

# PERFORMANCE PLAN AND APPRAISAL RECORD

Management and Supervisory Employees Who Are NOT in the Senior Executive Service (SES)

## PART I. ADMINISTRATIVE DATA

A. EMPLOYEE NAME (Last, First, Middle Initial)	B. EMPLOYEE IDENTIFICATION NUMBER	C. RATING PERIOD (MM/DD/YYYY)	
		FROM	TO
D. ORGANIZATION	E. OFFICE SYMBOL	F. PAY PLAN, SERIES AND GRADE	G. POSITION TITLE

## PART II. POSITION DESCRIPTION/REVIEW/CERTIFICATION

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

POSITION DESCRIPTION HAS BEEN REVIEWED  REVIEWED BY: \_\_\_\_\_ DATE \_\_\_\_\_

## PART III. PERFORMANCE PLAN AND APPRAISAL INSTRUCTIONS

A performance plan must be issued to the employee at the beginning of each rating period. These plans may be modified during the performance cycle, but employees must perform under a documented performance plan for a minimum of 120 days before they can be rated.

Development of the performance plan should be a collaborative endeavor between the supervisor and the employee. The performance plan for supervisors and managers is divided into two parts: Managing Organizational Objectives and Leadership critical elements. The number of critical elements under Managing Organizational Objectives will vary depending on the job, but on average, a manager or supervisor should have between three and five critical elements in this section. The total of the percentages assigned to each critical element MUST equal 60%. There are five categories identified under Leadership critical elements: Leading Change, Leading People, Results Driven, Business Acumen, and Building Coalitions. Not all of these critical elements may be appropriate for every manager or supervisor. The total of the percentages assigned to the critical elements selected MUST equal 40%.

Performance will be measured against 5 levels, as follows:

Level 5 - Meets and consistently exceeds performance expectations as defined in Level 3 (*Outstanding*)

Level 4 - Meets and often exceeds performance expectations as defined in Level 3 (*Above Fully Successful*)

Level 3 - Meets performance expectations. Objectives, activities, and specific tasks associated with each critical element are carried out with expected levels of quantity, quality, timeliness, and cost effectiveness in accordance with performance plan. Responsibilities are carried out in accordance with all official guidance, policies, and applicable laws, rules, and regulations. (*Fully Successful*)

Level 2 - Partially meets performance expectations as defined in Level 3 (*Minimally Successful*)

Level 1 - Does not meet performance expectations as defined in Level 3 (*Unacceptable*)

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

Expectations for performance under each critical element should be set at Level 3. Once the performance plan is finalized and a copy provided to the employee, both the supervisor and employee must certify issuance and receipt under Part VII. Mid-year performance reviews are required under GSA's Associate Performance Plan and Appraisal System (APPAS). Both the supervisor and employee must certify the mid-year performance review under Part VII.

Within 45 days of the end of the rating period, evaluate the performance plan objectives, underlying activities and tasks, and assign a rating to each critical element based on how well the employee met the performance expectations. Document the rating for each critical element and the derived summary rating on this form

(see Part VIII for instructions on deriving summary ratings). Overall comments on performance and identification of training and/or developmental needs should be documented in Parts V and VI, respectively. If the summary rating is at Level 5 or Level 1, the employee's appraisal MUST be reviewed and approved by the employee's second level supervisor.

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

## PART IV. PERFORMANCE PLAN AND CRITICAL ELEMENT APPRAISAL

**CRITICAL ELEMENTS** (For performance plan with standards complete Performance Plan Worksheet Part IX.)

### I. Managing Organizational Objectives (60%)

Accountable for organizational objectives/initiatives that contribute to the overall success of GSA and effectively achieving results in alignment with GSA's goals. Successfully accomplishes interim milestones for long-term activities.

**CRITICAL ELEMENTS** (Attach additional page if necessary) **Critical Element Rating**

ELEMENT TITLE	WEIGHT %	RATING
COMMENTS		

ELEMENT TITLE	WEIGHT %	RATING
COMMENTS		

ELEMENT TITLE	WEIGHT %	RATING
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COMMENTS

ELEMENT TITLE	WEIGHT %	RATING
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COMMENTS

ELEMENT TITLE	WEIGHT %	RATING
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COMMENTS

**II. Leadership (40%)**

ELEMENT TITLE AND DESCRIPTION	WEIGHT %	RATING
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**Creativity and Innovation** - Develops new insights into situations and applies innovative solutions to make organizational improvements; creates a work environment that encourages creative thinking and innovation; designs and implements new or cutting-edge programs/processes.

**Resilience** - Deals effectively with pressure; maintains focus and intensity and remains optimistic and persistent, even under adversity. Recovers quickly from setbacks. Effectively balances personal life and work.

**Strategic Thinking** - Formulates effective strategies consistent with the business and competitive strategy of the organization in a global economy. Examines policy issues and strategic planning with a long-term perspective. Determines objectives and sets priorities; anticipates potential threats or opportunities.

**Vision** - Takes a long-term view and acts as a catalyst for organizational change; builds a shared vision with others. Influences others to translate vision into action.

COMMENTS

ELEMENT TITLE AND DESCRIPTION	WEIGHT %	RATING
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**Integrity/Honesty** - Instills mutual trust and confidence; creates a culture that fosters high standards of ethics; behaves in a fair and ethical manner toward others, and demonstrates a sense of corporate responsibility and commitment to public service.

**Leveraging Diversity** - Recruits, develops, and retains a diverse, high-quality workforce in an equitable manner. Leads and manages an inclusive workplace that maximizes the talents of each person to achieve sound business results. Respects, understands, values, and seeks out individual differences to achieve the vision and mission of the organization. Develops and uses measures and rewards to hold self and others accountable for achieving results that embody the principles of diversity.

COMMENTS

ELEMENT TITLE AND DESCRIPTION	WEIGHT %	RATING
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**Customer Service** - Balancing interests of a variety of clients; readily readjusts priorities to respond to pressing and changing client demands. Anticipates and meets the needs of clients; achieves quality end products; is committed to continuous improvement of services.

**Decisiveness** - Exercises good judgement by making sound and well-informed decisions; perceives the impact and implications of decisions; makes effective and timely decisions, even when data is limited or solutions produce unpleasant consequences; is proactive and achievement oriented.

COMMENTS

ELEMENT TITLE AND DESCRIPTION	WEIGHT %	RATING
<p><b>Financial Management</b> - Demonstrates broad understanding of principles of financial management and marketing expertise necessary to ensure appropriate funding levels. Prepares, justifies, and/or administers the budget for the program area; uses cost-benefit thinking to set priorities; monitors expenditures in support of programs and policies. Identifies cost-effective approaches. Manages procurement and contracting.</p> <p><b>Human Resources Management</b> - Assesses current and future staffing needs based on organizational goals and budget realities. Using merit principles, ensures staff are appropriately selected, developed, utilized, appraised, and rewarded; takes corrective action.</p> <p><b>Technology Management</b> - Uses efficient and cost-effective approaches to integrate technology into the workplace and improve program effectiveness. Develops strategies using new technology to enhance decision-making. Understands the impact of technological changes on the organization.</p>		
COMMENTS		

ELEMENT TITLE AND DESCRIPTION	WEIGHT %	RATING
<p><b>Interpersonal Skills</b> - Considers and responds appropriately to the needs, feelings, and capabilities of different people in different situations; is tactful, compassionate and sensitive, and treats others with respect.</p> <p><b>Political Savvy</b> - Identify the internal and external politics that impact the work of the organization. Approaches each problem/situation with a clear perception of organizational and political reality; recognizes the impact of alternative courses of action.</p> <p><b>Influencing/Negotiating</b> - Persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals; facilitates "win-win" situations.</p>		
COMMENTS		

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**PART V. COMMENTS**

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

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**PART VI. DEVELOPMENT AND TRAINING**

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

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

**PERFORMANCE PLAN DEVELOPED:**

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

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

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

**MID-YEAR PROGRESS REVIEW:**

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

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

**PART VIII. SUMMARY RATING**

After assessing each critical element and assigning the appropriate rating level, the summary rating should be derived using the following methodology:

Level 5 is assigned if 70% of the critical element weights are rated at Level 5, and no critical element is rated below Level 3.

Level 4 is assigned if 60% of the critical element weights are rated at Level 4 or above, but does not meet the 70% rule for assigning a Level 5 summary rating; and no critical element is rated below Level 3.

Level 3 is assigned if 41% of the critical element weights are rated at Level 3 or above, but does not meet the 60% rule for assigning a Level 4 summary rating; and no critical element is rated below Level 3.

Level 2 is assigned if one or more critical elements are rated at Level 2.

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

Unrateable is issued when an employee is rated unrateable in all the critical elements within the performance plan.

**SUMMARY RATING:**

TYPE OF RATING ISSUED	RATING	
SUPERVISOR/RATING OFFICIAL	SUPERVISOR'S/RATING OFFICIAL'S SIGNATURE	DATE
REVIEWING OFFICIAL <i>(For Summary Ratings at Level 5 or Level 1)</i>	REVIEWING OFFICIAL'S SIGNATURE	DATE
EMPLOYEE	EMPLOYEE'S SIGNATURE	DATE

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

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

**PART IX. EMPLOYEE PERFORMANCE PLANNING WORKSHEET**

A. EMPLOYEE NAME <i>(Last, First, Middle Initial)</i>	B. EMPLOYEE IDENTIFICATION NUMBER	C. RATING PERIOD <i>(MM/DD/YYYY)</i>	
		FROM	TO
D. ORGANIZATION	E. OFFICE SYMBOL	F. PAY PLAN, SERIES AND GRADE	G. POSITION TITLE
RATER		DATE DEVELOPED	DATE CERTIFIED

ELEMENT TITLE	WEIGHT %
ELEMENT DESCRIPTION	DERIVED FROM
GENERAL MEASURE(S)	
SPECIFIC MEASURE(S)	PERFORMANCE STANDARD(S) AND FEEDBACK SOURCE(S) <i>(At a minimum the Level 3 standard MUST be addressed)</i>

ELEMENT TITLE	WEIGHT %
ELEMENT DESCRIPTION	DERIVED FROM
GENERAL MEASURE(S)	
SPECIFIC MEASURE(S)	PERFORMANCE STANDARD(S) AND FEEDBACK SOURCE(S) <i>(At a minimum the Level 3 standard MUST be addressed)</i>

ELEMENT TITLE		WEIGHT %
ELEMENT DESCRIPTION		DERIVED FROM
GENERAL MEASURE(S)		
SPECIFIC MEASURE(S)	PERFORMANCE STANDARD(S) AND FEEDBACK SOURCE(S) <i>(At a minimum the Level 3 standard MUST be addressed)</i>	

ELEMENT TITLE		WEIGHT %
ELEMENT DESCRIPTION		DERIVED FROM
GENERAL MEASURE(S)		
SPECIFIC MEASURE(S)	PERFORMANCE STANDARD(S) AND FEEDBACK SOURCE(S) <i>(At a minimum the Level 3 standard MUST be addressed)</i>	

ELEMENT TITLE		WEIGHT %
ELEMENT DESCRIPTION		DERIVED FROM
GENERAL MEASURE(S)		
SPECIFIC MEASURE(S)	PERFORMANCE STANDARD(S) AND FEEDBACK SOURCE(S) <i>(At a minimum the Level 3 standard MUST be addressed)</i>	

ELEMENT TITLE		WEIGHT %
ELEMENT DESCRIPTION		DERIVED FROM
GENERAL MEASURE(S)		
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GENERAL MEASURE(S)		
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