

# PERFORMANCE PLAN AND APPRAISAL RECORD FOR NON-SUPERVISORY ASSOCIATES

**NOTE: Read instructions on Pages 3 and 4 before completing form.**

## PART 1. ADMINISTRATIVE INFORMATION

1. NAME OF ASSOCIATE ( <i>Last, First, Middle Initial</i> )	2. SOCIAL SECURITY NUMBER	3. PAY PLAN, SERIES AND GRADE
4. ORGANIZATION	5. CORRESPONDENCE SYMBOL	6. RATING PERIOD ( <i>MM/DD/YYYY</i> ) FROM <span style="float: right;">TO</span>

## PART 2. POSITION DESCRIPTION REVIEW CERTIFICATION

7. I certify that I reviewed the associate's position description. If I do not believe it is an accurate statement of the major duties and responsibilities, I have started appropriate action.	SUPERVISOR'S INITIALS	DATE
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## PART 3. PERFORMANCE PLAN AND APPRAISAL

**Evaluate the performance plan objectives, underlying activities and tasks to assign a rating to each critical element.**

**Base these ratings on the expectation cited below:**

LEVEL 3: Objectives, activities, and specific tasks associated with each critical element are carried out with expected levels of quantity, quality, timelessness and cost-effectiveness according to performance plan. Responsibilities are carried out according to all official guidance, policies, and applicable laws and regulations.

### RATING LEVEL DEFINITIONS

LEVEL	DEFINITION
5	Meets and consistently exceeds performance expectations as described in Level 3.
4	Meets and often exceeds performance expectations as described in Level 3.
3	Meets performance expectations.
2	Partially meets performance expectations as described in Level 3.
1	Does not meet performance expectations as described in Level 3.

	8. CRITICAL ELEMENT	9. CRITICAL ELEMENT WEIGHT (%)	10. RATING LEVEL				
			5	4	3	2	1
<b>a</b>							
<b>b</b>							
<b>c</b>							
<b>d</b>							
<b>e</b>							
<b>f</b>							

11. COMMENTS ON OVERALL PERFORMANCE (Use blank sheets of paper and attach to form if more space is needed)

**PART 4. DEVELOPMENT AND TRAINING**

12. INDICATE PROFESSIONAL GROWTH NEEDS AND AVENUES TO MEET THOSE NEEDS (Use blank sheets of paper and attach to form if more space is needed)

**PART 5. CERTIFICATION OF PERFORMANCE PLAN AND MID YEAR REVIEW**

Signatures below certify that the supervisor and associate discussed performance expectations and a copy of the performance plan was provided and/or changes were made as necessary.

13. PERFORMANCE PLAN DEVELOPED		14. MID YEAR REVIEW	
a. SIGNATURE OF SUPERVISOR/RATING OFFICIAL	b. DATE	a. SIGNATURE OF SUPERVISOR/RATING OFFICIAL	b. DATE
c. SIGNATURE OF ASSOCIATE (Verifies receipt of plan only)	d. DATE	c. SIGNATURE OF ASSOCIATE	d. DATE

**PART 6 . SUMMARY RATING**

15. TYPE OF RATING <input type="checkbox"/> Annual <input type="checkbox"/> Interim	16. ASSIGNED SUMMARY RATING LEVEL (1 - 5)
17a. SIGNATURE OF SUPERVISOR/RATING OFFICIAL	17b. DATE
18a. SIGNATURE OF ASSOCIATE (Indicates receipt of appraisal, but not necessarily agreement with the rating.)	18b. DATE
19a. SIGNATURE OF REVIEWING OFFICIAL (For summary ratings at Level 5 or Level 1)	19b. DATE

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## INSTRUCTIONS

### GENERAL:

A performance plan must be issued to the associate at the beginning of each rating period. Parts 1 and 2 are completed by the supervisor at this time, and the names of the critical elements from the performance plan are entered into Part 3. This plan should be done before filling out these parts and then attached to this form or entered in items 8 and 9 of Part 3. These plans may be modified during the performance cycle, but associates must perform under a document performance plan for a minimum of 120 days before they can be rated. See General Services Administration Directive CPO P 9430.1, chapter 3 for further instructions.

Within 45 days of the end of the rating cycle, evaluate actual performance against the expectations defined in the performance plan and assign both a rating to each critical element and a summary rating based on how well the associate met these expectations. After both parties sign the form, a copy of both this form and the performance plan are given to the associate. The original form is sent to the servicing Human Resource Office for filing in the associate's Official Personnel Folder.

### SPECIFIC:

#### Part 1 - Administrative Information:

Items 1-6. Self Explanatory.

#### Part 2 - Position Description Review Certification:

Item 7. Self-explanatory.

#### Part 3 - Performance Plan and Appraisal:

Item 8. Critical Element. Enter the name of each critical element that appears on the performance plan. If plan was recorded separately from this form, include the phrase " see attached" after the element name.

Item 9. Critical Element Weight (%). A weight can be assigned in two ways: The supervisor can give each element a specific weight or have all the elements the same weight just so the total is 100%. For example: An associate had 4 critical elements and no specific weights were assigned. Since the weight must total 100%, then each element is worth 25%

Item 10. Rating Level. Assign a level to each element.

Item 11. Comments on Overall Performance. Complete section at the end of the rating period.

#### Part 4 - Development and Training:

Item 12. Self-explanatory. This is completed at the end of the rating period.

#### Part 5 - Certification of Performance Plan and Mid Year Review:

Items 13 and 14. Sign and date in the appropriate blocks after the performance plan is shared with the associate and at mid year review. Mid year reviews should be conducted no later than 120 days before the end of the rating period. At this point the original form is held for the annual rating.

**Part 6 - Summary Rating:** Complete after assessing each critical element and assigning the appropriate weight and level.

Item 15. Type of Rating. Check Interim if associate spent the minimum period (120 days) in one position and then changes to another position requiring a new performance plan.

Item 16. Assigned Summary Rating Level. See instructions below for determining level.

Item 17a - b. Signature of Supervisor/ Rating Official. Self-explanatory.

Item 18a - b. Signature of Associate. Self-explanatory.

Item 19a - b. Signature of Reviewing Official. Self-explanatory.

Use the following methods to get the summary rating:

Level 5: 70% or more of the total critical element weights are rated at this level and no critical element is rated below Level 3.

Level 4: 60% of the total critical element weights are rated at this level or Level 5, does not meet the Level 5 rule, and no critical element is rated below Level 3.

Level 3: Critical elements weights do not meet the rules for Level 4 or Level 5, and critical element is rated below the Level 3.

Level 2: One critical element is rated at this level.

Level 1: One critical element is rated at this level.

**SAMPLES OF A SUMMARY RATING:**

Employer A rates Associate A as follows:

8. CRITICAL ELEMENT		9. CRITICAL ELEMENT WEIGHT (%)	10. RATING LEVEL				
			5	4	3	2	1
<b>a</b>	Reviews proposed policies for need....	45		X			
<b>b</b>	Analyzes data for cost effectiveness.....	15	X				
<b>c</b>	Maintains information database..	20		X			
<b>d</b>	Procures necessary equipment....	20			X		

This associate received a Level 4 summary rating because 80% of critical element weights are at the Level 4 or higher, but only 15% are at Level 5. Since none of the critical elements were rated below Level 3, this associate met the 60% threshold for a Level 4 rating, but not the 70% threshold for a Level 5 rating.

Employer B rates Associate B as follows:

8. CRITICAL ELEMENT		9. CRITICAL ELEMENT WEIGHT (%)	10. RATING LEVEL				
			5	4	3	2	1
<b>a</b>	Reviews proposed policies for need....	25		X			
<b>b</b>	Analyzes data for cost effectiveness.....	25	X				
<b>c</b>	Maintains information database..	25	X				
<b>d</b>	Procures necessary equipment....	25			X		

This associate received a Level 4 rating because the weights for critical elements a, b, and c (all Level 4 or 5) totaled 75% no elements were rated below Level 3, and there was not enough weight in critical elements b and c (Level 5) to meet the Level 5 standard of 70%. If critical elements a, b, and c were ALL rated at Level 5, then the associate would received a Level 5 rating because 75% of the weights for the critical elements would be rated at the Level 5, with none rated below Level 3.