

EMPLOYEE PERFORMANCE PLAN AND RESULTS REPORT

PRIVACY ACT STATEMENT

AUTHORITY: 5 U.S.C. Sections 4301 - 4305; and E.O. 9397.

PRINCIPAL PURPOSE(S): Used for performance planning and results reporting documentation requirements for the Performance Appraisal Program for General Schedule, Federal Wage System, and Certain Other Employees.

ROUTINE USE(S): None.

DISCLOSURE: Personal identification information is copied by the employee's rating official from other files. Thus, there is no situation where the employee must choose between disclosing or not disclosing personal information. Employee signatures or the lack of signatures on Parts A, B, C, and D do not connote employee verification of any personal information on the form.

**EMPLOYEE PERFORMANCE PLAN AND RESULTS REPORT
INSTRUCTIONS FOR COMPLETION**

PART A.

1. Rating officials are responsible for ensuring that all identifying information in Section I, Blocks 1-7, is complete.
2. At the beginning of the appraisal period or upon the employee's entrance in a new position, the rating official completes Section II with employee input. The final determination of the plan is the rating and reviewing officials'.
3. The rating official, reviewing official, and employee sign and date Section III, Block 9.
4. The original of Part A is retained by the rating official and a copy by the employee.

PART B.

1. Approximately midway through the appraisal period, the rating official completes Sections I and II, Block 8, and meets with the employee to discuss the employee's performance (5 CFR 430.207(b)). Additional progress reviews shall be conducted and documented as necessary.
2. The employee may enter comments in Section II, Block 9.
3. The rating official and employee sign and date Section III, Block 10, upon completion of the progress review(s).
4. The original of Part B is retained by the rating official and a copy by the employee.

PART C.

1. Within 20 days of the end of the rating period, the rating official completes Sections I, II, and III, Block 10.a. Block 11.a. or b. is completed only if monetary recognition is recommended. The rating official signs and dates Section IV, Block 12.a.
2. The rating official discusses the recommended rating of record and any monetary recognition recommendation with the reviewing and approving official(s), as appropriate. The reviewing official completes Section III, Block 10.b. and signs and dates Section IV, Block 12.b. The approving official completes Section III, Block 11.a. or b. and signs and dates Section IV, Block 12.c.
3. The rating official discusses the approved rating and any monetary recognition with the employee. The employee completes Section IV, Block 12.d. and may attach comments.

PART D. (Optional)

1. At the end of the appraisal period, the rating official may complete Sections I and II and discuss the Development/Work Skills Plan with the reviewing official and the employee.
2. The rating and reviewing officials and the employee sign and date Section III, Block 9.

COMPLETED DD FORM 2799:

1. The original of the completed form shall be provided to the Component's Administrative Office. The rating official and employee shall each retain a copy.
2. The administrative office shall send original completed forms within 60 days of the end of the appraisal period to:

Washington Headquarters Services
Directorate for Personnel and Security
Labor and Management Employee Relations
Division

EMPLOYEE PERFORMANCE PLAN AND RESULTS REPORT

(Read the Privacy Act Statement and Instructions on Pages 1 and 2 before completing this form.)

PART A

SECTION I - IDENTIFYING INFORMATION

1. EMPLOYEE NAME <i>(Last, First, Middle Initial)</i>	2. SSN	3. RATING PERIOD	
		a. FROM <i>(YYYYMMDD)</i>	b. TO <i>(YYYYMMDD)</i>
4. TITLE	5. SERIES	6. GRADE	7. OFFICE

SECTION II - PERFORMANCE PLAN

8. CRITICAL ELEMENTS *(List at least one, but normally not more than five. Develop component specific elements or use elements from attached list with component specific measures.)*

a.
b.
c.
d.
e.

SECTION III - PERFORMANCE PLAN SIGNATURES

9. PERFORMANCE PLAN <i>(Sign when plan is established)</i>		
a. RATING OFFICIAL SIGNATURE	PRINTED NAME AND TITLE	DATE
b. REVIEWING OFFICIAL SIGNATURE	PRINTED NAME AND TITLE	DATE
c. EMPLOYEE SIGNATURE <i>(Employee's signature indicates review and discussion with the Rating Official. It does not necessarily mean that the employee agrees with the information on this form.)</i>		DATE

EMPLOYEE PERFORMANCE PLAN AND RESULTS REPORT

PART C

SECTION I - IDENTIFYING INFORMATION

1. EMPLOYEE NAME <i>(Last, First, Middle Initial)</i>	2. SSN	3. RATING PERIOD	
		a. FROM <i>(YYYYMMDD)</i>	b. TO <i>(YYYYMMDD)</i>
4. TITLE	5. SERIES	6. GRADE	7. OFFICE

SECTION II - RESULTS

8. CRITICAL ELEMENT RATINGS *(U = Unacceptable, M = Met, E = Exceeded, NR = Not Rated)*

a.	b.	c.	d.	e.
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9. NARRATIVE TO SUPPORT ELEMENT RATINGS OF OTHER THAN MET *(Required)*

<i>(X if narrative continued on separate sheet)</i>	<i>(X if Employee Development/Work Skills Plan (Part D) attached)</i>
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SECTION III - RATING OF RECORD AND MONETARY RECOGNITION

10. RATING OF RECORD

a. RECOMMENDED *(X one)*

<input type="checkbox"/> LEVEL 1 - UNACCEPTABLE	<input type="checkbox"/> LEVEL 3 - ACCEPTABLE	<input type="checkbox"/> LEVEL 5 - EXCELLENT
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b. *(X as applicable) (If rating is changed, the reviewing or approving official must enter a written explanation.)*

<input type="checkbox"/> APPROVED	<input type="checkbox"/> CHANGED TO _____
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11. MONETARY RECOGNITION *(X as applicable)*

a. PERFORMANCE AWARD RECOMMENDED \$ _____	<input type="checkbox"/> APPROVED	<input type="checkbox"/> CHANGED TO \$ _____
b. QUALITY STEP INCREASE RECOMMENDED <i>(A Level 5 rating of record is required.)</i>	<input type="checkbox"/> APPROVED	<input type="checkbox"/> DISAPPROVED

SECTION IV - RATING SIGNATURES

12. RATING *(Sign when completed)*

a. RATING OFFICIAL SIGNATURE	PRINTED NAME AND TITLE	DATE
b. REVIEWING OFFICIAL SIGNATURE	PRINTED NAME AND TITLE	DATE
c. APPROVING OFFICIAL SIGNATURE <i>(Required only when monetary recognition is recommended.)</i>	PRINTED NAME AND TITLE	DATE
d. EMPLOYEE SIGNATURE <i>(Employee's signature indicates review and discussion with the Rating Official. It does not necessarily mean that the employee agrees with the information on this form.)</i>		DATE

(X if employee comments attached)

EMPLOYEE PERFORMANCE PLAN AND RESULTS REPORT

PART D (Optional)

SECTION I - IDENTIFYING INFORMATION

1. EMPLOYEE NAME <i>(Last, First, Middle Initial)</i>	2. SSN	3. RATING PERIOD	
		a. FROM <i>(YYYYMMDD)</i>	b. TO <i>(YYYYMMDD)</i>
4. TITLE	5. SERIES	6. GRADE	7. OFFICE

SECTION II - EMPLOYEE DEVELOPMENT/WORK SKILLS PLAN

8. IDENTIFY CLASSES, TRAINING OPPORTUNITIES, DEVELOPMENTAL ASSIGNMENTS, ETC., DESIRABLE FOR IMPROVING/ENHANCING THE EMPLOYEE'S KNOWLEDGE, SKILLS, PERFORMANCE.

SECTION III - DEVELOPMENT PLAN SIGNATURES

9. EMPLOYEE DEVELOPMENT/WORK SKILLS PLAN <i>(Sign when plan is established)</i>		
a. RATING OFFICIAL SIGNATURE	PRINTED NAME AND TITLE	DATE
b. REVIEWING OFFICIAL SIGNATURE	PRINTED NAME AND TITLE	DATE
c. EMPLOYEE SIGNATURE <i>(Employee's signature indicates review and discussion with the Rating Official. It does not necessarily mean that the employee agrees with the information on this form.)</i>		DATE

**EMPLOYEE PERFORMANCE PLAN AND RESULTS REPORT
PERFORMANCE ELEMENTS**

The first five Critical Elements will probably be applicable to all positions to some degree. Critical Elements 6, 7, and 8 should be included in performance plans when appropriate. Supervisors should carefully review standards under each element, include all standards which apply to the position, and add appropriate descriptive language where indicated in the bracketed, italicized portions of this guidance.

1. Quality of Work.

- Work consistently demonstrates current knowledge of field.
- Work is consistently well researched, thoroughly analyzed. *(Include other indicia of good quality work appropriate to duties performed and grade level, including the expected level of supervisory control or input.)*
- Work is consistently accurate, complete, relevant, thorough, and logical.
- Work consistently reflects sound professional judgment. *(Describe indicia of judgment appropriate to the grade level, such as weighing alternatives, considering implications, recognizing when direction from superiors is necessary or appropriate, etc.)*

2. Productivity.

- Work is consistently planned and prioritized to reflect mission and organizational needs. *(The standard should specify the level of supervisory input into or control of planning expected at the grade level, such as "with minimal (or occasional or regular) supervisory input.")*
- Work consistently completed within established deadlines.
- Consistently advises supervisor and others concerned when it becomes necessary to extend deadlines due to circumstances beyond the employee's control.
- Work is consistently planned so that it can be fully coordinated and distributed within established deadlines without imposing unduly on others. *(If there are deadlines outside the control of the agency the missing of which could result in substantial expense to the agency, danger to the public, etc., a standard may be included which requires that work be planned so that such deadlines are never missed.)*
- Work is consistently planned to ensure efficient use of resources.
- The volume of work done consistently contributes to organizational goals. *(If the work of the organization can be quantified, this standard could state that the volume of work within a specified time frame meets the organization's numerical goals. Numerical goals must, however, be reasonable, attainable, and rationally apportioned among employees.)*

3. Quality of Written Communication.

- Drafts are consistently clear, relevant, concise, well organized and appropriate to audience. *(Where appropriate for the grade level, standard may state that drafts rarely require additional research or substantial reorganization.)*

3. Quality of Written Communication (Continued).

- Finished products are consistently free of spelling and grammatical errors, conform to appropriate office formats, and appropriately incorporate review and/or coordination of initial drafts. *(If there is some way to quantify and track the total number of written work products, it may be possible to build an acceptable error rate into the standard. Error rates must specify whether they apply to finished or draft work products, be reasonable and attainable, and must be uniformly applied.)*
- Written work consistently requires a level of supervisory review appropriate to the grade level. *(The standard should describe the level of review such as "rarely requires substantive editing." Where appropriate, the standard can state that "drafts rarely require a second rewrite" or "never require a second rewrite due to failure to implement supervisor's instructions.")*

4. Quality of Oral Communication.

- Briefings and other oral presentations are consistently clear, well organized, accurate, and appropriate to audience. *(Standard should describe whatever indicia of one-sided communications efforts are appropriate, including appropriate responses to questions or comments from audience.)*
- At meetings and in verbal exchanges with others, consistently conveys information accurately, advocates effectively, listens carefully, and responds appropriately. *(Again, the standard should describe additional indicia of quality interchanges, depending on nature of position.)*

5. Teamwork and Customer Responsiveness.

- Consistently ensures appropriate coordination so that concerned individuals and organizations are included in and/or informed of decisions and actions.
- Consistently keeps supervisor informed of anticipated problems and, where appropriate, suggests solutions or advises supervisor of course of action employee proposes to follow.
- Consistently works well with others and maintains a professional demeanor in dealings with co-workers, clients, and supervisors, including appropriate respect for cultural, ethnic, gender, and other differences and full cooperation with the equal employment opportunity process when necessary.
- Consistently participates in team or group efforts effectively by cooperating with others, according appropriate respect to views of others, responding constructively to criticism or dissenting views, etc.
- Consistently responds to requests for information or assistance from clients and others outside the organization in a timely fashion. *(The standard may specify a reasonable response time for specific types of requests such as "consistently returns telephone calls by the close of the next business day." Note that this measure of responsiveness to clients, etc., should be distinguished from measures of organizing and prioritizing work to meet deadlines, as measured in critical element 2, above.)*

EMPLOYEE PERFORMANCE PLAN AND RESULTS REPORT
PERFORMANCE ELEMENTS *(Continued)*

5. Teamwork and Customer Responsiveness *(Continued).*

- For team leaders: Team leader ensures that all team members participate actively, cooperate, and maintain a professional demeanor by consistently setting an example of appropriate team cooperation, appropriately assigning tasks, promptly bringing performance and/or conduct problems to the attention of the supervisor, and effectively following through on corrective action decided on by the supervisor.

6. Security.

(This should be a separate critical element whenever handling sensitive or classified information is a significant part of the employee's duties. Absolute standards permitting no deficiencies are acceptable in the security area.)

- Attends all required security briefings. If any briefings are missed due to circumstances beyond the employee's control, promptly advises supervisor and arranges for substitute briefing.

- Follows all rules and procedures for proper handling of classified materials.

- Promptly reports security violations to the proper authorities.

7. Supervises Office Function and Performance of Subordinates.

- Consistently ensures that work is distributed in an equitable manner based on the urgency, complexity, and sensitivity of tasks, existing work loads, and the capabilities and experience of subordinates.

- Regularly monitors the work load of subordinates, including number and nature of assignments and time expended on specific significant matters and on categories of routine matters. Requests for staffing changes are thoroughly supported and designed to ensure efficient function of the office.

- Consistently provides timely review of work products of subordinates in a manner appropriate to the experience level of the employee and the complexity and difficulty of tasks assigned.

- Consistently provides clear and constructive feedback to subordinates about their performance, including timely and accurate performance appraisals, notices of performance deficiencies, and performance awards and recognition.

- Promptly and consistently addresses performance and conduct deficiencies of subordinates with appropriate guidance, counseling, and/or discipline.

- Promptly and consistently provides positive feedback about superior job performance or individual tasks, including recognition or awards, where appropriate, to subordinates.

- Consistently ensures timely preparation of performance standards which conform to available guidance.

- Consistently maintains appropriate documentation to support performance appraisals, awards, and performance or conduct based actions.

7. Supervises Office Function and Performance of Subordinates *(Continued).*

- Ensures that individual training needs of subordinates are regularly evaluated and that training is provided consistent with the agency staff development plan and agency goals.

- Consistently ensures that office budgets are developed that comply with budgetary policies and constraints and enable the office to accomplish its mission in a timely and efficient manner.

- Consistently manages the office budget to ensure compliance with applicable policies and regulations.

- Consistently ensures that inventory and other appropriate accountability measures are implemented in accordance with established guidelines.

- Consistently makes workplace decisions on the basis of merit, treats subordinates fairly, and ensures that everyone under the supervisor's supervision consistently respects cultural, ethnic, gender, disability related, and other differences in the workplace.

- Consistently responds promptly and effectively to complaints about the conduct of subordinates, customers, and peers, including, where appropriate, seeking the assistance of the Equal Employment Opportunity (EEO) Program Division (EEOPD), counseling or disciplining individuals engaging in inappropriate conduct, reporting problems to chain of command, and obtaining diversity and EEO training.

- Consistently cooperates with the EEO process, including informing upper level management of the existence of the complaint and of the steps the supervisor plans to take to address it, identifying possible resolutions as early in the complaint process as possible and discussing them with EEO counselors, responding promptly and fully to requests for information from EEO investigators, and making self available to work with agency representatives.

8. Program Management (for non-supervisory managers).

(There should be a program management element for non-supervisory managers which includes a standard for those responsibilities as well as for their EEO responsibilities.)

- Consistently ensures that all workplace decisions made in the manager's program area are based on merit principles and program requirements.

- Consistently ensures that efforts to recruit, promote, train, and provide other opportunities for advancement within the manager's program areas are appropriately made to maximize the area of competition, including consultation with the EEOPD to ensure that appropriate steps are taken to recruit individuals whose sex, race, national origin, or disability status may be under represented in the DoD workforce.

- Consistently ensures that supervisors respond appropriately to EEO complaints, whether formal or informal, that they have current training in EEO procedures and issues, and that they have access to and appropriately use legal, personnel, and EEO resources.