

EMPLOYEE PERFORMANCE PLAN AND RESULTS REPORT

(This form is protected by the Privacy Act of 1974, as amended.)

BASIC INSTRUCTIONS FOR COMPLETION

PART A - PERFORMANCE PLANNING (AI 63 Enclosure 3)

Within 30 days of entrance on duty or the start of the appraisal period, a performance plan shall be prepared on DD Form 2799.

Appraisal Periods:

GS-12 and below and FWS Employees: April 1 to March 31
 GS-13 and above: July 1 to June 30

Section I - Identifying Information. Rating Official completes.

Section II - Performance Plan. Rating Official in collaboration with employee completes and forwards to Reviewing Official for final approval.

Section III - Performance Plan Signatures. Reviewing Official reviews/revises and approves performance plan, signs and dates and returns to Rating Official. Rating Official and employee sign and date. A plan is considered effective when all signatures/acknowledgments are acquired. Employee signature serves as acknowledgment of form content, not necessarily agreement.

PART B - EMPLOYEE DEVELOPMENT (AI 63 Enclosure 3)

Any time during the appraisal period Rating Officials and employees may identify training or developmental opportunities beneficial to the agency and the employee. Opportunities identified are not an employee entitlement or a management commitment and are subject to approval and funding availability.

Section I - Identifying Information. Rating Official completes.

Section II - Employee Development Plan. Rating Official in collaboration with employee completes and forwards to Reviewing Official for final approval. Changes can be made to this section any time during the performance period.

Section III - Employee Development Plan Signatures. Reviewing Official signs form and returns to Rating Official. Rating Official and employee review, sign and date. A plan is effective when all signatures are acquired. Employee signature serves as acknowledgment of form content, not necessarily agreement.

PART C - PERFORMANCE MONITORING AND PROGRESS REVIEW (AI 63 Enclosure 3)

At a minimum, there shall be one documented progress review midway through the appraisal period. Employee performance relative to each critical element; changes in mission, responsibilities and resources; performance successes or deficiencies, and corrections shall be discussed and plans altered if required.

Section I - Identifying Information. Rating Official completes.

Section II - Progress Review(s). The Rating Official and employee are encouraged to complete collaboratively, however, employee self assessment narrative is optional. At discretion of Rating Official, multiple progress reviews can be documented throughout the appraisal period in the Performance Monitoring and Progress Review section.

Section III - Performance Monitoring and Progress Review Signatures. Rating Official and employee sign and date. A review is complete when all signatures are acquired.

PART D - ANNUAL RATING OF RECORD AND PERFORMANCE BASED RECOGNITION (AI 63 Enclosure 4)

The minimum appraisal period is 90 days. At the end of the appraisal period, employee has 7 days to provide a self assessment narrative (optional), which will be considered by the Rating Official when preparing the summary rating. Within 20 days of the end of the appraisal period, the Rating Official shall compare employee performance against the established critical elements and performance standards; consider the employee's self assessment; rate each critical element; and assign a recommended summary rating.

Section I - Identifying Information. Rating Official completes.

Section II - Employee Self Assessment Narrative. The employee provides a self assessment narrative (optional).

Section III - Critical Elements Rating and Supporting Narrative. Rating Official considers performance during the entire appraisal period, the employee's self assessment, rates each critical element (U = Unacceptable, M = Met, E = Exceeded, NR = Not Rated) and prepares a narrative to support the critical element ratings. If a critical element is Met, no written narrative is required for that element.

Section IV - Summary Rating. Rating Official assigns a recommended summary rating (Level 1 = Unacceptable, 3 = Fully Successful, 4 = Exceeds Fully Successful, 5 = Exceptional).

Section V - Performance Recognition. Rating Official recommends performance recognition, if applicable, and forwards performance plan to the Reviewing Official, who in turn reviews and discusses with the Approving Official. Working in conjunction with the Rating Official, the Reviewing Official and/or Approving Official retain the authority to revise any part of the employee's recommended rating and/or performance award.

Section VI - Performance Rating Signatures. The Reviewing Official and, if applicable, the Approving Official sign and date the form. The Rating Official reviews approved rating of record and monetary recognition (amount and type), discusses with the employee, and both sign and date the form. Employee signature serves as acknowledgment of form content, not necessarily agreement.

Section VII - Continuation Space for Documentation. This section can be used for additional narrative pertaining to any part/section of the form where space provided is insufficient. Part/Section being continued shall be annotated.

COMPLETED DD FORM 2799:

The Rating Official keeps a copy of the completed and signed Employee Performance Plan and Results Report, provides the employee a copy, and forwards the final in pdf format to Washington Headquarters Services, Human Resources Directorate, Labor and Management Employee Relations Division within 60 days from the end of the appraisal period for processing.

Forms should be sent to HRDPerformanceMgmt@whs.mil or sent on a CD to:

Washington Headquarters Services
 Human Resources Directorate
 Labor and Management Employee Relations Division
 4800 Mark Center Drive, Suite 03D08
 Alexandria, VA 22350.

EMPLOYEE PERFORMANCE PLAN AND RESULTS REPORT

PART A - PERFORMANCE PLANNING

SECTION I - IDENTIFYING INFORMATION

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

SECTION II - PERFORMANCE PLAN

7. CRITICAL ELEMENTS AND PERFORMANCE STANDARDS *(List at least one, but normally no more than five)*

a.

b.

c.

d.

e.

SECTION III - PERFORMANCE PLAN SIGNATURES

8. ESTABLISHING A PERFORMANCE PLAN *(Sign when plan is established)*

a. REVIEWING OFFICIAL SIGNATURE	PRINT NAME AND TITLE	DATE <i>(YYYYMMDD)</i>
b. RATING OFFICIAL SIGNATURE	PRINT NAME AND TITLE	DATE <i>(YYYYMMDD)</i>
c. EMPLOYEE SIGNATURE <i>(Employee signature serves as acknowledgment of form content and review, not necessarily agreement.)</i>		DATE <i>(YYYYMMDD)</i>

<input type="checkbox"/> Rating Official check, initial and date if employee refuses to sign form.	Rating Official initials:	Date <i>(YYYYMMDD)</i> :
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EMPLOYEE PERFORMANCE PLAN AND RESULTS REPORT**PART B - EMPLOYEE DEVELOPMENT****SECTION I - IDENTIFYING INFORMATION**

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

SECTION II - EMPLOYEE DEVELOPMENT PLAN

7. IDENTIFY CLASSES, TRAINING OPPORTUNITIES, DEVELOPMENTAL ASSIGNMENTS, ETC., DESIRABLE FOR IMPROVING THE EMPLOYEE'S KNOWLEDGE, SKILLS, PERFORMANCE, AND ABILITY TO ACCOMPLISH THE MISSION.

SECTION III - EMPLOYEE DEVELOPMENT PLAN SIGNATURES

8. EMPLOYEE DEVELOPMENT PLAN (<i>Sign when plan is established</i>)		
a. REVIEWING OFFICIAL SIGNATURE	PRINT NAME AND TITLE	DATE (YYYYMMDD)
b. RATING OFFICIAL SIGNATURE	PRINT NAME AND TITLE	DATE (YYYYMMDD)
c. EMPLOYEE SIGNATURE (<i>Employee signature serves as acknowledgment of form content and review, not necessarily agreement.</i>)		DATE (YYYYMMDD)
<input type="checkbox"/> Rating Official check, initial and date if employee refuses to sign form.	Rating Official initials:	Date (YYYYMMDD):

EMPLOYEE PERFORMANCE PLAN AND RESULTS REPORT

PART C - PERFORMANCE MONITORING AND PROGRESS REVIEW

SECTION I - IDENTIFYING INFORMATION

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

SECTION II - PROGRESS REVIEW(S)

7. EMPLOYEE SELF ASSESSMENT NARRATIVE
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8. RATING OFFICIAL NARRATIVE

SECTION III - PERFORMANCE MONITORING AND PROGRESS REVIEW SIGNATURES

9. PROGRESS REVIEW(S) <i>(Sign when review is conducted)</i>		
a. RATING OFFICIAL SIGNATURE	PRINT NAME AND TITLE	DATE <i>(YYYYMMDD)</i>
b. EMPLOYEE SIGNATURE <i>(Employee signature serves as acknowledgment of form content and review, not necessarily agreement.)</i>		DATE <i>(YYYYMMDD)</i>

<input type="checkbox"/> Rating Official check, initial and date if employee refuses to sign form.	Rating Official initials:	Date <i>(YYYYMMDD)</i> :
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EMPLOYEE PERFORMANCE PLAN AND RESULTS REPORT

PART D - PERFORMANCE RATING

SECTION I - IDENTIFYING INFORMATION

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

SECTION II - EMPLOYEE SELF ASSESSMENT NARRATIVE

7. EMPLOYEE SELF ASSESSMENT NARRATIVE

SECTION III - CRITICAL ELEMENTS RATING AND SUPPORTING NARRATIVE

(Rating Official completes)

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

a.	b.	c.	d.	e.
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9. RATING OFFICIAL NARRATIVE TO SUPPORT CRITICAL ELEMENT RATINGS *(Other than Met)*

SECTION IV - SUMMARY RATING

(Apply X to one rating)

<input type="checkbox"/> Level 1 UNACCEPTABLE	<input type="checkbox"/> Level 3 FULLY SUCCESSFUL	<input type="checkbox"/> Level 4 EXCEEDS FULLY SUCCESSFUL	<input type="checkbox"/> Level 5 EXCEPTIONAL
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SECTION V - PERFORMANCE RECOGNITION

(Apply X to only one award type. Review QSI qualifications prior to recommendation.)

<input type="checkbox"/> PERFORMANCE AWARD	AMOUNT AWARDED: \$ _____
<input type="checkbox"/> QUALITY STEP INCREASE	FROM: STEP _____ TO: STEP _____
<input type="checkbox"/> TIME OFF AWARD	NUMBER OF HOURS: _____

EMPLOYEE PERFORMANCE PLAN AND RESULTS REPORT

PART D - PERFORMANCE RATING *(Continued)*

SECTION VI - PERFORMANCE RATING SIGNATURES

10. RATING *(Sign when rating is reviewed and approved)*

a. REVIEWING OFFICIAL SIGNATURE	PRINT NAME AND TITLE	DATE (YYYYMMDD)
b. APPROVING OFFICIAL SIGNATURE <i>(Required only when monetary recognition is recommended.)</i>	PRINT NAME AND TITLE	DATE (YYYYMMDD)
c. RATING OFFICIAL SIGNATURE	PRINT NAME AND TITLE	DATE (YYYYMMDD)
d. EMPLOYEE SIGNATURE <i>(Employee signature serves as acknowledgment of form content and review, not necessarily agreement.)</i>		DATE (YYYYMMDD)

<input type="checkbox"/> Rating Official check, initial and date if employee refuses to sign form.	Rating Official initials:	Date (YYYYMMDD):
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SECTION VII - CONTINUATION SPACE FOR DOCUMENTATION