance to subordinate staff is given in a timely manner. Performance management is implemented in accordance with procedure. Issues, concerns, or problems are handled promptly and fairly. To the extent possible, staff is properly trained and complies with occupational health and safety programs. Management decisions are supported and implemented within appropriate time-frames.</p>						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
<p>1. Employee performance plans focus on results achieved, contain at least one element that is aligned with organizational goals, contain at least one element that is aligned with FSA and USDA mission, goals, and objectives, and are in place within 30 days of the beginning of the appraisal period with no more than 1-2 exceptions. Mid year reviews are conducted according to Agency guidelines. Ratings are accurate and issued within 30 days of the end of the appraisal period with no more than 1-2 exceptions.</p> <p>2. Adheres to Safety and Occupational Health practices and procedures in order to promote and maintain a safe and healthful work environment for all employees. Upon report of unsafe/unhealthful condition, notifies appropriate office within 48 hours, and follows up and/or takes appropriate action until condition is resolved with no more than 1-2 exceptions.</p> <p>3. Conducts all requirements of the performance management cycle including encouraging 2-way discussions of planning, reviews, evaluations, and career development, setting goals, and conducting reviews and evaluations within established timeframes, encouraging and implementing on-going feedback throughout the year, 98-99 percent of the time.</p> <p>RESULT: The achievement of these standards will result in an increase in the percentage of satisfied employees.</p>						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful	Does Not Meet
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 5 of 5		
(12-86) PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Andrews, Natalie			2. POSITION TITLE DD			
3. AGENCY/DIVISION PSA/(State)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT						
No.	5 (Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)			CRITICAL	<input checked="" type="checkbox"/> NONCRITICAL	
Communications						
<p>Oral and written communications are clear, correct, timely, and presented in an understandable manner. Supervisor and coworkers are informed of issues and problems when necessary. Information and guidance provided is timely and correct.</p>						
<p>8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)</p>						
<p>1. Responds to general program questions within 24 hours with no more than 4-6 exceptions. Elevates more complex questions to supervisor, team leader, or other individual responsible within 2 hours of inquiry.</p>						
<p>2. Schedules staff meetings on a regular basis (at least monthly and after major program conferences and meetings or more often if required by management) with no more than 1-2 exceptions.</p>						
<p>3. Resolves disputes and problems with others through use of problem solving, conflict resolution, and negotiation with no more than 1-2 exceptions. Must respond to disputes and problems within 24 hours of becoming aware.</p>						
<p>RESULT: The achievement of these standards will result in an increase in the percentage of satisfied employees and customers.</p>						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful	Does Not Meet
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						

Example Field Office Performance Plans (Continued)

- Example 5 provides AD-435A and AD-435B's for an FLO with EO/CR as a separate performance element and Customer Service built in another performance element

AD-435A (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 1 of 4		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Williams, Christina		2. POSITION TITLE FLO				
3. AGENCY/DIVISION FSA/ (State)/ (county)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT						
No.	1	(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"/> CRITICAL	<input type="checkbox"/> NONCRITICAL
Execution of Duties						
Completed work assignments are performed in a timely manner, assuring a quality of work that meets the needs of the organization. Appropriate work methods are selected for the development of work products. Work products do not require substantive revisions. Assignments are completed in accordance with applicable agency guidelines, including time-frames.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
The following results-focused measures align with USDA Strategic Goal 2, "Enhance the Competitiveness and Sustainability of Rural and Farm Economies", Strategic Objective 2.3, "Provide Risk Management and Financial Tools to Farmers and Ranchers" in the USDA Strategic Plan, and with FSA Strategic Goal 1, "Supporting Productive Farms and Ranches", Strategic Objective 1.1, "Improving Access to Capital" in the FSA Strategic Plan, and with Element 5, "Program Management", in the State Executive Director's performance plan:						
1. Successfully completes assigned Farm Loan Program training and training activities within established timeframes. Acquires and meets the Agency's standards necessary for maintaining loan approval authority and loan servicing authority.						
2. Achieves or makes progress on a monthly basis toward reducing delinquency rates within the States established goals with no more than 1-2 exceptions.						
3. Achieves use of EFT for 90-98 percent of payments.						
4. Demonstrates an understanding of the Privacy Act and applies the Act correctly when exercising controls and safeguards to preserve the integrity and confidentiality of protected information.						
RESULT: The achievement of these standards will result in more competitive, sustainable and productive farms and ranches.						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful	Does Not Meet
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						
11. CERTIFICATION OF DEVELOPMENT AND RECEIPT OF PLAN (Signatures certify discussion with the employee and receipt of plan which reflects current position description.)						
Employee's Signature					Date	
Supervisor's Name (Print)			Supervisor's Signature		Date	
Reviewer's Name (Print)			Reviewer's Signature		Date	
12. PROGRESS REVIEWS (at least one must be completed)						
Employee's Initials and Date			Supervisor's Initials and Date			
Check appropriate copy designation below.						
() ORIGINAL-OFFICIAL PERSONNEL FOLDER/EMPLOYEE PERFORMANCE FILE COPY () EMPLOYEE COPY () SUPERVISOR'S COPY () AGENCY USE						

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 2 of 4		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Williams, Christina		2. POSITION TITLE FLO				
3. AGENCY/DIVISION FSA/ (State)/ (county)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT						
No. 2		(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"/> CRITICAL	<input type="checkbox"/> NONCRITICAL
Non Supervisory Equal Opportunity and Civil Rights						
Performs all duties in a manner which consistently demonstrates fairness, cooperation, and respect toward coworkers, office visitors, and all others in the performance of official business. Demonstrates an awareness of EO/CR policies and responsibilities of Agency and Departmental goals of valuing a diverse, yet unified workforce.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
1. Applies the same eligibility criteria to applicants including SDA, females, and persons with disabilities to increase participation by these groups with no more than 1-2 exceptions.						
2. Ensures that customers are provided with the information required; that is, appeal rights, program information, deadlines, etc., including SDA, females, and persons with disabilities within established timeframes with no more than 1-2 exceptions.						
3. Participates in available training or other EEO/AA/Diversity related activities 2-4 times a year.						
RESULT: The achievement of these standards will result in an ensuring of civil rights for all agency employees and customers.						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful	Does Not Meet
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 3 of 4		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Williams, Christina			2. POSITION TITLE FLO			
3. AGENCY/DIVISION FSA/ (State)/ (county)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT						
No.	3 (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"/> CRITICAL	<input type="checkbox"/> NONCRITICAL	
<p>Communications. Oral and written communications are clear, correct, timely, and presented in an understandable manner. Supervisor and coworkers are informed of issues and problems when necessary. Information and guidance provided is timely and correct. Customer Service: "Routinely displays courteous and tactful behavior. Projects a positive and professional image of USDA. Provides advice that is timely, responsive and accurate. Maintains appropriate rapport with internal and external customers. Develops and establishes working relationships with external organizations as required. Keeps supervisor and/or team leader informed of difficult and/or controversial issues and unique problems. Takes action to effectively solve problems before they have an adverse impact on the organization or other employees."</p>						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
<p>1. Prepares written documents that are clear, concise, and understandable as well as following prescribed procedures within established timeframes with only 1-3 exceptions.</p> <p>2. Responds in writing (when appropriate) to customer inquiries within established timeframes with only 1-3 exceptions.</p> <p>3. Regularly shares program information the employee is responsible for with co-workers to increase staff awareness of all program areas within timeframes established by management (cross-training, collaboration, reports at staff meetings, etc.) with only 1-3 exceptions.</p> <p>4. Customer Service: Receives no more than 4-6 valid customer complaints.</p> <p>5. Customer Service: Demonstrates a basic understanding of the Agency's Safety and Health Program. Complies with safety and health rules and regulations that apply to all employees. Ensures all reports of unsafe and unhealthful conditions are reported to supervisor or designated official within 48 hours.</p> <p>RESULT: The achievement of these standards will result in an increase in the percentage of satisfied employees and customers.</p>						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful	Does Not Meet
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 4 of 4	
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.) Williams, Christina		2. POSITION TITLE FLO			
3. AGENCY/DIVISION FSA/ (State)/ (county)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD	
		5. START DATE 10/1/xx	6. END DATE 9/30/xx		
7. PERFORMANCE ELEMENT					
No. 4	(Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)			<input type="checkbox"/> CRITICAL <input checked="" type="checkbox"/> NONCRITICAL	
Research and Analysis					
Thoroughly and accurately researches issues in a timely manner, using available reference sources (e.g., USDA manuals, or applicable law or regulations). Makes reasonable recommendations or decisions based on available guidance.					
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)					
1. Assembles, indexes, and organizes work papers to expedite analysis and develop quality summaries and report segments with only 1-3 revisions by supervisor 85-95 percent of the time.					
2. Analyzes data to identify weaknesses, patterns, and trends that are communicated to supervisor and other required staff within established timeframes with no more than 1-2 exceptions.					
3. Prepares case files that are complete and accurate within established timeframes for use in legal or administrative forums with only 1-3 exceptions.					
RESULT: The achievement of these standards will result in an increase in the percentage of internal business processes that are streamlined systematically.					
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)					
		Exceeds	Fully Successful	Does Not Meet	
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)					

Example Field Office Performance Plans (Continued)

- Example 6 provides AD-435A and AD-435B's for an FLO with Customer Service a separate performance element and EO/CR built in another performance element

AD-435A (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 1 of 4		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Williams, Christina		2. POSITION TITLE FLO				
3. AGENCY/DIVISION FSA/ (State) / (county)		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT						
No.	1	(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"/> CRITICAL	<input type="checkbox"/> NONCRITICAL
Execution of Duties						
Completed work assignments are performed in a timely manner, assuring a quality of work that meets the needs of the organization. Appropriate work methods are selected for the development of work products. Work products do not require substantive revisions. Assignments are completed in accordance with applicable agency guidelines, including time-frames.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
The following results-focused measures align with USDA Strategic Goal 2, "Enhance the Competitiveness and Sustainability of Rural and Farm Economies", Strategic Objective 2.3, "Provide Risk Management and Financial Tools to Farmers and Ranchers" in the USDA Strategic Plan, and with FSA Strategic Goal 1, "Supporting Productive Farms and Ranches", Strategic Objective 1.1, "Improving Access to Capital" in the FSA Strategic Plan, and with Element 5, Program Management", in the State Executive Director's performance plan:						
1. Successfully completes assigned Farm Loan Program training and training activities within established timeframes. Acquires and meets the Agency's standards necessary for maintaining loan approval authority and loan servicing authority.						
2. Achieves or makes progress on a monthly basis toward reducing delinquency rates within the States established goals with no more than 1-2 exceptions.						
3. Achieves or demonstrates progress toward ensuring that no late payment interest accrues with no more than 1-2 exceptions.						
4. Demonstrates an understanding of the Privacy Act and applies the Act correctly when exercising controls and safeguards to preserve the integrity and confidentiality of protected information.						
RESULT: The achievement of these standards will result in more competitive, sustainable and productive farms and ranches.						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful	Does Not Meet
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						
11. CERTIFICATION OF DEVELOPMENT AND RECEIPT OF PLAN (signatures certify discussion with the employee and receipt of plan which reflects current position description.)						
Employee's Signature					Date	
Supervisor's Name (Print)					Supervisor's Signature	Date
Reviewer's Name (Print)					Reviewer's Signature	Date
12. PROGRESS REVIEWS (at least one must be completed)						
Employee's Initials and Date			Supervisor's Initials and Date			
Check appropriate copy designation below.						
() ORIGINAL-OFFICIAL PERSONNEL FOLDER/EMPLOYEE PERFORMANCE FILE COPY () EMPLOYEE COPY () SUPERVISOR'S COPY () AGENCY USE						

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 2 of 4		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.)		2. POSITION TITLE				
Williams, Christina		FLO				
3. AGENCY/DIVISION		4. PAY PLAN, SERIES, GRADE		APPRAISAL PERIOD		
FSA/ (State)/ (county)		GS-		5. START DATE	6. END DATE	
				10/1/xx	9/30/xx	
7. PERFORMANCE ELEMENT						
No.	2 (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"/> CRITICAL	<input type="checkbox"/> NONCRITICAL	
<p>Customer Service</p> <p>Routinely displays courteous and tactful behavior. Projects a positive and professional image of USDA. Provides advice that is timely, responsive and accurate. Maintains appropriate rapport with internal and external customers. Develops and establishes working relationships with external organizations as required. Keeps supervisor and/or team leader informed of difficult and/or controversial issues and unique problems. Takes action to effectively solve problems before they have an adverse impact on the organization or other employees.</p>						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
<p>1. Provides program benefit information to producers and other customers; such as, newsletters, counter information, producer meetings, producer organizations, newspaper articles, and radio announcements within established timeframes with no more than 1-3 exceptions.</p> <p>2. Ensures that customer applications are accurate and processed within established timeframes with no more than 1-3 exceptions.</p> <p>3. Demonstrates a basic understanding of the Agency's Safety and Health Program. Complies with safety and health rules and regulations that apply to all employees. Ensures all reports of unsafe and unhealthful conditions are reported to supervisor or designated official within 48 hours.</p> <p>RESULT: The achievement of these standards will result in an increase in the percentage of satisfied customers.</p>						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful	Does Not Meet
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 3 of 4
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET				
1. NAME (Last, First, M.I.)		2. POSITION TITLE		
Williams, Christina		FLO		
3. AGENCY/DIVISION		4. PAY PLAN, SERIES, GRADE		APPRAISAL PERIOD
FSA/ (State)/ (county)		GS-		5. START DATE
				6. END DATE
				10/1/xx
				9/30/xx
7. PERFORMANCE ELEMENT				
No.	3	(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"/> CRITICAL <input type="checkbox"/> NONCRITICAL
<p>Communications</p> <p>Oral and written communications are clear, correct, timely, and presented in an understandable manner. Supervisor and coworkers are informed of issues and problems when necessary. Information and guidance provided is timely and correct.</p> <p>EO/CR: "Performs all duties in a manner which consistently demonstrates fairness, cooperation, and respect toward coworkers, office visitors, and all others in the performance of official business. Demonstrates an awareness of EO/CR policies and responsibilities of Agency and Departmental goals of valuing a diverse, yet unified workforce."</p>				
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)				
<p>1. Prepares written documents that are clear, concise, and understandable as well as following prescribed procedures within established timeframes with only 1-3 exceptions.</p> <p>2. Responds in writing (when appropriate) to customer inquiries within established timeframes with only 1-3 exceptions.</p> <p>3. Regularly shares program information the employee is responsible for with co-workers to increase staff awareness of all program areas within timeframes established by management (cross-training, collaboration, reports at staff meetings, etc.) with only 1-3 exceptions.</p> <p>4. EO/CR: Applies the same eligibility criteria to applicants including SDA, females, and persons with disabilities to increase participation by these groups with no more than 1-2 exceptions.</p> <p>RESULT: The achievement of these standards will result in an increase in the percentage of satisfied employees and customers.</p>				
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)			Exceeds	Fully Successful
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)				

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 4 of 4		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.)		2. POSITION TITLE				
Williams, Christina		FLO				
3. AGENCY/DIVISION		4. PAY PLAN, SERIES, GRADE		APPRAISAL PERIOD		
FSA/ (State)/ (county)		GS-		5. START DATE	6. END DATE	
				10/1/xx	9/30/xx	
7. 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 type="checkbox"/> CRITICAL	<input checked="" type="checkbox"/> NONCRITICAL
4	Research and Analysis					
Thoroughly and accurately researches issues in a timely manner, using available reference sources (e.g., USDA manuals, or applicable law or regulations). Makes reasonable recommendations or decisions based on available guidance.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
1. Assembles, indexes, and organizes work papers to expedite analysis and develop quality summaries and report segments with only 1-3 revisions by supervisor 85-95 percent of the time.						
2. Analyzes data to identify weaknesses, patterns, and trends that are communicated to supervisor and other required staff within established timeframes with no more than 1-2 exceptions.						
3. Prepares case files that are complete and accurate within established timeframes for use in legal or administrative forums with only 1-3 exceptions.						
RESULT: The achievement of these standards will result in an increase in the percentage of internal business processes that are streamlined systematically.						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)						
			<input type="checkbox"/> Exceeds	<input type="checkbox"/> Fully Successful	<input type="checkbox"/> Does Not Meet	
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						

Example Field Office Performance Plans (Continued)

- Example 7 provides AD-435A and AD-435B's for a PT with EO/CR as a separate performance element and Customer Service built in another performance element

AD-435A (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 1 of 4	
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.) Jones, Jane		2. POSITION TITLE PT			
3. AGENCY/DIVISION FSA/ (State) / (county)		4. PAY PLAN, SERIES, GRADE CO-		APPRAISAL PERIOD	
				5. START DATE 10/1/xx	6. END DATE 9/30/xx
7. PERFORMANCE ELEMENT					
No.	1	(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"/> CRITICAL <input type="checkbox"/> NONCRITICAL
Execution of Duties					
Completed work assignments are performed in a timely manner, assuring a quality of work that meets the needs of the organization. Appropriate work methods are selected for the development of work products. Work products do not require substantive revisions. Assignments are completed in accordance with applicable agency guidelines, including time-frames.					
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)					
The following results-focused measures align with USDA Strategic Goal 2, "Enhance the Competitiveness and Sustainability of Rural and Farm Economies", Strategic Objective 2.3, "Provide Risk Management and Financial Tools to Farmers and Ranchers" in the USDA Strategic Plan, and with FSA Strategic Goal 1, "Supporting Productive Farms and Ranches", Strategic Objective 1.2, "Mitigating Market Losses" in the FSA Strategic Plan, and with Element 5, "Program Management", in the State Executive Director's performance plan:					
1. Deposits and processes payments within 24 hours of receipt, in accordance with FSA policy with only 1-3 exceptions. 2. Loads software within 2 workdays of receipt with only 3-5 exceptions. 3. Achieves or makes progress toward ensuring payment amounts are accurate with no more than 1-2 exceptions. 4. Demonstrates an understanding of the Privacy Act and applies the Act correctly when exercising controls and safeguards to preserve the integrity and confidentiality of protected information.					
RESULT: The achievement of these standards will result in more competitive, sustainable and productive farms and ranches.					
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful
				<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	Does Not Meet
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)					
11. CERTIFICATION OF DEVELOPMENT AND RECEIPT OF PLAN (Signatures certify discussion with the employee and receipt of plan which reflects current position description.)					
Employee's Signature					Date
Supervisor's Name (Print)		Supervisor's Signature			Date
Reviewer's Name (Print)		Reviewer's Signature			Date
12. PROGRESS REVIEWS (at least one must be completed)					
Employee's Initials and Date			Supervisor's Initials and Date		
Check appropriate copy designation below.					
<input type="checkbox"/> ORIGINAL-OFFICIAL PERSONNEL FOLDER/EMPLOYEE PERFORMANCE FILE COPY <input type="checkbox"/> EMPLOYEE COPY <input type="checkbox"/> SUPERVISOR'S COPY <input type="checkbox"/> AGENCY USE					

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 2 of 4	
(12-86) PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET					
1. NAME (Last, First, M.I.) Jones, Jane			2. POSITION TITLE PT		
3. AGENCY/DIVISION FSA/ (State)/ (county)		4. PAY PLAN, SERIES, GRADE CO-		APPRAISAL PERIOD	
				5. START DATE 10/1/xx	6. END DATE 9/30/xx
7. 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"/>
2	Non Supervisory Equal Opportunity and Civil Rights			CRITICAL	NONCRITICAL
<p>Performs all duties in a manner which consistently demonstrates fairness, cooperation, and respect toward coworkers, office visitors, and all others in the performance of official business. Demonstrates an awareness of EO/CR policies and responsibilities of Agency and Departmental goals of valuing a diverse, yet unified workforce.</p>					
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)					
<p>1. Consistently treats coworkers with respect, fairness, and politeness including socially-disadvantaged (SDA), females, and persons with disabilities with no more than 1-2 complaints. Relates well to people from various backgrounds and situations with no more than 1-2 complaints.</p> <p>2. Consistently treats customers/producers with respect, fairness, and politeness including SDA, females, and persons with disabilities with no more than 1-2 complaints.</p> <p>3. Brings discriminatory issues or actions to the attention of the supervisor or other appropriate official as soon as possible but no later than 24 hours after occurrence with no more than 1-2 exceptions.</p> <p>RESULT: The achievement of these standards will result in an ensuring of civil rights for all agency employees and customers.</p>					
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful
				<input type="checkbox"/>	<input type="checkbox"/>
				Does Not Meet	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)					

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 3 of 4
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET				
1. NAME (Last, First, M.I.) Jones, Jane		2. POSITION TITLE PT		
3. AGENCY/DIVISION FSA/ (State) / (county)		4. PAY PLAN, SERIES, GRADE CO-		APPRAISAL PERIOD
		5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT				
No.	3	(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"/> CRITICAL <input type="checkbox"/> NONCRITICAL
<p>Communications. Oral and written communications are clear, correct, timely, and presented in an understandable manner. Supervisor and coworkers are informed of issues and problems when necessary. Information and guidance provided is timely and correct. Customer Service: "Routinely displays courteous and tactful behavior. Projects a positive and professional image of USDA. Provides advice that is timely, responsive and accurate. Maintains appropriate rapport with internal and external customers. Develops and establishes working relationships with external organizations as required. Keeps supervisor and/or team leader informed of difficult and/or controversial issues and unique problems. Takes action to effectively solve problems before they have an adverse impact on the organization or other employees."</p>				
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)				
<p>1. Prepares written documents that are clear, concise, and understandable as well as following prescribed procedures within established timeframes with only 2-3 exceptions.</p> <p>2. Responds to general program questions within 24 hours with no more than 3-6 exceptions. Elevates more complex questions to supervisor, team leader, or other individual responsible within 2 hours of inquiry with no more than 2-3 exceptions.</p> <p>3. Demonstrates a basic understanding of the Agency's Safety and Health Program. Complies with safety and health rules and regulations that apply to all employees. Ensures all reports of unsafe and unhealthful conditions are reported to supervisor or designated official within 48 hours with no more than 2-3 exceptions.</p> <p>4. Customer Service: Receives no more than 4-6 valid customer complaints.</p> <p>RESULT: The achievement of these standards will result in an increase in the percentage of satisfied employees and customers.</p>				
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)			Exceeds	Fully Successful
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)				

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 4 of 4
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET				
1. NAME (Last, First, M.I.) Jones, Jane		2. POSITION TITLE PT		
3. AGENCY/DIVISION FSA/ (State)/ (county)		4. PAY PLAN, SERIES, GRADE CO-		APPRAISAL PERIOD
		5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT				
No.	4 (Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)			<input type="checkbox"/> CRITICAL <input checked="" type="checkbox"/> NONCRITICAL
Individual Contributions to the Team Ordinarily displays dependability and reliability. Promotes open communication. Contributes creative ideas and actively participates in team meetings resulting in added value to the team's products and services. When problems arise, explores causes and assists in resolving them. Works with team members to appropriately implement decisions. Is usually open-minded to new ideas and approaches in implementing the team's goals. Willingly accepts and acts on constructive criticism.				
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)				
1. Demonstrates collaborative efforts between farm programs and farm loan programs by regularly sharing information and providing other support. Attends and participates in joint staff meetings with only 1-2 exceptions (unless excused because of scheduled leave). 2. Regularly cooperates with coworkers and others in meeting commitments and accomplishing assigned work on time; such as, sharing information freely with only 1-3 exceptions. 3. Responds constructively to feedback within 24 hours, seeking ways to improve with no more than 1-2 exceptions. RESULT: The achievement of these standards will result in an increase in the percentage of internal business processes that are streamlined systematically.				
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)			Exceeds	Fully Successful
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)				

Example Field Office Performance Plans (Continued)

- Example 8 provides AD-435A and AD-435B's for a PT with Customer Service a separate performance element and EO/CR built in another performance element

AD-435A (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 1 of 4		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Jones, Jane		2. POSITION TITLE PT				
3. AGENCY/DIVISION FSA/ (State) / (county)		4. PAY PLAN, SERIES, GRADE CO-		APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT						
No.	1	(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"/> CRITICAL	<input type="checkbox"/> NONCRITICAL
Execution of Duties						
Completed work assignments are performed in a timely manner, assuring a quality of work that meets the needs of the organization. Appropriate work methods are selected for the development of work products. Work products do not require substantive revisions. Assignments are completed in accordance with applicable agency guidelines, including time-frames.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
The following results-focused measures align with USDA Strategic Goal 2, "Enhance the Competitiveness and Sustainability of Rural and Farm Economies", Strategic Objective 2.3, "Provide Risk Management and Financial Tools to Farmers and Ranchers" in the USDA Strategic Plan, and with FSA Strategic Goal 1, "Supporting Productive Farms and Ranches", Strategic Objective 1.2, "Mitigating Market Losses" in the FSA Strategic Plan, and with Element 5, "Program Management", in the State Executive Director's performance plan:						
1. Deposits and processes payments within 24 hours of receipt, in accordance with FSA policy with no more than 1-3 exceptions.						
2. Loads software within 2 workdays of receipt with only 3-5 exceptions.						
3. Achieves or makes progress toward ensuring payment amounts are accurate with no more than 1-2 exceptions.						
4. Demonstrates an understanding of the Privacy Act and applies the Act correctly when exercising controls and safeguards to preserve the integrity and confidentiality of protected information.						
RESULT: The achievement of these standards will result in more competitive, sustainable and productive farms and ranches.						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful	Does Not Meet
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						
11. CERTIFICATION OF DEVELOPMENT AND RECEIPT OF PLAN (Signatures certify discussion with the employee and receipt of plan which reflects current position description.)						
Employee's Signature					Date	
Supervisor's Name (Print)			Supervisor's Signature		Date	
Reviewer's Name (Print)			Reviewer's Signature		Date	
12. PROGRESS REVIEWS (at least one must be completed)						
Employee's Initials and Date			Supervisor's Initials and Date			
Check appropriate copy designation below.						
() ORIGINAL-OFFICIAL PERSONNEL FOLDER/EMPLOYEE PERFORMANCE FILE COPY () EMPLOYEE COPY () SUPERVISOR'S COPY () AGENCY USE						

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 2 of 4		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Jones, Jane			2. POSITION TITLE PT			
3. AGENCY/DIVISION FSA/ (State)/ (county)		4. PAY PLAN, SERIES, GRADE CO-		APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT						
No.	2 (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"/> CRITICAL	<input type="checkbox"/> NONCRITICAL	
<p>Customer Service Routinely displays courteous and tactful behavior. Projects a positive and professional image of USDA. Provides advice that is timely, responsive and accurate. Maintains appropriate rapport with internal and external customers. Develops and establishes working relationships with external organizations as required. Keeps supervisor and/or team leader informed of difficult and/or controversial issues and unique problems. Takes action to effectively solve problems before they have an adverse impact on the organization or other employees.</p>						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
<p>1. Ensures external customers are acknowledged within 3 minutes of the time they enter the office with no more than 6-10 exceptions.</p> <p>2. Uses a customer transaction checklist to ensure all required information is obtained and applications are completed and accurate with no more than 3-5 exceptions.</p> <p>3. Provides program benefit information to producers and other customers; such as, newsletters, counter information, producer meetings, producer organizations, newspaper articles, and radio announcements within established timeframes with no more than 1-3 exceptions.</p> <p>RESULT: The achievement of these standards will result in an increase in the percentage of satisfied customers.</p>						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful	Does Not Meet
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 3 of 4		
(12-86) PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Jones, Jane			2. POSITION TITLE PT			
3. AGENCY/DIVISION FSA/ (State) / (county)		4. PAY PLAN, SERIES, GRADE CO-		APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. 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"/> CRITICAL	<input type="checkbox"/> NONCRITICAL
3	<p>Communications</p> <p>Oral and written communications are clear, correct, timely, and presented in an understandable manner. Supervisor and coworkers are informed of issues and problems when necessary. Information and guidance provided is timely and correct. EO/CR: "Performs all duties in a manner which consistently demonstrates fairness, cooperation, and respect toward coworkers, office visitors, and all others in the performance of official business. Demonstrates an awareness of EO/CR policies and responsibilities of Agency and Departmental goals of valuing a diverse, yet unified workforce."</p>					
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
<p>1. Prepares written documents that are clear, concise, and understandable as well as following prescribed procedures within established timeframes with only 2-3 exceptions.</p> <p>2. Responds to general program questions within 24 hours with no more than 3-6 exceptions. Elevates more complex questions to supervisor, team leader, or other individual responsible within 2 hours of inquiry with no more than 2-3 exceptions.</p> <p>3. Demonstrates a basic understanding of the Agency's Safety and Health Program. Complies with safety and health rules and regulations that apply to all employees. Ensures all reports of unsafe and unhealthful conditions are reported to supervisor or designated official within 48 hours With no more than 2-3 exceptions.</p> <p>4. EO/CR: Consistently treats customers/producers/coworkers with respect, fairness, and politeness including SDA, females, and persons with disabilities with no more than 1-2 complaints.</p> <p>RESULT: The achievement of these standards will result in an increase in the percentage of satisfied employees and customers.</p>						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful	Does Not Meet
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						

Example Field Office Performance Plans (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 4 of 4		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Jones, Jane			2. POSITION TITLE PT			
3. AGENCY/DIVISION FSA/ (State)/ (county)		4. PAY PLAN, SERIES, GRADE CO-		APPRAISAL PERIOD		
				5. START DATE 10/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT						
No.	4 (Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)			<input type="checkbox"/> CRITICAL	<input checked="" type="checkbox"/> NONCRITICAL	
Individual Contributions to the Team Ordinarily displays dependability and reliability. Promotes open communication. Contributes creative ideas and actively participates in team meetings resulting in added value to the team's products and services. When problems arise, explores causes and assists in resolving them. Works with team members to appropriately implement decisions. Is usually open-minded to new ideas and approaches in implementing the team's goals. Willingly accepts and acts on constructive criticism.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
1. Demonstrates collaborative efforts between farm programs and farm loan programs by regularly sharing information and providing other support. Attends and participates in joint staff meetings with only 1-2 exceptions (unless excused because of scheduled leave). 2. Regularly cooperates with coworkers and others in meeting commitments and accomplishing assigned work on time; such as, sharing information freely with only 1-3 exceptions. 3. Responds constructively to feedback within 24 hours, seeking ways to improve with no more than 1-2 exceptions. RESULT: The achievement of these standards will result in an increase in the percentage of internal business processes that are streamlined systematically.						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful	Does Not Meet
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						

Example National Office Performance Plan

This is an example AD-435A and AD-435B's for a National Office employee.

AD-435A (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 1 of 4		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Smith, Jane		2. POSITION TITLE Loan Specialist				
3. AGENCY/DIVISION FSA/FLP/LMD		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD		
				5. START DATE 1/1/xx	6. END DATE 9/30/xx	
7. PERFORMANCE ELEMENT						
No.	1	(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"/> CRITICAL	<input type="checkbox"/> NONCRITICAL
<p>Execution of Duties Completed work assignments are performed in a timely manner, assuring a quality of work that meets the needs of the organization. Appropriate work methods are selected for the development of work products. Work products do not require substantive revisions. Assignments are completed in accordance with applicable agency guidelines, including time-frames. Performs all duties in a manner which consistently demonstrates fairness, cooperation, and respect toward coworkers, office visitors, and all others in the performance of official business.</p>						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
<p>The following results-focused standards align with USDA Strategic Goal (), "(title of goal)", Strategic Objective (), "(title of objective)" in the USDA Strategic Plan, and with FSA Strategic Goal (), "(title of goal)", Strategic Objective (), "(title of objective)" in the FSA Strategic Plan:</p> <p>1. (insert appropriate aligned standard)</p> <p>2. Demonstrates an understanding of the Privacy Act and applies the Act correctly when exercising controls and safeguards to preserve the integrity and confidentiality of protected information.</p> <p>3. (EO/CR standard)</p> <p>RESULT: The achievement of these standards will result in more competitive, sustainable and productive farms and ranches.</p>						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds <input type="checkbox"/>	Fully Successful <input type="checkbox"/>	Does Not Meet <input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						
11. CERTIFICATION OF DEVELOPMENT AND RECEIPT OF PLAN (Signatures certify discussion with the employee and receipt of plan which reflects current position description.)						
Employee's Signature					Date	
Supervisor's Name (Print)		Supervisor's Signature			Date	
Reviewer's Name (Print)		Reviewer's Signature			Date	
12. PROGRESS REVIEWS (at least one must be completed)						
Employee's Initials and Date			Supervisor's Initials and Date			
:	:	:	:	:	:	
Check appropriate copy designation below.						
<input type="checkbox"/> ORIGINAL-OFFICIAL PERSONNEL FOLDER/EMPLOYEE PERFORMANCE FILE COPY <input type="checkbox"/> EMPLOYEE COPY <input type="checkbox"/> SUPERVISOR'S COPY <input type="checkbox"/> AGENCY USE						

Example National Office Performance Plan (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 2 of 4		
(12-86) PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.)		2. POSITION TITLE				
Smith, Jane		Loan Specialist				
3. AGENCY/DIVISION		4. PAY PLAN, SERIES, GRADE		APPRAISAL PERIOD		
PSA/FLP/LMD		GS-		5. START DATE	6. END DATE	
				1/1/07	9/30/07	
7. 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"/> CRITICAL	<input type="checkbox"/> NONCRITICAL
2	Customer Service Routinely displays courteous and tactful behavior. Projects a positive and professional image of USDA. Provides advice that is timely, responsive and accurate. Maintains appropriate rapport with internal and external customers. Develops and establishes working relationships with external organizations as required. Keeps supervisor and/or team leader informed of difficult and/or controversial issues and unique problems. Takes action to effectively solve problems before they have an adverse impact on the organization or other employees.					
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
1. Demonstrates a basic understanding of the Agency's Safety and Health Program. Complies with safety and health rules and regulations that apply to all employees. Ensures all reports of unsafe and unhealthful conditions are reported to supervisor or designated official within 48 hours.						
(at least 2 other standards)						
RESULT: The achievement of these standards will result in an increase in the percentage of satisfied customers.						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)				Exceeds	Fully Successful	Does Not Meet
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						

Example National Office Performance Plan (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 3 of 4		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.)		2. POSITION TITLE				
Smith, Jane		Loan Specialist				
3. AGENCY/DIVISION		4. PAY PLAN, SERIES, GRADE		APPRAISAL PERIOD		
PSA/FLP/LMD		GS-		5. START DATE	6. END DATE	
				1/1/07	9/30/07	
7. PERFORMANCE ELEMENT						
No.	3	(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"/> CRITICAL	<input type="checkbox"/> NONCRITICAL
Individual Contributions to the Team						
<p>Ordinarily displays dependability and reliability. Promotes open communication. Contributes creative ideas and actively participates in team meetings resulting in added value to the team's products and services. When problems arise, explores causes and assists in resolving them. Works with team members to appropriately implement decisions. Is usually open minded to new ideas and approaches in implementing the team's goals. Willingly accepts and acts on constructive criticism.</p>						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
(at least 3 standards)						
<p>RESULT: The achievement of these standards will result in an increase in the percentage of satisfied employees.</p>						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)						
			Exceeds	Fully Successful	Does Not Meet	
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						

Example National Office Performance Plan (Continued)

AD-435B (Continuation Sheet)		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 4 of 4		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Smith, Jane		2. POSITION TITLE Loan Specialist				
3. AGENCY/DIVISION PSA/FLP/LMD		4. PAY PLAN, SERIES, GRADE GS-		APPRAISAL PERIOD		
				5. START DATE 1/1/07	6. END DATE 9/30/07	
7. PERFORMANCE ELEMENT						
No.	(Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)				CRITICAL	NONCRITICAL
4	Research and Analysis				<input type="checkbox"/>	<input checked="" type="checkbox"/>
Thoroughly and accurately researches issues in a timely manner, using available reference sources (e.g., USDA manuals, or applicable law or regulations. Makes reasonable recommendations or decisions based on available guidance.						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
(at least 3 standards)						
RESULT: The achievement of these standards will result in an increase in the percentage of internal business processes that are streamlined systematically.						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)						
			Exceeds	Fully Successful	Does Not Meet	
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						

Possible Elements

The following is a list of elements that 3 to 7 performance elements shall be selected and included in performance plans. Supervisors shall designate which elements are critical and noncritical. See Exhibit 4 for suggested elements for most Field Office positions.

Elements	Description
Execution of Duties	Completed work assignments are performed in a timely manner, assuring a quality of work that meets the needs of the organization. Appropriate work methods are selected for the development of work products. Work products do not require substantive revisions. Assignments are completed in accordance with applicable FSA guidelines, including timeframes.
Communications	Oral and written communications are clear, correct, timely, and presented in an understandable manner. Supervisor and coworkers are informed of issues and problems when necessary. Information and guidance provided is timely and correct.
Supervision Important: Mandatory for all supervisors and managers.	Work is assigned in a fair and effective manner. Technical guidance to subordinate staff is given in a timely manner. Performance management is implemented in accordance with procedure. Issues, concerns, or problems are handled promptly and fairly. To the extent possible, staff is properly trained and complies with occupational health and safety programs. Management decisions are supported and implemented within appropriate timeframes.
Team Leadership	Routinely leads individuals and team members toward specific goals and accomplishments. Provides encouragement, guidance, and direction as needed. Adjusts style to fit situation. Delegates appropriate authority in an effective manner. Coordinates functions of the team members. Demonstrates a sincere interest in employees' activities, abilities, etc.
Program Management	Manages program(s), resolving issues and problems within the employee's control. Monitors all aspects of program(s) for quality, effectiveness, and consistency. Program plans and guidance are responsive to objectives and requirements of FSA. Policy instructions are appropriately issued and are accurate. Evaluates effectiveness of work and adjusts plans accordingly.
Special Projects	Special projects are regularly completed on time in a competent, accurate, and thorough manner. Completed projects comply with regulations and procedures. Special projects are completed independently, or reflect research and collaboration with others as required.
Research and Analysis	Thoroughly and accurately researches issues in a timely manner, using available reference sources (e.g., USDA manuals, or applicable law or regulations. Makes reasonable recommendations or decisions based on available guidance.

Possible Elements (Continued)

Elements	Description
<p>Customer Service</p> <p>Important: Mandatory for all supervisors and managers.</p>	<p>Routinely displays courteous and tactful behavior. Projects a positive and professional image of USDA. Provides advice that is timely, responsive and accurate. Maintains appropriate rapport with internal and external customers. Develops and establishes working relationships with external organizations as required. Keeps supervisor and/or team leader informed of difficult and/or controversial issues and unique problems. Takes action to effectively solve problems before they have an adverse impact on the organization or other employees.</p>
<p>Supervisory Equal Opportunity and Civil Rights</p> <p>Important: Mandatory for all supervisors and managers.</p>	<p>Performs all duties in a manner which consistently demonstrates fairness, cooperation, and respect toward coworkers, office visitors, and all others in the performance of official business. Demonstrates an awareness of EO/CR policies and responsibilities of FSA and USDA goals of working to employ and develop a diverse, yet unified workforce.</p>
<p>Nonsupervisory Equal Opportunity and Civil Rights</p>	<p>Performs all duties in a manner which consistently demonstrates fairness, cooperation, and respect toward coworkers, office visitors, and all others in the performance of official business. Demonstrates an awareness of EO/CR policies and responsibilities of FSA and USDA goals of valuing a diverse, yet unified workforce.</p>
<p>Resource Management</p>	<p>Monitors allocated funds and maintains complete and accurate records of expenditures. Routinely utilizes resources in an efficient and effective manner. Ensures that funds, property and other resources are guarded against waste, loss, unauthorized use, and misappropriation.</p>
<p>Individual Contributions to the Team</p>	<p>Ordinarily displays dependability and reliability. Promotes open communication. Contributes creative ideas and actively participates in team meetings resulting in added value to the team's products and services. When problems arise, explores causes and assists in resolving them. Works with team members to appropriately implement decisions. Is usually open-minded to new ideas and approaches in implementing the team's goals. Willingly accepts and acts on constructive criticism.</p>

Possible Elements for Field Office Positions

The following provides suggestions for elements for each field office position.

Cluster	Positions	Elements
Management: County Office	County Executive Director CO-7, 9, 11, 12	4 critical (choose at least 1): <ul style="list-style-type: none"> • program management • customer service • civil rights • supervision. 1 noncritical (choose at least 1): <ul style="list-style-type: none"> • communication • research and analysis • resource management.
	Farm Loan Manager GS-11, 12	
Program Technician: County Office	Program Technician CO/GS-3, 4, 5, 6, 7	4 critical (choose at least 1): <ul style="list-style-type: none"> • execution of duties • civil rights • customer service • communications. 1 noncritical (choose at least 1): <ul style="list-style-type: none"> • individual contributions to the team/team leadership • resource management • research and analysis.
	Lead Program Technician CO-8: Shared Management	
	Chief Program Technician CO-9: Supervisor	
	Program Technician-In-Charge CO-7, 8, 9, 11	
Farm Loan: County Office	Farm Loan Officer GS-7, 9, 11	4 critical (choose at least 1): <ul style="list-style-type: none"> • execution of duties • civil rights • customer service • communications. 1 noncritical (choose at least 1): <ul style="list-style-type: none"> • research and analysis • individual contributions to the team/team leadership.
	Farm Loan Program Technician GS-3, 4, 5, 6, 7	

Possible Elements for Field Office Positions (Continued)

Cluster	Positions	Elements
Administrative/ Specialist/ Appraiser: State Office	Ag Program Specialist GS-9, 11, 12	4 critical (choose at least 1): <ul style="list-style-type: none"> • execution of duties • civil rights • customer service • communications. 1 noncritical (choose at least 1): <ul style="list-style-type: none"> • research and analysis • individual contributions to the team (use team leadership if appropriate) • resource management.
	Farm Loan Specialist GS-11, 12	
	Appraiser GS-9, 11, 12	
	Assistant AO/HR Specialist/Admin Specialist GS-9, 11, 12	
	Outreach/Information/EEO GS-11, 12	
	County Operations Reviewer GS-7, 9, 11, 12	
	GIS Specialist/Coordinator GS-9, 11, 12	
Secretary/ Assistant: State Office	SED Secretary GS-7	4 critical (choose at least 1): <ul style="list-style-type: none"> • execution of duties • civil rights • customer service • communication. 1 noncritical (choose at least 1): <ul style="list-style-type: none"> • research and analysis • individual contributions to the team • resource management.
	Program Assistant GS-7	
	Program Technicians GS-3, 4, 5, 6, 7	
	Print Shop Operator/Mail Clerk GS-3, 5, 7	
Management: State Office	District Director GS-12, 13	4 critical (choose at least 1): <ul style="list-style-type: none"> • program management • customer service • civil rights • supervision. 1 noncritical (choose at least 1): <ul style="list-style-type: none"> • communication • resource management • research and analysis.
	Farm Program Chief GS-13	
	Farm Loan Program Chief GS-13	
	Chief Administrative Officer GS-13	
	Executive Officer GS-13, 14	

Possible Elements for Field Office Positions (Continued)

Cluster	Positions	Elements
Contracting and Procurement: State Office	Contracting GS-7, 9, 11	4 critical (choose at least 1): <ul style="list-style-type: none"> • execution of duties • civil rights • customer service • communication. 1 noncritical (choose at least 1): <ul style="list-style-type: none"> • resource management • research and analysis.
	Procurement GS-7, 9, 11	
Trainee	County Operations Trainee CO-5, 7, 9	4 critical (choose at least 1): <ul style="list-style-type: none"> • execution of duties • civil rights • customer service • communication. 1 noncritical; research and analysis.
	Farm Loan Officer Trainee GS-7, 9, 11	

Examples of Standards for Each Element

Important: The following are examples of standards that can be used. They do **not** have to be used verbatim. Supervisors can change percentages, numbers, etc., depending on the individual situation.

A Nonsupervisory Equal Opportunity and Civil Rights

Attends 2-4 optional EEO/AA/Diversity information sessions provided/scheduled by supervisor.

Assists supervisor or responsible individual with planning, preparing for, or presenting EEO/AA/Diversity information sessions 2-4 times per year.

Consistently treats coworkers with respect, fairness, and politeness including socially-disadvantaged (SDA), females, and persons with disabilities with no more than 1-2 complaints. Relates well to people from various backgrounds and situations with no more than 1-2 complaints.

Consistently treats customers/producers with respect, fairness, and politeness including SDA, females, and persons with disabilities with no more than 1-2 complaints.

Brings discriminatory issues or actions to the attention of the supervisor or other appropriate official as soon as possible but no later than 24 hours after occurrence.

Ensures that the Civil Rights/EO actions and correspondence file is up-to-date and complete throughout the year, within the timeframes established by management, with only 1-3 exceptions.

Applies the same eligibility criteria to applicants including SDA, females, and persons with disabilities to increase participation by these groups with no more than 1-2 exceptions.

Ensures that customers are provided with the information required; that is, appeal rights, program information, deadlines, etc., including SDA, females, and persons with disabilities within established timeframes with no more than 1-2 exceptions.

Participates in available training or other EEO/AA/Diversity related activities 2-4 times a year.

Completes required Civil Rights/EEO/Sexual Harassment training within established timeframes with no more than 1-2 exceptions.

Reviews and meets requirements established in Notice AO-1351 with no more than 1-2 exceptions.

Note: Each element must have at least 3 standards.

Examples of Standards for Each Element (Continued)**B Supervisory Equal Opportunity and Civil Rights**

Ensures that 95-99 percent of employees have measurable civil rights performance standards in their annual performance plans within established timeframes.

Provides Civil Rights/EEO/Sexual Harassment/Diversity information (USDA material) to employees through information sessions, staff meetings, etc. 2-4 times a year.

Ensures that employees receive required Civil Rights, EEO, and Sexual Harassment training within established timeframes with no more than 1-2 exceptions.

Responds to issues/actions/allegations according to FSA procedures and within established timeframes with only 1-3 approved exceptions.

Takes action to reduce the number of valid employee complaints by actions such as increasing information provided for interpersonal skills training to employees, etc. 2-4 times annually.

Reviews the USDA's Civil Rights policy with employees 2-4 times a year to ensure that customers and employees are treated according to the policy

Increases awareness of all FSA programs with all SDA groups of the following activities:

- provides information to SDA high schools
- establishes partnerships with SDA institutions and community-based groups
- provides articles and success stories to newsletters and newspapers
- uses COC and/or SDA advisor to identify all SDA organizations
- places informational posters in public facilities and churches or businesses serving SDA members by holding 1-3 outreach meetings per year with SDA groups.

Develops an election outreach plan to increase the number of SDA producers on COC within established timeframe that includes actively soliciting and accepting nominations from producers and groups representing SDA producers and holds 1-3 informational meetings in advance of the nomination period.

Is available to meet with SDA groups to fully explain COC nomination and election procedures 90-95 percent of the time and provides all election information to all SDA groups in the county annually and timely with no more than 1-2 exceptions.

Increases the number of SDA candidates by 1-3 percent for COC based on election outreach plan.

Examples of Standards for Each Element (Continued)**B Supervisory Equal Opportunity and Civil Rights (Continued)**

Encourages employees to attend training to increase interpersonal skills; such as cross-cultural communication, negotiation, dispute resolution, problem solving, active listening, etc. by including the recommended training on a timely established IDP followed by discussion and by following up with employees about the status of training 2-4 times during the year.

Provides pro-active assistance to employees to help with problem solving and resolving conflicts. Results based on employee feedback, surveys, random oral surveys from 2nd level supervisor, and providing employee skills training in related topics by providing information at 1-3 staff meetings.

Meets USDA-established Civil Rights/EEO goals for recruitment, selection, promotion, training, awards, and other personnel activities with no more than 1-2 exceptions.

Models appropriate behavior by treating employees, peers, supervisors, and customers with respect, fairness, and politeness with no more than 1-2 complaints.

Ensures requirements of Notice AO-1351 are met with no more than 1-2 exceptions.

Ensures that complete application materials are provided to all customers or potential customers of FSA, ensuring that all SDA and persons with disabilities receive complete applications within established timeframes with no more than 1-2 exceptions.

Ensures that all SDA and persons with disabilities are provided guidance and instructions for completing applications for loans or farm program benefits within established timeframes with no more than 1-2 exceptions.

Note: Each element must have at least 3 standards.

Examples of Standards for Each Element (Continued)**C Communications**

Communicates clearly with producers and shares accurate information with only 3-5 exceptions.

Responds to general program questions within 24 hours with only 4-6 exceptions. Elevates more complex questions to supervisor, team leader, or other individual responsible within 2 hours of inquiry.

Schedules staff meetings on a regular basis, at least monthly and after major program conferences and meetings or more often if required by management. **(Supervisors only)**

Prepares written documents that are clear, concise, and understandable as well as following prescribed procedures within established timeframes with only 1-3 exceptions.

Responds in writing, when appropriate, to customer inquiries within established timeframes with only 1-3 exceptions.

Regularly shares program information the employee is responsible for with co-workers to increase staff awareness of all program areas within timeframes established by management (cross-training, collaboration, reports at staff meetings, etc.) with only 1-3 exceptions.

Resolves disputes and problems with others through use of problem solving, conflict resolution, and negotiation with no more than 1-2 exceptions. Must respond to disputes and problems within 24 hours of becoming aware.

Note: Each element must have at least 3 standards.

Examples of Standards for Each Element (Continued)**D Customer Service**

Responds to customer questions accurately and according to procedures with only 2-4 valid complaints. Responds by at least acknowledging receipt of an inquiry as soon as possible, but within 24 hours with only 4-6 exceptions.

Provides internal training that is accurate and given within established timeframes 85-95 percent of the time.

Completes assigned program training within established timeframes 85-95 percent of the time.

Ensures external customers are acknowledged within 3 minutes of the time they enter the office with only 6-10 exceptions.

Uses a customer transaction checklist to ensure all required information is obtained and applications are completed and accurate with only 3-5 exceptions.

Provides program benefit information to producers and other customers; such as, newsletters, counter information, producer meetings, producer organizations, newspaper articles, and radio announcements within established timeframes with only 1-3 exceptions.

Ensures that customer applications are accurate and processed within established timeframes with only 1-3 exceptions.

Ensures that payments are processed within timeframes with only 1-3 exceptions.

Responds to other agencies (NRCS, RMS, Conservation Districts, Extension Services, etc.) about shared programs within established timeframes with only 1-5 exceptions.

Receives only 4-6 valid customer complaints.

Note: Each element must have at least 3 standards.

Examples of Standards for Each Element (Continued)**E Execution of Duties**

Ensures that payment amounts are accurate, that necessary supporting documents are up to date and on file, and that applications are complete with no more than 1-2 exceptions.

Note: This standard is required for Farm Program staff.

Prepares reports required with duties that are accurate and complete within established timeframes with only 1-3 exceptions.

Achieves use of electronic funds transfer (EFT) for 85-95 percent of loan obligations.

Achieves use of EFT for 90-98 percent of payments.

Deposits and processes payments within 24 hours of receipt according to FSA policy with only 1-3 exceptions.

Achieves or demonstrates progress toward ensuring that no late payment interest accrues with no more than 1-2 exceptions.

Achieves or demonstrates progress towards working to provide information about program benefits to producers to ensure that they can make informed decisions; by publishing 6-10 newsletters, providing 1-3 handouts as counter information, attending 1-3 producer meetings, meeting with producer organizations 1-3 times, etc.

Achieves or makes progress toward ensuring payment amounts are accurate with no more than 1-2 exceptions.

Ensures applications are completed accurately to minimize inaccurate payments with only 3-5 exceptions.

Completes all actions required on an application within established timeframes with only 1-3 exceptions.

Achieves or makes progress toward ensuring farm loan transactions or other assigned work is accurate and complete with no more than 1-2 exceptions.

Loads software within 2 workdays of receipt with only 3-5 exceptions.

Examples of Standards for Each Element (Continued)**E Execution of Duties (Continued)**

Achieves or makes progress toward delinquency rates within the States established goals with no more than 1-2 exceptions.

Ensures that operations occur in an efficient manner to support the program areas; like, printing and distributing materials, creating regulations and guidance, etc., with only 1-3 exceptions.

Meets Federal contracting regulations with respect to processing, follow through, and life span with only 1-3 exceptions.

Processes requests in a timely manner with only 1-3 complaints.

Files notices and amendments within 2 workdays of posted receipt with only 3-5 exceptions.

Note: Each element must have at least 3 standards.

Examples of Standards for Each Element (Continued)**F Individual Contributions to the Team (All Positions Except Team Leaders and Supervisors)**

Demonstrates collaborative efforts between farm programs and FLP by regularly sharing information and providing other support. Attends and participates in joint staff meetings with only 1-2 exceptions (unless excused because of scheduled leave).

Regularly cooperates with coworkers and others in meeting commitments and accomplishing assigned work on time; such as, sharing information freely with only 1-3 exceptions.

Responds constructively to feedback within 24 hours, seeking ways to improve with no more than 1-2 exceptions.

Consistently raises concerns in constructive manner and offers potential solutions with no more than 1-2 exceptions.

Fosters productive and cooperative working relationships by showing understanding, courtesy, tact, and politeness to others with no more than 4-6 valid complaints.

Updates records that affect other programs in the office within timeframes established by management with no more than 1-2 exceptions.

Note: Each element must have at least 3 standards.

Examples of Standards for Each Element (Continued)**G Program Management**

Ensures that payment amounts are accurate, that necessary supporting documents are up to date and on file, and that applications are complete with no more than 1-2 exceptions.

Note: This standard is required for Farm Program staff.

Processes loans within the States established goals with only 1-3 exceptions.

Achieves or demonstrates progress on a monthly basis toward ensuring that no late payment interest accrues with no more than 1-2 exceptions.

Ensures that reviews are conducted and reports are filed and submitted within established timeframes with no more than 1-2 exceptions.

Achieves or makes progress on a monthly basis toward delinquency rates within the States established goals with no more than 1-2 exceptions.

Ensures that applications for benefits are processed within required timeframes with no more than 1-2 exceptions.

Ensures that producer payments are made within required timeframes with no more than 3-4 exceptions.

Ensures that staff is fully trained in the program areas for which each employee is responsible within at least 5 days of being assigned the program or within at least 3 days of learning of changes in the program.

Ensures that compliance checks are made within established timeframes.

Note: Each element must have at least 3 standards.

Examples of Standards for Each Element (Continued)**H Research and Analysis**

Reviews and analyzes temporary directive notices and handbook procedure on a daily basis 90-98 percent of the time.

Takes actions required by temporary directive notices or handbook procedure within the timeframes required with only 2-4 exceptions.

Asks questions for clarification and makes suggestions for implementation within the timeframes established by management with no more than 2-4 exceptions.

Writes State temporary directive notices required by the supervisor that are clear, concise, and understandable within established timeframes 90-98 percent of the time. [**State Office Only**]

Conducts research and gathers data in response to legal issues and other assignments that are complete, accurate, and relevant within established timeframes with only 1-3 exceptions.

Assembles, indexes, and organizes work papers to expedite analysis and develop quality summaries and report segments with only 1-3 revisions by supervisor 85-95 percent of the time.

Analyzes data to identify weaknesses, patterns, and trends that are communicated to supervisor and other required staff within established timeframes with no more than 1-2 exceptions.

Prepares case files that are complete and accurate within established timeframes for use in legal or administrative forums with only 1-3 exceptions.

Prepares case files for program appeals that are complete and accurate within established timeframes with only 1-3 exceptions.

Note: Each element must have at least 3 standards.

Examples of Standards for Each Element (Continued)**I Resource Management**

Manages within the established budget for program, function, or work assigned; notifies appropriate individual of potential budget shortfalls at least 30 calendar days in advance with no more than 1-2 exceptions.

Ensures that budget object codes are correctly entered with only 1-3 exceptions.

Ensures that travel, training, and other administrative forms are properly completed, timely, and followed-up to ensure proper processing with only 1-3 exceptions.

Plans resource needs accurately with only 1-3 exceptions.

Ensures bills are paid by established deadlines to avoid late payment interest with only 1-2 exceptions.

Plans projects or other assignments, monitors, and completes projects or assignments within schedule and quality goals 90-98 percent of the time.

Note: Each element must have at least 3 standards.

Examples of Standards for Each Element (Continued)**J Supervision (Supervisors Only)**

Schedules staff meetings at least monthly and after major program conferences or meetings or more frequently if required by management with no more than 1-2 exceptions.

Prioritizes work of staff to deal with workload shifts and to ensure that mission-critical work is accomplished with 90-98 percent accuracy.

Ensures that all new employees receive training on operational and procedural requirements within timeframes required by management with no more than 1-2 exceptions.

Ensures that all employees are assessed and training needs are identified, communicated to employees, and planned on an annual basis with no more than 1-2 exceptions.

Ensures that all employees receive required training within established timeframes with no more than 1-2 exceptions.

Ensures issues and problems are identified, documented, and dealt with in a timely manner (immediately for minor issues, usually within 1 week for others, or within agency established timeframes as applicable) 85-95 percent of the time.

Ensures that all individual performance plans are linked to SED goals and that the links are explained to employees by the required deadline with no more than 1-2 exceptions.

Conducts all requirements of the performance management cycle including encouraging 2-way discussions of planning, reviews, evaluations, and career development, setting goals and conducting reviews and evaluations within established timeframes, encouraging and implementing on-going feedback throughout the year, 95-99 percent of the time.

Ensures fair treatment of staff by dealing with issues such as absenteeism, tardiness, and other chronic problems within 1 week of identification of problem with no more than 1-2 exceptions.

Prepares required reports that are accurate, according to stated requirements, and within established timeframes with only 1-3 exceptions.

Ensures that all personnel responsibilities (recruitment, staffing, promotion, training, evaluation, and discipline) are conducted fairly, meet established procedures, and within established timeframes with no more than 1-2 exceptions.

Note: Each element must have at least 3 standards.

Examples of Standards for Each Element (Continued)**K Team Leadership**

Provides leadership or oversees subordinate or co-workers' work and achieves desired results 85-95 percent of the time.

Plans projects and monitors or reviews work within schedule and quality goals for assigned program or functional work 85-95 percent of the time.

Demonstrates collaborative efforts between farm programs and farm loan programs by ensuring team regularly shares information and provides other support on a daily basis with no more than 5-7 exceptions. Joint staff meetings will be held on a regular basis as established by management with no more than 1-2 exceptions, frequency of the meetings must be established in writing.

Informs coworkers and backup employee of work in progress or issues before taking leave 85-95 percent of the time.

Note: Each element must have at least 3 standards.

Matrix of Possible Aligned Standards

The following are positions that directly support FP's and FLP's. Other standards may be selected, if appropriate.

Standard	DD	FLP Chief	FP Chief	CED	FLM	PT	AO/ Admin Spec	FP Spec	FLP Spec	FLO	FLOT*	COT*	COR
Ensure using EFT for 90-95 percent of loan obligations.	X	X			X	X			X	X	X		
Ensure using EFT for 90-95 percent of payments.	X		X	X		X		X				X	
According to FSA policy [insert policy #], deposit and process payments within 24 hours of receipt with no more than 1-2 exceptions.	X	X	X	X	X	X		X	X	X	X	X	
Ensure processing of loans within the State's established goals with no more than 2-3 exceptions.	X	X	X	X	X	X			X	X	X	X	
Ensure UCC continuations are filed before the expiration date with no more than 2-3 exceptions.	X	X	X	X	X	X		X	X	X	X	X	
Ensure that no late payment interests accrue.	X		X	X		X	X	X				X	
Provide information about program benefits to producers to ensure that they can make an informed decision [insert outcome measures here] such as, 6-8 newsletters, 2-3 counter fliers information, 1-2 producer meetings, 1-2 meeting with producer organizations, etc.	X	X	X	X	X	X		X	X	X	X	X	

*The objectives for FLOT's, COT's, and SCEP's should:

- describe the training programs being participated in
- **not** be the same as FLO and CED objectives.

Note: See page 2 for examples.

Matrix of Possible Aligned Standards (Continued)

Standard	DD	FLP Chief	FP Chief	CED	FLM	PT	AO/ Admin Spec	FP Spec	FLP Spec	FLO	FLOT*	COT*	COR
Ensure that payment amounts are accurate and applications are complete with no more than 2-3 exceptions.	X		X	X		X	X		X			X	
Ensure transactions or other assigned work is accurate and complete with no more than 1-2 exceptions.						X							
Ensure that reviews are conducted and reports are filed and submitted within established timeframes with no more than 1-2 exceptions.													X
Ensure that IDP's are linked to SED goals within established timeframes with no more than 1-2 exceptions.							X						
Ensure payment amounts received are accurately applied to the correct accounts within established timeframes with no more than 1-2 exceptions.						X							

*The objectives for FLOT's, COT's, and SCEP's should:

- describe the training programs being participated in
- **not** be the same as FLO and CED objectives.

Examples:

- COT's shall ensure payment amounts are accurate and applications are complete in trainee status with no more than 5-6 exceptions.
- FLOT's shall ensure processing of loans within the State's established goals in trainee status with no more than 5-6 exceptions.
- SCEP (FLP's) shall ensure processing of loans within the State's established goals in trainee status with no more than 5-6 exceptions.
- SCEP (FP's) shall ensure that payment amounts are accurate and applications are complete in trainee status with no more than 5-6 exceptions.

Matrix of Possible Aligned Standards (Continued)

The following are administrative positions.

- Administrative Officers (AO's)/
Administrative Specialists (see Page 1)
- Administrative/Management Services:
 - Mail Clerks
 - Print Shop Technicians
 - Program Managers
 - Public Relations Specialists
 - SED Secretary
- Contracting and Procurement:
 - Contracting Specialists
 - Procurement Specialists
 - Purchasing Agents
- EEO/Diversity Specialists, such as Outreach Coordinator
- Human Resource Specialists
- Real Estate Appraisers.

Standard	Human Resources (including Administrative Technicians)	EEO/Diversity	Budget	Administrative/Management Services	Contracting and Procurement	Real Estate Appraisals
Ensure that individual AD-435A's and AD-435B's are linked to SED goals within established timeframes with no more than 1-2 exceptions.	X					
Ensure that all personnel actions are processed accurately and within established timeframes with no more than 1-2 exceptions.	X					
Ensure that staffing levels support the mission and are within the given staffing ceilings with no more than 1-2 exceptions.	X					
Increasing the number of outreach meetings by 10 percent to enhance awareness.		X				

Matrix of Possible Aligned Standards (Continued)

Standard	Human Resources (including Administrative Technicians)	EEO/Diversity	Budget	Administrative/Management Services	Contracting and Procurement	Real Estate Appraisals
Ensure that budget expenditures are within approved allocation with no more than 1-2 exceptions.			X			
Process requests within established timeframes with no more than 2-3 exceptions.				X	X	
Contracting. Meet Federal contracting regulations with respect to processing, follow-through, and life span with no more than 1-2 exceptions.					X	
Ensure that high quality appraisals get done within established timeframes with no more than 1-2 exceptions.						X

SED Performance Plan - Program Management - Element 5**Alignment:**

The following results-focused standards align with USDA Strategic Goal 2, "Enhance the Competitiveness and Sustainability of Rural and Farm Economies", Strategic Objective 2.3, "Provide Risk Management and Financial Tools to Farmers and Ranchers" and/or with USDA Goal "Management Initiatives", USDA Objective "Improve Human Capital Management" in the USDA Strategic Plan, and with FSA Strategic Goal 1, "Supporting Productive Farms and Ranches", Strategic Objective 1.1, "Improving Access to Capital" and/or Strategic Objective 1.2, "Mitigating Market Losses" and/or FSA Goal "Cross-cutting Management Objectives", Objective 2, Strategically Managing Human Capital" in the FSA Strategic Plan:

Standards:**A. Farm Loan Program**

Loan Making (Detailed goals are attached)

1. Reduces first year delinquency rates on new loans.
2. Increases lending to minorities, women and beginning farmers.
3. Reduces direct loan processing time.
4. Reduces guaranteed loan processing time.

Loan Servicing (Detailed goals are attached)

1. Reduce direct loan delinquency rate.
2. Reduce direct loan loss rate.
3. Reduce guaranteed loan loss rate.
4. Reduce guaranteed loan delinquency rate.

B. Farm Programs (Also see attachment)

1. Ensures that software deployed to field will be loaded within 3 days of receipt.
2. Meets reporting deadlines, with accurate information, for reports established by Deputy Administrator for Farm Programs (DAFP). Deputy Administrator for Field Operations (DAFO) or the Administrator (AO).
3. Submits complete case files when making requests to DAFP.

Ensures that State Committees receive proper guidance from State Office personnel in program appeal cases.

Result:

The achievement of these standards will result in more competitive, sustainable and productive farms and ranches, and a more efficient and effective management of the agency's human capital.

Example AD-435

The following is an example of AD-435.

United States Department of Agriculture Performance Appraisal				1 Social Security No. 123-45-6789	2 Position Number	3 Pay Plan GS	4 Occup. Series 201				
5 Name (Last, First, Middle Initial) Farmer, Rose E.				6 Grade/Step or Pay Level 7/3		7 Appraisal Period From 01/01/xx To 09/30/xx					
8 Official Position Title Program Technician				9 Organization Structure Code							
10 Duty Station Stafford, VA		11 Funding Unit		12 Agency Use		13 NFC Use					
Instructions:				Blocks 15B, 15C, 15D		Rate actual performance by entering 2 for critical elements and 1 for non-critical elements in appropriate column.					
Blocks 1 through 10		Completed by NFC; should be reviewed and, if necessary, corrected.		Blocks 15E, 15F, 15G		Enter total of each column.					
Block 11		Enter funding unit number.		Block 15H		Enter total from 15E, 15F and 15G.					
Block 14		Enter brief description of performance elements.		Block 16A		Check off the correct summary rating described in decision table (16B).					
Block 15A		Check performance elements identified as critical.		Blocks 17-22		Self-explanatory.					
14 Performance Elements				15A Critical Element (3)	15B Exceeds Fully Successful	15C Meets Fully Successful	15D Does Not Meet Fully Successful				
1) Execution of Duties				x	2						
2) Customer Service				x	2						
3) Communications				x		2					
4) Resource Management					1						
5)											
6)											
7)											
8)											
9)											
10)											
16B Decision Table (check off Summary Rating in block 16A)						15E Exceeds	15F Meets	15G Does Not Meet			
Rating of Outstanding if 15E equals 15H.						5	2				
Rating of Unacceptable 1/ if any critical element is rated in 15D.						15H Enter total (15E + 15F + 15G = 15H)					
Rating of Superior if no element is rated in 15D; 15F is greater than zero; and 15E is greater than 15F.						7					
Rating of Marginal 2/ if 15G is greater than 15E and no critical element is rated in 15D.						16A Summary Rating (See Decision Table in 16B)					
Rating of Fully Successful if none of the above apply.						<input type="checkbox"/> Outstanding <input checked="" type="checkbox"/> Superior <input type="checkbox"/> Fully Successful <input type="checkbox"/> Marginal 2/ <input type="checkbox"/> Unacceptable 1/					
17 Employee (Check off appropriate box)				15E Exceeds		15F Meets		15G Does Not Meet			
1/ Unsatisfactory for SES											
2/ Minimally Satisfactory for SES											
I have a copy of USDA and Agency regulations on employees responsibilities and conduct; I have discussed them with my supervisor and questions have been answered to my satisfaction.				<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No							
18 Employee's Signature				Date		1/ Unsatisfactory for SES		2/ Minimally Satisfactory for SES			
Date				If employee did not sign, state reason:							
(Instructions for resolutions of disputes are on the reverse of employee copy.)											
19 Supervisor's Signature				Date		20 Reviewer's Signature					
Date						Date					
21 Approving Official's or Funding Unit Manager's Signature (Optional)				Date		22 FOR SES ONLY		PLA to ES		Bonus Amount	

This form electronically designed by USDA-Farm Service Agency (KC).

Form AD-435 (11/86)

Examples of Additional Documentation for Each Element

A Nonsupervisory Equal Opportunity and Civil Rights

Standard:

Attends 2-4 optional EEO/AA/Diversity information sessions provided/scheduled by supervisor.

Documentation to justify an Exceeds Fully Successful rating:

Attended 6 optional EEO/AA/Diversity information sessions. Also, after each session, gave a voluntary briefing to colleagues on the content of each session.

Documentation to justify a Meets Fully Successful rating:

Attended 3 optional EEO/AA/Diversity information sessions.

Documentation to justify a Does Not Meet Fully Successful rating:

Did not attend any optional EEO/AA/Diversity information sessions.

Standard:

Consistently treats customers/producers with respect, fairness, and politeness including SDA, females, and persons with disabilities with no more than 1-2 complaints.

Documentation to justify an Exceeds Fully Successful rating:

Consistently treated customers/producers with respect, fairness, and politeness, receiving no complaints. In addition, received 3 compliments from customers on fairness of treatment.

Documentation to justify a Meets Fully Successful rating:

Consistently treated customers/producers with respect, fairness, and politeness including SDA, females, and persons with disabilities with only 2 complaints, 1 of which was not substantiated.

Documentation to justify a Does Not Meet Fully Successful rating:

Received 4 substantiated complaints about not treating customers with respect, fairness, and politeness.

Examples of Additional Documentation for Each Element (Continued)**B Supervisory Equal Opportunity and Civil Rights****Standard:**

Ensures that 95-99 percent of employees have measurable civil rights performance standards in their annual performance plans within established timeframes.

Documentation to justify an Exceeds Fully Successful rating:

Ensured that all employees had measurable civil rights performance standards in their annual performance plans. This was accomplished 4 days ahead of the established timeframes.

Documentation to justify a Meets Fully Successful rating:

95 percent of employees had measurable civil rights performance standards in their annual performance plans within the established timeframes.

Documentation to justify a Does Not Meet Fully Successful rating:

Only 75 percent of employees had measurable civil rights performance standards in their annual performance plans within established timeframes.

Standard:

Responds to issues/actions/allegations according to FSA procedures and within established timeframes with only 1-3 approved exceptions.

Documentation to justify an Exceeds Fully Successful rating:

Responded to issues/actions/allegations according to FSA procedures and within established timeframes every time. In addition, received 3 compliments from customers on handling of issues.

Documentation to justify a Meets Fully Successful rating:

Responded to issues/actions/allegations according to FSA procedures and within established timeframes with only 1 approved exception.

Documentation to justify a Does Not Meet Fully Successful rating:

Did not respond to any of the 6 issues/actions/allegations which were raised according to FSA procedures and within established timeframes.

Examples of Additional Documentation for Each Element (Continued)**C Communications****Standard:**

Communicates clearly with producers and shares accurate information with only 3-5 exceptions.

Documentation to justify an Exceeds Fully Successful rating:

Communicated clearly with producers and shared accurate information every time. In addition, 3 compliments were received from producers on clarity of communications.

Documentation to justify a Meets Fully Successful rating:

Communicated clearly with producers and shared accurate information with only 4 exceptions.

Documentation to justify a Does Not Meet Fully Successful rating:

Did not communicate clearly with producers nor share accurate information. Received 7 complaints and no compliments on clarity of communications and accuracy of information shared.

Standard:

Prepares written documents that are clear, concise, and understandable as well as following prescribed procedures within established timeframes with only 1-3 exceptions.

Documentation to justify an Exceeds Fully Successful rating:

Prepared written documents that were clear, concise, and understandable every time. In addition, more than half of documents submitted were a week or more ahead of the established timeframes.

Documentation to justify a Meets Fully Successful rating:

Prepared written documents that were clear, concise, and understandable as well as following prescribed procedures within established timeframes with only 1 exception.

Documentation to justify a Does Not Meet Fully Successful rating:

Did not prepare written documents that were clear, concise, and understandable as well as following prescribed procedures 15 times. Also, 12 documents were not within established timeframes.

Examples of Additional Documentation for Each Element (Continued)**D Customer Service****Standard:**

Responds to customer questions accurately and according to procedures with only 2-4 valid complaints. Responds by at least acknowledging receipt of an inquiry as soon as possible, but within 24 hours with only 4-6 exceptions.

Documentation to justify an Exceeds Fully Successful rating:

Responded to customer questions accurately and according to procedures every time. Responded by at least acknowledging receipt of an inquiry within 24 hours every time. In addition, received 4 positive comments from customers on quality of service provided.

Documentation to justify a Meets Fully Successful rating:

Responded to customer questions accurately and according to procedures with only 2 valid complaints. Responded by at least acknowledging receipt of an inquiry as soon as possible, but within 24 hours with only 4 exceptions.

Documentation to justify a Does Not Meet Fully Successful rating:

Responded to customer questions accurately and according to procedures with 6 valid complaints. Responded by at least acknowledging receipt of an inquiry within 24 hours with 8 exceptions.

Standard:

Provides program benefit information to producers and other customers; such as, newsletters, counter information, producer meetings, producer organizations, newspaper articles, and radio announcements within established timeframes with only 1-3 exceptions.

Documentation to justify an Exceeds Fully Successful rating:

Provided program benefit information to producers and other customers; such as, newsletters, counter information, producer meetings, producer organizations, newspaper articles, and radio announcements within established timeframes every time. In addition, received 6 positive comments from customers on relevance and quality of information provided.

Documentation to justify a Meets Fully Successful rating:

Provided program benefit information to producers and other customers; such as, newsletters, counter information, producer meetings, producer organizations, newspaper articles, and radio announcements within established timeframes with only 2 exceptions.

Documentation to justify a Does Not Meet Fully Successful rating:

Provided program benefit information to producers and other customers; such as, newsletters, counter information, producer meetings, producer organizations, newspaper articles, and radio announcements within established timeframes with 6 documented exceptions.

Examples of Additional Documentation for Each Element (Continued)**E Execution of Duties****Standard:**

Prepares reports required with duties that are accurate and complete within established timeframes with only 1-3 exceptions.

Documentation to justify an Exceeds Fully Successful rating:

Prepared reports required with duties that were accurate and complete every time. In addition, almost half of reports were submitted 4 days or more ahead of established timeframes.

Documentation to justify a Meets Fully Successful rating:

Prepared reports required with duties that were accurate and complete within established timeframes with only 3 exceptions.

Documentation to justify a Does Not Meet Fully Successful rating:

Did not prepare any reports required with duties that were accurate and complete within established timeframes.

Standard:

Deposits and processes payments within 24 hours of receipt according to FSA policy with only 1-3 exceptions.

Documentation to justify an Exceeds Fully Successful rating:

Deposited and processed payments within 24 hours of receipt according to FSA policy without exception. Most deposits were made within 12 hours of receipt.

Documentation to justify a Meets Fully Successful rating:

Deposited and processed payments within 24 hours of receipt according to FSA policy with only 2 exceptions.

Documentation to justify a Does Not Meet Fully Successful rating:

Deposited and processed payments within 24 hours of receipt according to FSA policy with 6 exceptions.

Examples of Additional Documentation for Each Element (Continued)**F Individual Contributions to the Team****Standard:**

Regularly cooperates with coworkers and others in meeting commitments and accomplishing assigned work on time; such as, sharing information freely with only 1-3 exceptions.

Documentation to justify an Exceeds Fully Successful rating:

Without exception, regularly cooperated with coworkers and others in meeting commitments and accomplishing assigned work on time; such as, sharing information freely. Also, numerous comments received from coworkers on quality of cooperation.

Documentation to justify a Meets Fully Successful rating:

Regularly cooperated with coworkers and others in meeting commitments and accomplishing assigned work on time; such as, sharing information freely with only 1 exception.

Documentation to justify a Does Not Meet Fully Successful rating:

Cooperated with coworkers and others in meeting commitments and accomplishing assigned work on time; such as, sharing information freely with 5 exceptions. Also, received 4 complaints from coworkers on quality of cooperation.

Standard:

Responds constructively to feedback within 24 hours, seeking ways to improve with no more than 1-2 exceptions.

Documentation to justify an Exceeds Fully Successful rating:

Responded constructively to feedback within 24 hours, seeking ways to improve without exception. In addition, actively worked with those providing feedback to improve self.

Documentation to justify a Meets Fully Successful rating:

Responded constructively to feedback within 24 hours, seeking ways to improve with 2 exceptions.

Documentation to justify a Does Not Meet Fully Successful rating:

Did not respond constructively to feedback on any occasion. On 3 occasions, acted in a negative manner to person giving feedback.

Examples of Additional Documentation for Each Element (Continued)**G Program Management****Standard:**

Ensures that reviews are conducted and reports are filed and submitted within established timeframes with no more than 1-2 exceptions.

Documentation to justify an Exceeds Fully Successful rating:

Ensured that reviews were conducted and reports were filed and submitted within established timeframes with no exceptions. More than half of reviews were submitted 2 days or more before the established timeframe.

Documentation to justify a Meets Fully Successful rating:

Ensured that reviews were conducted and reports were filed and submitted within established timeframes with 2 exceptions.

Documentation to justify a Does Not Meet Fully Successful rating:

Ensured that reviews were conducted and reports were filed and submitted within established timeframes with 8 exceptions.

Standard:

Ensures that applications for benefits are processed within required timeframes with no more than 1-2 exceptions.

Documentation to justify an Exceeds Fully Successful rating:

Ensured that applications for benefits were processed within required timeframes every time. Three quarters of applications were processed well within established timeframes.

Documentation to justify a Meets Fully Successful rating:

Ensured that applications for benefits were processed within required timeframes with 2 exceptions.

Documentation to justify a Does Not Meet Fully Successful rating:

Applications for benefits were processed within required timeframes with 6 exceptions.

Examples of Additional Documentation for Each Element (Continued)**H Research and Analysis****Standard:**

Asks questions for clarification and makes suggestions for implementation within the timeframes established by management with no more than 2-4 exceptions.

Documentation to justify an Exceeds Fully Successful rating:

Always asked questions for clarification and made suggestions for implementation within the timeframes established by management. Often made suggestions for improvement ahead of time.

Documentation to justify a Meets Fully Successful rating:

Asked questions for clarification and made suggestions for implementation within the timeframes established by management with 3 exceptions.

Documentation to justify a Does Not Meet Fully Successful rating:

Rarely asked questions for clarification and never made suggestions for implementation within the timeframes established by management.

Standard:

Conducts research and gathers data in response to legal issues and other assignments that are complete, accurate, and relevant within established timeframes with only 1-3 exceptions.

Documentation to justify an Exceeds Fully Successful rating:

Conducted research and gathered data in response to legal issues and other assignments that were complete, accurate, and relevant within established timeframes without exception. On 4 occasions, data provided was outstanding in nature.

Documentation to justify a Meets Fully Successful rating:

Conducted research and gathered data in response to legal issues and other assignments that were complete, accurate, and relevant within established timeframes with 2 exceptions.

Documentation to justify a Does Not Meet Fully Successful rating:

Research conducted and data gathered in response to legal issues and other assignments was almost never complete, accurate, and relevant. More than half of work was submitted after established timeframes.

Examples of Additional Documentation for Each Element (Continued)**I Resource Management****Standard:**

Ensures that travel, training, and other administrative forms are properly completed, timely, and followed-up to ensure proper processing with only 1-3 exceptions.

Documentation to justify an Exceeds Fully Successful rating:

Ensured that travel, training, and other administrative forms were properly completed, timely, and followed-up to ensure proper processing without exception. Almost half of administrative forms were submitted for processing well ahead of deadlines.

Documentation to justify a Meets Fully Successful rating:

Ensured that travel, training, and other administrative forms were properly completed, timely, and followed-up to ensure proper processing with 3 exceptions.

Documentation to justify a Does Not Meet Fully Successful rating:

Rarely ensured that travel, training, and other administrative forms were properly completed, timely, and never followed-up to ensure proper processing. In addition, received 4 complaints about quality and/or timeliness of forms delivered.

Standard:

Plans projects or other assignments, monitors, and completes projects or assignments within schedule and quality goals 90-98 percent of the time.

Documentation to justify an Exceeds Fully Successful rating:

Planned projects or other assignments, monitored, and completed projects or assignments within schedule and quality goals 99 percent of the time.

Documentation to justify a Meets Fully Successful rating:

Planned projects or other assignments, monitored, and completed projects or assignments within schedule and quality goals 92 percent of the time.

Documentation to justify a Does Not Meet Fully Successful rating:

Planned projects or other assignments, monitored, and completed projects or assignments within schedule and quality goals 80 percent of the time.

Examples of Additional Documentation for Each Element (Continued)**J Supervision****Standard:**

Prioritizes work of staff to deal with workload shifts and to ensure that mission-critical work is accomplished with 90-98 percent accuracy.

Documentation to justify an Exceeds Fully Successful rating:

Prioritized work of staff to deal with workload shifts and to ensure that mission-critical work was accomplished with 99 percent accuracy.

Documentation to justify a Meets Fully Successful rating:

Prioritized work of staff to deal with workload shifts and to ensure that mission-critical work was accomplished with 94 percent accuracy.

Documentation to justify a Does Not Meet Fully Successful rating:

Prioritized work of staff to deal with workload shifts and to ensure that mission-critical work was accomplished with 85 percent accuracy.

Standard:

Ensures that all employees receive required training within established timeframes with no more than 1-2 exceptions.

Documentation to justify an Exceeds Fully Successful rating:

Ensured that all employees receive required training within established timeframes without exception. All but 1 employee received required training 1 month or more ahead of established timeframes.

Documentation to justify a Meets Fully Successful rating:

Ensured that all employees receive required training within established timeframes with 1 exception.

Documentation to justify a Does Not Meet Fully Successful rating:

Did not ensure that all employees received required training within established timeframes with no more than 1-2 exceptions. No employees received required training.

Examples of Additional Documentation for Each Element (Continued)**K Team Leadership****Standard:**

Provides leadership or oversees subordinate or co-workers' work and achieves desired results 85-95 percent of the time.

Documentation to justify an Exceeds Fully Successful rating:

Provided leadership or oversaw subordinate or co-workers' work and achieved desired results 99 percent of the time.

Documentation to justify a Meets Fully Successful rating:

Provided leadership or oversaw subordinate or co-workers' work and achieved desired results 90 percent of the time.

Documentation to justify a Does Not Meet Fully Successful rating:

Provided leadership or oversaw subordinate or co-workers' work and achieved desired results 75 percent of the time.

Standard:

Demonstrates collaborative efforts between farm programs and farm loan programs by ensuring team regularly shares information and provides other support on a daily basis with no more than 5-7 exceptions. Joint staff meetings will be held on a regular basis as established by management with no more than 1-2 exceptions, frequency of the meetings must be established in writing.

Documentation to justify an Exceeds Fully Successful rating:

Demonstrated collaborative efforts between farm programs and farm loan programs by ensuring team regularly shared information and provided other support on a daily basis without exception. Joint staff meetings were held on a regular basis as established by management without exception, and frequency of the meetings was established in writing.

Documentation to justify a Meets Fully Successful rating:

Demonstrated collaborative efforts between farm programs and farm loan programs by ensuring team regularly shared information and provided other support on a daily basis with 6 exceptions. Joint staff meetings were held on a regular basis as established by management with 1 exception, and frequency of the meetings was established in writing.

Documentation to justify a Does Not Meet Fully Successful rating:

Demonstrated collaborative efforts between farm programs and farm loan programs by ensuring team regularly shared information and provided other support on a daily basis with 12 exceptions. Joint staff meetings were not held on a regular basis as established by management, and frequency of the meetings was not established in writing.