



LOCAL NATIONAL PERFORMANCE APPRAISAL PLAN

ADMINISTRATIVE DATA			
1. Employee Name (Last, First, Middle)		2. Supervisory Position <input type="checkbox"/> YES <input type="checkbox"/> NO	
3. Position Title, Series and Grade		4. Position Description PD# _____ Is the employee's position description current and accurate? <input type="checkbox"/> YES <input type="checkbox"/> NO	
5. UIC	Organization	Department	6. Appraisal Period From: To: 7. Type of Appraisal <input type="checkbox"/> CLOSE OUT <input type="checkbox"/> ANNUAL

Part A – ESTABLISHMENT OF PERFORMANCE PLAN	
A minimum of 3 critical elements must be established considering the core duties of the employee's position description. Additional performance elements are not critical elements but may be used for award recognition.	
Critical Element #1:	
Performance Standard	
Critical Element #2:	
Performance Standard	
Critical Element #3:	
Performance Standard	
Critical Element #4:	
Performance Standard	
Additional Performance Element #1:	
Description	
Additional Performance Element #2:	
Description	
Additional Performance Element #3:	
Description	



LOCAL NATIONAL PERFORMANCE APPRAISAL PLAN

PERFORMANCE PLAN APPROVAL	
Employee's Name	Employee's Signature and Date
Rating Official's Name and Title	Rating Official's Signature and Date

Part B – PROGRESS REVIEW	
Performance discussion on organizational goals and priorities, expectations, accomplishments, contributions, level of performance, including improvement, barriers to success, employee's developmental needs and career goals.	
Critical Elements	Additional Performance Elements
Rating Official's comments	Rating Official's comments
Employee's comments <i>(Optional)</i>	Employee's comments <i>(Optional)</i>
PROGRESS REVIEW APPROVAL	
Contact your servicing Human Resources Office if employee requires placement in a Performance Improvement Plan (PIP).	
Employee's Name	Employee's Signature and Date
Rating Official's Name and Title	Rating Official's Signature and Date



LOCAL NATIONAL PERFORMANCE APPRAISAL PLAN

Part D – ANNUAL APPRAISAL

Evaluate the employee's overall performance against established critical elements and standards.

CRITICAL ELEMENTS	RATING LEVEL
#1:	<input type="checkbox"/> ACCEPTABLE <input type="checkbox"/> UNACCEPTABLE
#2:	<input type="checkbox"/> ACCEPTABLE <input type="checkbox"/> UNACCEPTABLE
#3:	<input type="checkbox"/> ACCEPTABLE <input type="checkbox"/> UNACCEPTABLE
#4:	<input type="checkbox"/> ACCEPTABLE <input type="checkbox"/> UNACCEPTABLE
ADDITIONAL PERFORMANCE ELEMENTS	RATING LEVEL
#1:	<input type="checkbox"/> EXCEEDED <input type="checkbox"/> MET <input type="checkbox"/> NOT MET
#2:	<input type="checkbox"/> EXCEEDED <input type="checkbox"/> MET <input type="checkbox"/> NOT MET
#3:	<input type="checkbox"/> EXCEEDED <input type="checkbox"/> MET <input type="checkbox"/> NOT MET

Rating Official's comments *(Optional)*

Employee's comments *(Optional)*

PART E – RATING OF RECORD

Convert critical element ratings to one of two levels: "Acceptable" or "Unacceptable."

An "Unacceptable" summary rating is assigned if and only if, performance on one or more critical elements is evaluated as "Unacceptable." Contact your servicing Human Resources Office.

ACCEPTABLE UNACCEPTABLE

Higher-level Reviewer (FOR UNACCEPTABLE RATINGS ONLY) CONCURRENCE NON-CONCURRENCE

Comments <i>(Optional)</i>	Signature and Date

ANNUAL APPRAISAL APPROVAL

Performance Award Recommended: YES NO

Employee's Name	Employee's Signature and Date

Rating Official's Name and Title	Rating Official's Signature and Date

COPY TO

Employee and servicing Human Resources Office.

INSTRUCTIONS FOR COMPLETING THE LOCAL NATIONAL PERFORMANCE APPRAISAL PLAN

TO BE COMPLETED BY THE RATING OFFICIAL (First Line Supervisor)

ADMINISTRATIVE DATA

1. **Employee Name:** Enter the name of the employee (last, first, middle initial).
2. **Supervisory position:** Check yes or no.
3. **Position Title, Series and Grade:** Enter the official position title and the employee's pay plan, series, and grade, as of the date the performance plan is established (blocks 15, 16, 17 and 18 SF-50).
4. **Position Description:** Enter PD Number and check whether PD is current and accurate or not.
5. Enter **UIC**, name of the **Organization** and **Department** the employee is assigned to (block 22 of SF-50).
6. **Appraisal period:** 1 April - 31 March. The minimum evaluation period is 90 calendar days.
7. **Type of appraisal:** Check "Close Out" if the work relationship between employee and supervisor is changing (PART C). Check "Annual" at the end of the performance cycle (PART D).

PART A - ESTABLISHMENT OF PERFORMANCE PLAN, CRITICAL ELEMENTS AND STANDARDS, ADDITIONAL PERFORMANCE ELEMENTS

At the beginning of the performance cycle, organization goals and performance elements will be discussed with the employee and annotated on the performance plan section.

1. **Critical Element:** Enter the title of the element against which the employee is being evaluated. Critical elements are work assignments or responsibilities of such importance that unacceptable performance on one of the elements result in a determination that the employee's overall performance is unacceptable.
2. **Performance Standard:** Develop threshold requirements, or expectations of a critical element that must be met at a certain level of performance. These may include quality, quantity, timeliness, and manner of performance.
3. **Additional Performance Element:** Enter the title of the element against which the employee is being evaluated. Additional performance elements may be used to measure a dimension or aspect of individual, team, or organizational performance that is not a critical element. Such elements are useful for communicating performance expectations and serving as the basis for granting awards.
4. **Performance Plan Approval:** Employee and Rating Official sign and date for acknowledgment. The Rating Official must develop and approve the critical elements and their performance standards, including additional performance elements.

PART B - PROGRESS REVIEW(S)

At least one is required during the performance cycle.

1. **Critical Elements & Additional Performance Elements – Rating Official's comments & Employee's comments:** The employee's progress is assessed towards the performance elements, standards and the additional performance elements established at the beginning of the performance cycle. Any changes occurring after 31 December, **ONLY** the annual appraisal must be conducted.
2. **Progress Review Approval.** Employee and Rating Official sign and date for acknowledgment.

PART C - CLOSE OUT

Close Out ratings must be conducted when (a) the employee changes position or is promoted after being under established performance plan for a minimum of 90 calendar days, or when (b) the first level supervisor leaves the position.

1. Evaluate the employee's overall performance against the established critical elements and standards by checking either "Acceptable" or "Unacceptable".
2. **Additional Performance Elements:** Evaluate the employee's overall performance against the established additional performance elements by checking one of the three rating levels "Exceeded", "Met" or "Not Met".
3. **Rating Official's comments:** Optional.
4. **Employee's comments:** Optional.
5. **Close Out Approval.** Employee and Rating Official sign and date for acknowledgment.

PART D - ANNUAL APPRAISAL

1. Evaluate the employee's overall performance against the established critical elements and standards by checking either "Acceptable" or "Unacceptable".
2. **Additional Performance Elements:** Evaluate the employee's overall performance against the established additional performance elements by checking one of the three rating levels "Exceeded", "Met" or "Not Met".
3. **Rating Official's comments:** Optional.
4. **Employee's comments:** Optional.

PART E - RATING OF RECORD

The performance rating prepared at the end of the appraisal cycle over the entire period of performance.

1. Check the appropriate box.
2. **Higher-Level Reviewer (Second Line Supervisor) comments:** Check Concurrence or Non-Concurrence. Comments are optional. Sign and date.
3. **Annual Appraisal Approval:** Check Yes or No to recommend performance award. Employee and Rating Official sign and date.