

U.S. Agency for International Development – USAID
ANNUAL EVALUATION FORM - CIVIL SERVICE

Privacy Act Statement

PRIVACY ACT STATEMENT: Pursuant to the Privacy Act of 1974, 5 U.S.C. § 552a, USAID furnishes the following statement to individuals supplying information in connection with the civil service performance evaluation process.

AUTHORITY: CFR-title 5-vol 1 Subpart B

PURPOSE: USAID collects this information from Supervisor/Managers which will be used to evaluate civil service employees during the annual assessment period.

ROUTINE USES: USAID collects and maintains this information as part of the employee's system of record. This information is not shared outside of USAID.

DISCLOSURE: Disclosure is voluntary. However, without the requested information, USAID will not be able to process the employee's performance evaluation and the performance evaluation is not eligible to be waived.

SORN: Other routine uses are published in OPM/GOVT-2

Employee's USAID's Name (Last, First, MI):		Annual Evaluation Period
		Start: End:
Position Title, Grade Series (Ex: GS, AD):	Email Address:	Organization: (B/IO/Center/Division/Branch):

**SECTION 1A - Establishment of Performance Elements and Standards.
Sign and date within the first 30 days of the cycle**

Rating Official's Signature/Date:	Appraisal Committee (AC) Rep's Signature/Date (if applicable)	Employee Signature/Date:
Typed Name of Rating Official:	1.	Typed Name of Employee
Approving Official's Signature/Date:	2.	<input type="checkbox"/> Employee declined to sign/Date:
Typed Name of Approving Official:	3.	(Date declined to sign indicates date employee received a copy of performance plan.)

SECTION 1B - Progress Review -- Sign and Date

Rating Official's Signature/Date:	AC Representative's Signature/Date (if applicable)	Employee's Signature/Date:
Typed Name of Rating Official:	1.	Typed Name of Employee
Approving Official's Signature/Date:	2.	<input type="checkbox"/> Employee declined to sign/Date:
Typed Name of Approving Official:	3.	(Date signed indicates date employee received a copy of the progress review.)

SECTION 1C - End of Cycle Evaluation of Performance -- Sign and Date

Rating Official's Signature/Date:	AC Representative's Signature/Date (if applicable)	Employee's Signature/Date:
Typed Name of Rating Official:	1.	Typed Name of Employee
Approving Official's Signature/Date:	2.	<input type="checkbox"/> Employee declined to sign/Date:
Typed Name of Approving Official:	3.	(Date signed indicates date employee received a copy of performance evaluation.)

SECTION 1D – 360 Degree Feedback – Check All That Apply

<input type="checkbox"/> Customers	<input type="checkbox"/> Employee Self	<input type="checkbox"/> Managers	<input type="checkbox"/> Peers	<input type="checkbox"/> Diversity Checklist	<input type="checkbox"/> Others
------------------------------------	--	-----------------------------------	--------------------------------	--	---------------------------------

SECTION 1E – Summary Rating Level - Derived from Ratings for Critical Performance Elements in Sections 3 & 4

Utilize the five rating levels below to add the total number of critical elements. Check one box for the overall summary rating. Overall Summary Rating must equal the total number of critical elements. See ADS 462.3.6.5 for an explanation of supervisor requirements.

Outstanding <input type="checkbox"/> Critical Element #1 must be rated "Outstanding," the majority critical elements must be rated "Outstanding," and none can be rated below "Exceeds Fully Successful." For Supervisors: 3 of 4 supervisory elements #7 - #10 must also be rated "Outstanding."	Exceeds Fully Successful <input type="checkbox"/> Majority of Critical Elements must be rated "Exceeds Fully Successful," and none can be rated below "Fully Successful."	Fully Successful <input type="checkbox"/> Majority of Critical Elements are rated "Fully Successful," and none can be rated below "Minimally Successful."	Minimally Successful <input type="checkbox"/> Majority of Critical Elements are rated "Minimally Successful," and none may be below that level.	Unacceptable <input type="checkbox"/> Any one Critical Element is rated "Unacceptable."
Total Number ____	Total Number ____	Total Number ____	Total Number ____	Total Number ____

The Annual Evaluation Form (AEF– Sections 2, 3, and 4) establishes the Performance Plan linking an employee’s performance to organizational goals. The appraisal period begins April 1 and ends March 31. The Rating Official has 30 calendar days to implement the performance plan. The Rating Official develops the performance plan with the employee’s input. ADS 462 – Employee Evaluation Program provides the policy and requirements for the AEF. AEF 462-1 is used for all General Schedule (GS) employees and Administratively Determined (AD) employees, grades 7 – 15.

SECTION 2 - ROLE in the Organization and Goal Alignment

a. Role in the Organization and Organizational Linkage: Describe the principal duties of the employee’s position and the relationship between the employee’s and the supervisor’s goals and objectives.

b. Strategic Alignment: State the connection between the employee’s position and Agency’s goals and objectives, and/or the bureau/office/unit organizational goals and objectives.

SECTION 3 – GENERAL PERFORMANCE ELEMENTS AND STANDARDS for all Employees

Except for #1, Execution of Duties and Delivery of Assignments - Mandatory Critical Element Producing Concrete Results and Measures, the supervisor determines which elements are critical.

1. Each Performance Element and Standard must be consistent with the purpose of the position and support the Agency, Bureau/Office and/or the unit's strategic plan and objectives.
2. Add to each existing Performance Standard any specific credible measure of performance that will enhance mutual understanding of concrete expectations

1. EXECUTION OF DUTIES AND DELIVERY OF ASSIGNMENTS: Carefully researches and analyzes assignments. Work products support the bureau/office's strategic and annual goals. Products and services meet performance expectations as defined by the organizational structure, and the final work product addresses organization, quality, quantity, and timeliness. Appropriately handles and protects classified national security information (CNSI), and information designated as Sensitive but Unclassified (SBU) (i.e., PII, FOUO, etc.) in accordance with applicable laws, executive orders, directives, and agency-wide policies. **CRITICAL**

Further specification of performance standard (must include alignment to organizational goals):

Outstanding <input type="checkbox"/>	Exceeds Fully Successful <input type="checkbox"/>	Fully Successful <input type="checkbox"/>	Minimally Successful <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
---	--	--	--	--

2. TECHNICAL EXPERTISE: Maintains a broad and detailed knowledge of fields essential to performing responsibilities of the position, including regulations, rules, policies, procedures, and technologies. **CRITICAL: Yes No**

Further specification of performance standard:

Outstanding <input type="checkbox"/>	Exceeds Fully Successful <input type="checkbox"/>	Fully Successful <input type="checkbox"/>	Minimally Successful <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
---	--	--	--	--

3. PLANNING AND ORGANIZING WORK: Takes initiative to meet goals. Plans and prioritizes effectively. Adapts to available resources, changing assignments, and multiple responsibilities. **CRITICAL: Yes No**

Further specification of performance standard:

Outstanding <input type="checkbox"/>	Exceeds Fully Successful <input type="checkbox"/>	Fully Successful <input type="checkbox"/>	Minimally Successful <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
---	--	--	--	--

4. COMMUNICATIONS: Oral and written communications are clear, concise, grammatically correct, and exhibit behavior that supports the vision, philosophy, and values of the Agency. **CRITICAL: Yes No**

Further specification of performance standard:

Outstanding <input type="checkbox"/>	Exceeds Fully Successful <input type="checkbox"/>	Fully Successful <input type="checkbox"/>	Minimally Successful <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
---	--	--	--	--

5. PROFESSIONALISM AND TEAMWORK: Performs professionally and cooperatively when interacting with co-workers and the public. Willingly initiates and responds to collaborative efforts with a co-worker(s). Treats others with respect and reinforces their efforts. Contributes to team building and team results. Accepts and offers team direction. **CRITICAL: Yes No**

Further specification of performance standard:

Outstanding <input type="checkbox"/>	Exceeds Fully Successful <input type="checkbox"/>	Fully Successful <input type="checkbox"/>	Minimally Successful <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
---	--	--	--	--

6. CUSTOMER SERVICE: Provides quality customer service and results to clients, both internal and external, in a professional, competent, and timely manner in accordance with the USAID Customer Service Standards. **CRITICAL: Yes No**

Further specification of performance standard:

Outstanding <input type="checkbox"/>	Exceeds Fully Successful <input type="checkbox"/>	Fully Successful <input type="checkbox"/>	Minimally Successful <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
---	--	--	--	--

SECTION 4 – For Supervisory or Managerial Employees Only

#7,8,9 and 10 are CRITICAL Elements
Ratings are to incorporate customer and employee perspectives.

7. Leadership: Leads by example, and promotes respectful, cooperative, and productive working relationships among individuals, including persons with cultural and individual differences. Consults, collaborates, and builds partnerships with all stakeholders, and takes decisive actions according to law, regulation, and agency policy. Uses financial, material, and human resources effectively to attract, recruit and retain highly qualified talent to meet emerging priorities, thus ensuring their successful transition and assimilation into USAID. Communicates organizational goals to subordinates, delegates authority to the appropriate level, sets appropriate priorities, and ensures that their work of the unit is accomplished.

Outstanding <input type="checkbox"/>	Exceeds Fully Successful <input type="checkbox"/>	Fully Successful <input type="checkbox"/>	Minimally Successful <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
---	--	--	--	--

8. Staff Development and Performance Management: Effectively motivates, trains, and develops subordinates. Provides appropriate coaching and feedback throughout the year. Completes performance evaluations and related obligations within prescribed timeframes and in accord with Agency guidance. Encourages two-way communications. Takes into account employee perspective and encourages employees to develop creative and effective ways to successfully accomplish organization's goals and objectives. Accurately evaluates and rewards employees' contributions to organization unit's accomplishments. Applies Merit System principles for assigning work or making promotion, training, and developmental assignments and award decisions.

Outstanding <input type="checkbox"/>	Exceeds Fully Successful <input type="checkbox"/>	Fully Successful <input type="checkbox"/>	Minimally Successful <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
---	--	--	--	--

9. Equal Employment Opportunity: Ensures a climate of fairness and respect for human worth in the workplace. Eliminates bias or harassment in the operating unit. Contributes to unit cohesiveness/morale. Verifies through monitoring and follow-up to ensure that employees are provided appropriate accommodations, fully utilized skills, and receive full consideration for career-enhancing assignments, promotions, and recognition.

Outstanding <input type="checkbox"/>	Exceeds Fully Successful <input type="checkbox"/>	Fully Successful <input type="checkbox"/>	Minimally Successful <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
---	--	--	--	--

10. Accountability: Assures that effective controls are developed and maintained to ensure the integrity of the organization. Holds self and others accountable for organizational goals and objectives. Ensures that projects within areas of specific responsibilities are completed in a timely, efficient, and effective manner that meets objectives. Monitors and evaluates the organization, focuses on established organizational goals, results and measures the attainment of outcomes. Promotes the importance of the Employee Performance Appraisal program with cascaded organizational mission requirements for managers and employees. Ensures all employees are properly evaluated on an annual basis.

Outstanding <input type="checkbox"/>	Exceeds Fully Successful <input type="checkbox"/>	Fully Successful <input type="checkbox"/>	Minimally Successful <input type="checkbox"/>	Unacceptable <input type="checkbox"/>
---	--	--	--	--

SECTION 5 REVISIONS

Must explain changes to the Performance Plan or Professional Development, normally at mid-cycle during an appraisal period.

--

Evaluation of Employee's Performance

SECTION 6 FINAL SUMMARY RATING NARRATIVE and EXPLANATION

For an overall summary rating of Fully Successful or higher, a rating official summary narrative is required. If employees have two or more equal numbers of adjectival ratings, such as 3 "Exceeds Fully Successful" and 3 "Fully Successful", the Rating Official will provide a mandatory justification in Section 6 of the AEF

SECTION 7 MANAGING PERFORMANCE IMPROVEMENT

If the employee's performance is at the "Minimally Successful" or "Unacceptable" level at any time during the rating cycle, this section must be completed, and the Human Capital and Talent Management Center for Performance Excellence (HCTM/CPE) must be contacted by the Rating Official.

Minimally Successful

a. If the evaluation is determined to be "Minimally Successful," supervisor must provide a narrative explaining the *performance deficiency or deficiencies* in the box below.

b. If the evaluation is determined to be "Minimally Successful," supervisor must provide a narrative explaining *how the employee can improve performance up to the Fully Successful level* in the box below.

If the evaluation is determined to be "Minimally Successful," the employee's next Within Grade Increase must be withheld unless the employee's performance rises to and is documented at the "Fully Successful" level. (5 CFR Part 531, Subpart D)

Unacceptable

a. If the evaluation is determined to be "Unacceptable" at any time during the rating cycle, the supervisor must provide a narrative explaining the *deficiency or deficiencies* in the Critical Element(s) in the box below.

b. If evaluation is determined to be "Unacceptable" at any time during the rating cycle, the supervisor must provide a narrative explaining *how the employee can improve up to the "Minimally Successful" level in the failed Critical Element(s)* in the box below. The employee will be given an opportunity to improve performance. If the employee fails the Opportunity Period, the employee may be proposed for removal.

If the evaluation is determined to be "Unacceptable" the employee's next Within Grade Increase must be withheld unless the employee's performance rises to and is documented at the "Fully Successful" level. (5 CFR Part 531, Subpart D)