



DEPARTMENT OF HEALTH AND HUMAN SERVICES

PERFORMANCE PLAN AND RATING

IDENTIFICATION INFORMATION

EMPLOYEE'S NAME (Last, First, MI)		SOCIAL SECURITY NUMBER	
POSITION TITLE	PAY PLAN Series	Grade	
ORGANIZATION	PERFORMANCE PERIOD From	To	APPRAISAL YEAR

PROGRESS REVIEW

I certify that a review of progress was conducted under this plan:

APPRAISING OFFICIAL SIGNATURE	DATE
EMPLOYEE'S SIGNATURE	DATE

RATING OF RECORD

Summary Rating for Entire Performance Period

Note: If employee is rated unacceptable on one or more critical elements, the summary rating of record for the entire performance period must be unacceptable.

- Fully Successful
- Minimally Satisfactory
- Unacceptable

APPRAISING OFFICIAL'S SIGNATURE	DATE
---------------------------------	------

Indicates that a copy of rating of record was received.

EMPLOYEE'S SIGNATURE	DATE
----------------------	------

Required if Summary Rating is "Unacceptable".

REVIEWER'S SIGNATURE	DATE
----------------------	------

DOCUMENTATION OF SUMMARY RATINGS FOR PORTIONS OF PERFORMANCE PERIOD

NOTE: Complete this section only when one or more Interim Summary Ratings have been issued during the performance period. The Rating of Record (above) should combine Interim Summary Ratings. The length of each time period below must be considered when determining the Rating of Record.

SUMMARY RATING #1 FROM (mm/dd/yy)      TO (mm/dd/yy)	_____ RATING	_____ DAYS
SUMMARY RATING #2 FROM (mm/dd/yy)      TO (mm/dd/yy)	_____ RATING	_____ DAYS
SUMMARY RATING #3 FROM (mm/dd/yy)      TO (mm/dd/yy)	_____ RATING	_____ DAYS

---

**PLAN ESTABLISHMENT**

---

This Plan consists of \_\_\_\_\_ elements. Generic performance standards apply to all elements.

---

**Element No. 1**

Critical     Non Critical

---

Fully Successful     Minimally Satisfactory     Unacceptable

---

**Element No. 2**

Critical     Non Critical

---

Fully Successful     Minimally Satisfactory     Unacceptable

---

**Element No. 3**

Critical     Non Critical

---

Fully Successful     Minimally Satisfactory     Unacceptable

---

**Privacy Act Statement:** This form is subject to the provisions of the Privacy Act and must be appropriately safeguarded from unauthorized disclosure at all times.

**Disposition of Forms:** The original "Rating of Record" and all "Interim Ratings" must be placed in the Employee Performance Folder (EPF). Copies of the final rating should be retained by the supervisor and the employee.

**Instructions:** This form will be used to document an employee's performance during his/her appraisal period. This form is appropriate for all General Schedule employees (including GM employees covered under Public Law 103-89, The Performance Management and Recognition System Termination Act of 1993) and all WG and prevailing rate employees in the competitive and excepted services in HHS.

---

**PLAN ESTABLISHMENT**

---

**Element No. 4**

Critical     Non Critical

---

Fully Successful     Minimally Satisfactory     Unacceptable

**Element No. 5**

Critical     Non Critical

---

Fully Successful     Minimally Satisfactory     Unacceptable

**Element No. 6**

Critical     Non Critical

---

Fully Successful     Minimally Satisfactory     Unacceptable

APPRAISING OFFICIAL'S SIGNATURE

DATE

---

I have received a copy of this plan and understand it describes the job elements and standards that my work performance will be rated:

EMPLOYEE'S SIGNATURE

DATE

---

**Relationship to Within-Grade Increase:** At least a Fully Successful Rating of Record is required for an "acceptable level of competence" determination for granting a within-grade increase.

---

---

**GENERIC PERFORMANCE STANDARDS**

STANDARD LEVELS	NON-SUPERVISORY	SUPERVISORY
<p><b>FULLY SUCCESSFUL (LEVEL 3)</b></p>	<p>This is the level of good, sound performance. The quality and quantity of the employee's work under this level are those of a competent employee. The performance represents a level of accomplishment expected of the great majority of employees.</p> <p>Most of the employee's work requires only minor revisions. Tasks are completed in an accurate, thorough, and timely manner. The employee's technical skills and knowledge are applied effectively to specific job tasks. In completing work assignments, he or she adheres to procedures and format requirements and follows necessary instructions from supervisors.</p> <p>The employee's work planning is realistic and results in completion of work by established deadlines. Priorities are duly considered in planning and performing assigned responsibilities.</p> <p>The employee's interpersonal behavior toward supervisors, co-workers and clients promotes attainment of work objectives.</p> <p>The employee's work products meet customer expectations. Employee provides the customer with professional and responsive service within mutually agreed upon time frames.</p> <p>The employee completes special, one-time assignments when required, without regular duties being disrupted. Problems associated with completing assignments are resolved with a minimum of supervision.</p> <p>The employee speaks and writes clearly and effectively.</p>	<p>The employee is a good leader. Establishes sound working relationships and shows good judgment in dealing with subordinate employees' views. He/She provides opportunities for staff to have a meaningful role in accomplishing organization objectives and makes special efforts to assist subordinates in improving their performance.</p> <p>The employee conveys customer service objectives to subordinates, which are often met.</p> <p>The employee rewards good performance and corrects poor performance through sound use of the performance appraisal system, performance-based incentives and when appropriate, adverse actions, and selects and assigns employees in ways that use their skills effectively.</p> <p>The employee effectively anticipates customer needs and fosters cooperative working relationships with customers.</p>

**GENERIC PERFORMANCE STANDARDS**

STANDARD LEVELS	NON-SUPERVISORY	SUPERVISORY
<p><b>MINIMALLY SATISFACTORY (LEVEL 2)</b></p>	<p>Several but not all of the following deficiencies are characteristic of the employee's work:</p> <p>The quantity and quality of the employee's work product is sometimes below expectation. Assignments are, at times, not completed within prescribed time frames.</p> <p>Occasionally, tasks are not completed in an accurate and thorough manner. The employee has had instances when deadlines were not met. Quality of work sometimes necessitates major revisions. Close supervision is sometimes necessary to ensure that organizational standards are met.</p> <p>On occasion, the employee's work products do not demonstrate the use of technical knowledge and skill. Variations from policies, procedures, and instructions by the employee cause delay in the completion of his/her work or the work of others.</p> <p>Errors in work planning periodically lead to the failure to meet agreed upon deadlines. Some difficulty in adapting to changes in priorities or procedures, or to new approaches to programs, causes delays and diminished quality of work, requiring supervisory intervention.</p> <p>Occasionally the employee's work products fall below customer expectations and are not completed within the prescribed time frames. Customers are not kept informed of the status of projects.</p> <p>The employee's behavior toward supervisor, co-workers, and/or clients poses problems and disrupts the working environment needed for cooperation and the completion of assignments.</p> <p>The employee's spoken and written expression sometimes fails to convey information.</p>	<p>Several but not all of the following deficiencies are characteristic of the employee's work:</p> <p>Sometimes fails to motivate subordinates and promote team spirit.</p> <p>In some cases, provides unclear assignments and performance requirements to subordinates.</p> <p>Provides insufficient instructions to subordinate on how to carry out programs.</p> <p>Often fails to provide sufficient explanation of organizational goals to subordinates in meeting goals and objectives.</p> <p>Often fails to satisfy and meet customer service objectives.</p> <p>Frequently fails to meet production or mission goals in a timely and quality manner.</p>

**GENERIC PERFORMANCE STANDARDS**

<b>STANDARD LEVELS</b>	<b>NON-SUPERVISORY</b>	<b>SUPERVISORY</b>
<b>UNACCEPTABLE (LEVEL 1)</b>	Performance is below a level that meets requirements for fully successful and marginally successful (e.g., continually fails to meet deadlines and produces work that is unacceptable).	