

**Functional Series 400 – Personnel
ADS 462 – Employee Evaluation Program, Civil Service**

***This chapter has been revised. It applies to Civil Service employees only.**

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ADS 462 - Employee Evaluation Program, Civil Service

462.1 OVERVIEW

The Employee Evaluation Program (EEP) is intended to provide a systematic process by which the Agency involves its employees in improving organizational effectiveness in the accomplishment of the Agency's mission and goals by

- Establishing clear linkages between the Agency's goals, Operating Unit strategic objectives, and employees' work;
- Improving communications about organizational objectives and individual career goals;
- Developing the capacity to perform;
- Correcting deficiencies and providing both positive and negative feedback (negative feedback must be in writing);
- Providing feedback to employees to motivate them to work more effectively, improve their skills, and prepare themselves for increased responsibilities; and
- Providing a basis for cash awards, bonuses, and pay adjustments based on performance and other non-monetary awards for performance.

This chapter applies to all

- Civil Service (CS) employees (including Schedule C employees and employees whose appointments are administratively determined) under the authority of 5 U.S.C. 43 and 5 CFR 430, Performance Management, Subpart B, Performance Appraisal for General Schedule, Prevailing Rate and Certain Other Employees.

This chapter does not apply to Foreign Service (FS), Senior Foreign Service (SFS) officers, Presidential Appointees, Senior Executive Service (SES) employees, and experts and consultants. See [ADS 461](#) for the EEP for FS employees.

462.2 PRIMARY RESPONSIBILITIES

a. The Principal Officer of an Operating Unit is responsible for managing his or her Operating Unit's performance evaluation program. This includes communicating objectives, goals, policies, procedures, and deadlines; ensuring compliance with the program; designating employees to play particular roles in the program; and keeping the Bureau for Management, Office of Human Resources (M/HR) abreast of important information concerning the Employee Evaluation Program.

b. Employees are responsible for participating in their own evaluation from

beginning to end. This includes helping to develop their performance plans, working toward the goals specified in the plan, evaluating themselves, and participating orally and in writing in review and feedback sessions.

c. The Rating Official is responsible for working closely with individual employees throughout the review cycle to create performance plans, evaluating performance, providing feedback, and revising plans as appropriate. These actions culminate with the Rating Official's responsibility to provide a complete Annual Evaluation Form (AEF) for the Appraisal Committee and M/HR.

d. The Appraisal Committee is responsible for reviewing and discussing AEFs and Skills Feedback Worksheets (SFWs) with Rating Officials, providing input to the evaluation, and formally approving the AEF. Throughout the evaluation process, the Appraisal Committee and individual members of the Committee must ensure that Rating Officials comply with the policy directives and required procedures in this chapter. The Appraisal Committee provides assistance to and helps to resolve conflicts for Rating Officials and employees.

f. M/HR is responsible for this program's formulation, monitoring, revision, and training. Additionally, as appropriate, M/HR is responsible for action against those who fail to comply with this program.

462.3 POLICY DIRECTIVES AND REQUIRED PROCEDURES

462.3.1 Employee Evaluation Program Basics

The Employee Evaluation Program (EEP) begins with the Principal Officer of each Operating Unit. The Principal Officer

- Establishes overall Operating Unit strategic objectives and communicates to employees the relationships among Agency goals and the Operating Unit's strategic objectives;
- Communicates information on the evaluation process to all employees in the unit, including establishing and publicizing internal deadlines and procedures for completing each phase of the process;
- Ensures the Operating Unit's adherence to Agency policies, procedures, and schedules governing the EEP; and
- Notifies M/HR of action that should be taken against employees who have failed to adhere to the policies, procedures, and schedules of the EEP.

In turn, M/HR initiates appropriate action against Agency management officials and employees who fail to comply with the policies, procedures, and schedules of the EEP. M/HR also formulates employee evaluation policies, procedures, and guidelines after

monitoring the operation and evaluating implementation of the EEP, and the related pay and awards systems affected by this program.

To understand the policies and procedures for each part of the evaluation cycle, you must first familiarize yourself with four important aspects of the EEP; appraisal periods, Rating Officials, Appraisal Committees (ACs), and the Annual Evaluation Form (AEF).

462.3.1.1 Appraisal Periods

USAID has established an appraisal period for Civil Service employees. The length of the appraisal period is one year, which runs from January 1 through December 31.

Appraisal Input Forms (AIFs) are to be completed whenever a Rating Official or employee is reassigned to another position. AIFs are to be completed no less than two weeks before the Rating Official or employee's departure.

462.3.1.2 Rating Officials

A Rating Official is an employee's supervisor as designated by the Principal Officer of the Operating Unit. Rating Officials play an essential role in the EEP since they

- Develop work objectives and performance measures for each rated employee;
- Observe, evaluate performance, and provide ongoing feedback to each employee;
- Conduct a mid-cycle review with each employee;
- Review the employee's self-assessment and work products, gather additional performance information from relevant sources (360 degree input), draft the Annual Evaluation Form (AEF) (AID Form 462-1) and Skills Feedback Worksheet (SFW) (AID Form 462-3) and discuss both with the AC;
- Revise the draft AEF as directed by the AC;
- Discuss the approved AC and SFW with each rated employee; and
- Prepare AIFs for employees who they have supervised for more than 30 days.

462.3.1.3 Appraisal Committees (ACs)

ACs provide an organizational perspective of an employee's performance. The committees also ensure that all AEFs are equitable and objective. An AC or AC Representative is involved with almost every aspect of the EEP.

* An asterisk indicates that the adjacent material is new or substantively revised.

a. AC Functions

ACs

- Review and approve work objectives and performance measures for all Operating Unit employees.
- Certify that mid-cycle reviews have been conducted for all unit employees.
- Assist Rating Officials with employee performance problems, including resolving conflicts between Rating Officials and employees.
- Review and discuss AEFs and SFWs with Rating Officials, providing input to the evaluation, and formally approving the AEF. This review includes ensuring that Rating Officials obtained 360 degree input and used it appropriately; ensuring that Rating Officials reviewed and considered employee self-assessments; and ensuring that evaluations are properly prepared and are equitable and objective.

b. Who is on the AC?

ACs must include at least three members, not including Rating Officials. Rating Officials who are members of an AC must recuse themselves as members and may not participate in AC deliberations when the AC reviews the AEFs they prepared as Rating Officials and when the AC reviews their AEF.

At least one member of the AC other than the Rating Official must be familiar with the work of the rated employee whose performance the AC will review. Large Operating Units must establish more than one AC to effectively review all employees.

The Principal Officer for each Operating Unit must establish the AC. The Officer must appoint only U.S. direct-hire employees to ACs. Probationary CS and Career Candidate FS employees are not eligible to serve on ACs. The Principal Officer may appoint supervisors, managers, or other individuals who have knowledge of the work of the Operating Unit. The Principal Officer may establish team-based ACs.

462.3.1.4 Annual Evaluation Form (AID Form 462-1)

The Annual Evaluation Form (AEF) (AID Form 462-1) is used to evaluate the performance of all U.S. direct-hire employees other than Foreign Service and Senior Foreign Service, Foreign Service Nationals, Senior Executive Service employees, and Presidential Appointees. Completed AEFs are not official records of performance until approved by the appropriate AC. Draft AEFs must not be discussed or shared with employees.

All AEFs must be prepared by the Rating Official and approved by the unit AC.

When completing the AEF, do not exceed the space allowed. Complete the forms in 10 point Universal font only (or 10 or 12 pitch type if you are using a typewriter).

The AEF consists of five sections:

a. Section 1 – Administrative Details

The Rating Officials must complete this section throughout the rating cycle.

b. Section 2 – Role in the Organization

Rating Officials are to describe the employee's role in the organization in terms of number of employees supervised, the size of the unit, and its relation to the Agency or strategic goals.

c. Section 3 – Work Objectives and Performance Measures

- Rating Officials, in consultation with employees, establish work objectives and performance measures, which describe the expectations of the employee for the year. The AC Representative must review and approve work objectives before they are considered official. The employee's signature in Section 1 indicates that the employee was given a copy of the document and that it was discussed with the employee.
- Rating Officials are to indicate whether the work objective is critical or noncritical.
- At the end of the rating cycle, Rating Officials are to assign an adjectival rating for each work objective and performance measure. The adjectival ratings are Exceptional, Excellent, Effective, Needs Improvement, or Unacceptable. Based on the adjectival ratings of work objectives, the Rating Official must include a summary rating on page 1 of the AEF.

d. Section 4 – Assessment of Work Objectives and Performance Measures

Rating Officials are to prepare a written assessment of the employee's accomplishments.

e. Section 5 – Assessment of Skills and Potential

Rating Officials are to assess the employee's demonstration of skills.

462.3.2 Performance Plans

Performance plans are documents prepared by the Rating Official in consultation with

the employee that contain statements of performance expectations and results to be achieved. The plan informs the employee of the standards by which his or her performance will be judged. Performance plans consist of work objectives and performance measures.

The AC Representative approves the performance plan and gives it to the employee within 45 days after the beginning of

- The annual rating cycle, or
- The employee's assignment to a new position.

462.3.2.1 Work Objectives

Employees and their Rating Officials are to collaborate in the development of work objectives. Work objectives must be within the employee's control to accomplish. Performance plans must have no less than two work objectives.

Work objectives must be commensurate with an employee's official position. Rating Officials are to designate work objectives as either critical or noncritical.

462.3.2.2 Performance Measures

Employees and their Rating Officials must define at least one performance measure for each work objective. Performance measures establish the qualitative or quantitative standards expected from the employee.

Performance measures must be written at the Effective level.

462.3.2.3 Review and Approval of Performance Plans

An AC Representative is assigned to each Operating Unit to serve as a liaison between employees, Rating Officials, and the AC. The AC Representative will

- a. Review, provide input, and approve performance plans for all employees in the Operating Unit; and
- b. Review and approve any substantive revision of work objectives or performance measures during the rating period.

An employee's performance plan becomes effective when approved by the employee's AC Representative.

462.3.3 Unacceptable Performance

If an employee is not performing satisfactorily against established work objectives and

* An asterisk indicates that the adjacent material is new or substantively revised.

performance measures or is displaying deficiencies in specific skill areas, the Rating Official must provide early and constructive feedback in writing outlining the measures the employee must take to improve.

462.3.3.1 Unacceptable Performance by Civil Service Employees

When a CS employee's performance fails to meet established performance measures at an acceptable level in one or more critical elements, the Rating Official must notify the employee in writing. The notice must advise the employee

- That his/her performance is unacceptable;
- Which critical elements and performance measures are being performed unacceptably;
- What is needed to perform at a level above the Unacceptable rating level (a written performance measure for the Needs Improvement level);
- Of any assistance that will be provided;
- Of the reasonable opportunity period to demonstrate acceptable performance; and
- That failure to perform at an acceptable performance level may result in removal, reduction in grade, withholding of a within grade increase, or reassignment depending upon the performance factors.

If the employee demonstrates acceptable performance during the opportunity period, the Rating Official must retain the notice of unacceptable performance for one year from the date the opportunity period became effective. Acceptable performance means performance that meets the employee's performance measure(s) at the Needs Improvement level in the work objective at issue.

462.3.4 Progress Reviews

Rating Officials must conduct at least one progress review with each employee, normally at mid-cycle, during an appraisal period and are encouraged to provide progress reviews to employees on a continuous basis throughout the rating cycle.

For the mid-cycle progress review, employees must provide their Rating Official with the names of customers, peers, subordinates (if any), and any other person with whom they may have worked during the rating cycle who can provide their Rating Official with information about their performance.

During progress reviews, Rating Officials and employees are to discuss the employee's progress toward achieving work objectives. If an employee's progress toward achieving

work objectives is unacceptable, the Rating Official must notify the employee in writing about his or her unacceptable performance and give the employee an opportunity to improve.

Rating Officials must document on the AEF any revisions, additions, or deletions of work objectives and performance measures.

The Rating Official, employee, and AC Representative must sign the AEF, indicating that a mid-cycle progress review took place and that the AC approved any revisions.

462.3.5 Gathering Appraisal Information

Rating Officials must base employee performance appraisals on multiple sources of information, including the following:

- a. Direct observation of performance and evaluation of representative work products;
- b. The employee's self-assessment of performance;
- c. Information solicited from individuals who can provide informed views of the employee's performance during the rating cycle (360 degree input sources);
- d. The AIF; and
- e. The review and input of the members of the unit's AC.

462.3.5.1 Employee Self-Assessments

At the end of an appraisal period, employees must provide Rating Officials with a written assessment of their performance during the appraisal period. Employees must note on the self-assessments whether they received an AIF and which office prepared it.

462.3.5.2 360 Degree Input Sources

a. Employee Submission of Names

At the end of the appraisal period, employees must also provide the Rating Official with the names of customers, peers, subordinates (if any), and any other person with whom they may have worked during the appraisal period who can provide the Rating Official with information about their performance. Rating Officials must contact at least three of these sources for performance information.

b. Agreeing on 360 Degree Input Sources

Rating Officials and employees are required to agree on at least three individuals whom

the Rating Official will contact to gather performance information. Rating Officials are free to contact more than three individuals on the employee's list or other sources deemed appropriate by the Rating Official. If the Rating Official and employee cannot agree on at least three individuals, the AC Representative will decide the matter.

Rating Officials of supervisors have a mandatory requirement to contact no fewer than two of the supervisor's subordinates for information about the supervisor's human resource management skills.

c. Soliciting Input from 360 Degree Input Sources

When questioning 360 degree input sources, Rating Officials must focus their questions on job-relevant discussions of work objectives and performance measures. It is the Rating Official's responsibility to reconcile any differences of opinion and determine which viewpoint is most accurate. It is not appropriate for the Rating Official to convene a meeting of 360 degree input sources to discuss an employee in order to resolve conflicting input.

Rating Officials' notes on feedback from 360 degree input sources are personal working notes. There is no requirement to maintain these notes or provide them to the employee. However, if significant performance problems are identified during the process that will result in an evaluation of less than Effective, then the Rating Official must maintain supporting documentation obtained from all sources and share it with the AC if requested.

Rating Officials should be prepared to discuss 360 degree performance information with the AC if requested and to provide the names of such contacts if the AC chooses to consult these individuals independently.

***462.3.5.3 Appraisal Input Form (AIF)**

*The rater who is supervising the employee on December 31 is the rater of record and must complete the final AEF regardless of the number of days the employee has been under his/her supervision. The rater of record must use Appraisal Input Forms (AIFs) and any other 360 degree information to complete the final AEF.

*The raters of the employee must complete an AIF when a supervisor or employee changes jobs and when the employee has been supervised for at least 30 calendar days. The AIF records performance for performance standards and work objectives (if applicable) with performance measures. The Rating Official must

- *Complete the AIF at least two weeks before either the employee or the Rating Official changes jobs;
- *Provide the employee with the AIF at least five days prior to the performance feedback meeting;
- *Hold a mandatory meeting with the employee to review and discuss the AIF;

and

- *Forward the AIFs, with optional employee response, to the employee's next Rating Official (or Administrative Officer) within two days after completion.

If an employee is on temporary duty (TDY) at another duty station for 30 days or more, an appropriate official at the TDY duty station must prepare an AIF on the performance of the employee for the employee's Rating Official.

462.3.6 Final AEF

Using the multiple sources of information described in Section [462.3.5](#), Rating Officials must prepare final AEFs. Rating Officials must determine as a factual matter how the employee performed the performance measures of each work objective.

462.3.7 Rating of Record

Every employee must receive a rating of record. A rating of record is the performance rating prepared at the end of the appraisal period for performance over the entire period. Ratings of record include adjectival performance ratings for each work objective and a summary rating.

If a rating of record cannot be prepared at the end of the rating cycle, the appraisal period must be extended. A rating of record must be prepared any time the minimum appraisal period has been met.

Do not assign a rating of record for employees solely for affecting a Reduction In Force (RIF) retention standing.

ACs must not assign ratings of record according to a predetermined or forced distribution. All ratings of record must reflect the employee's performance against specific work objectives.

462.3.7.1 Adjectival Ratings for Work Objectives

For each employee, the Rating Official must assign an adjectival rating. A CS employee's rating of record must be consistent with the procedures for deriving summary ratings in [462.3.7.2](#) below.

The five adjectival ratings follow:

- Exceptional: Work performance always exceeds established performance measures and expectations.
- Excellent: Work performance almost always exceeds established performance measures and expectations.

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- Effective: Work performance consistently meets and occasionally exceeds established performance measures and expectations.
- Needs Improvement: Work performance meets some established performance measures and expectations.
- Unacceptable: Work performance does not meet established performance measures or expectations.

462.3.7.2 Summary Ratings

All employees must be assigned a summary rating based on the adjectival ratings of each of the employee's work objectives, as follows:

- Exceptional (Level 5): A summary rating at the exceptional level must be assigned when all critical elements are rated at the Exceptional level and no critical element is lower than Exceptional.
- Excellent (Level 4): A summary rating at the Excellent level must be assigned when any critical element is rated at the Excellent level and no critical element is rated lower than Excellent.
- Effective (Level 3): A summary rating at the Effective level must be assigned when any critical element is rated at the Effective level and no critical element is rated lower than Effective.
- Needs Improvement (Level 2): A summary rating at the Needs Improvement level must be assigned when any critical element is rated at the Needs Improvement level and no critical element is rated lower than Needs Improvement.
- Unacceptable (Level 1): A summary rating at the Unacceptable level must be assigned if any critical element is rated at the Unacceptable level.

462.3.8 Appraisal Committee Review and Approval of the Evaluation

ACs are responsible for reviewing and discussing each employee's AEF and SFW with the responsible Rating Official.

The SFW is prepared by the Rating Official and reviewed and discussed by the AC along with the draft AEF.

When reviewing an employee's evaluation, ACs have the authority to review self-assessments, contact anyone (including the employee and selected 360 degree input sources), and review documents relied upon by the Rating Official.

ACs are responsible for ensuring that AEFs are balanced, fair, and accurate.

ACs will consider statements prepared by the Offices of Financial Management, Procurement, and the General Counsel.

ACs have the authority to direct or make substantive changes to an AEF.

ACs will not approve any AEFs containing:

- a. Inadmissible comments,
- b. Internal inconsistencies,
- c. Insufficient examples of specific performance,
- d. Failure to discuss all work objectives,
- e. Indications of hasty or insufficient preparation, or
- f. Improper formatting.

AC members who reviewed and approved final AEFs are to sign the AEF.

ACs have the authority to request the Principal Officer to forward to M/HR for appropriate disciplinary action the name of any employee who fails to adhere to the policies, procedures, and schedules of the EEP.

462.3.9 Employee Feedback Sessions

AEFs must only be given to employees after the AC has approved them and the Rating Official and members of the AC have signed them.

Rating Officials must conduct end-of-appraisal-period performance reviews with employees. Rating Officials are to discuss the employee's evaluation, areas for improvement, and career development needs and goals. Career development discussions may result in proposed formal training and on-the-job training.

The Rating Official must use the Skills Feedback Worksheet (SFW) (AID Form 462-3) as a feedback tool and provide the employee with a copy. This document is not submitted to M/HR but remains with the employee and the Rating Official.

Employees must be given the opportunity to express any concerns with the evaluation and are strongly encouraged to prepare an Employee Statement (AID Form 462-2) after such discussions. Employees have 10 working days during which to review the approved AEF and prepare an Employee Statement, if desired.

Employees may also request modification to their final AEF.

462.3.10 Reconsideration of AEFs

An employee may request his or her Rating Official to modify the final AEF if he or she finds inconsistencies, factual errors, or gross omissions as follows:

- a.** The employee has 10 working days from date of receipt of his or her AEF in which to bring this matter to the attention of his or her Rating Official.
- b.** Rating Officials have two working days in which to determine whether to accept or reject in whole or in part the employee's request for modification of his or her AEF. If the decision is to accept an employee's request in whole or in part, the Rating Official must submit the revised AEF to the AC for its approval.
- c.** An employee may appeal a Rating Official's determination to the AC and request a meeting with the AC.
- d.** An employee must provide all supporting documentation for his or her request at the time the appeal is made to the AC.
- e.** ACs must review the request and the documentation and determine whether the AEF contains inconsistencies, factual errors, or gross omissions.
- f.** If the AC determines that the AEF contains inconsistencies, factual errors, or gross omissions, it may modify the AEF or instruct the Rating Official to eliminate inconsistencies or factual errors, or add omitted information in the AEF.
- g.** The AC must provide the employee with a modified AEF or a memorandum, noting any modifications it would not approve. The AC's decision is final.

462.3.11 Submission of Annual Evaluation Forms

The AMS, EXO, or other employee designated by the Principal Officer must forward approved AEFs to the Bureau for Management, Office of Human Resources, Executive Management (M/HR/EM) for retention in the employee's Official Performance File (OPF) and distribution as appropriate. The Principal Officer of an Operating Unit is responsible for ensuring that all AEFs are submitted to M/HR.

All AEFs submitted after the prescribed due dates must include a statement explaining the reasons for the lateness. M/HR/EM will review these statements to determine whether the delays have been adequately explained. If it is determined that the delay was not justified, M/HR/EM will refer the matter to the DAA/M/HR, who will decide what action should be taken. Actions may include denying or reducing any award or performance bonus for the year in which the AEFs were due.

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462.3.12 Training

All Agency employees receive training and information about the EEP. Information will include a guidebook (see mandatory reference, [EEP Guidebook Part 2, Civil Service](#)) describing the operation of the program and the roles and responsibilities of employees, Rating Officials, and ACs. In addition to this and Agency-sponsored supervisory and managerial courses and other learning activities, Operating Units may request special briefings or training sessions on the program.

462.4 MANDATORY REFERENCES

462.4.1 External Mandatory References

- a. 5 CFR Part 430 (Authority)
- b. 5 CFR Part 432 (Authority)

462.4.2 Internal Mandatory References

- *a. [Employee Evaluation Program Guidebook Part 2, Civil Service](#)

462.4.3 Mandatory Forms

- a. **AID Form 462-1, Annual Evaluation Form**
[Note: This document is only available on the intranet (<http://inside.usaid.gov/forms/>). Please contact ads@usaid.gov if you need a copy.]
- b. **AID Form 462-2, Employee Statement**
[Note: This document is only available on the intranet (<http://inside.usaid.gov/forms/>). Please contact ads@usaid.gov if you need a copy.]
- c. **AID Form 462-3, Skills Feedback Worksheet**
[Note: This document is only available on the intranet (<http://inside.usaid.gov/forms/>). Please contact ads@usaid.gov if you need a copy.]
- *d. **AID Form 400-1B, Appraisal Input Form**
[Note: This document is only available on the intranet (<http://inside.usaid.gov/forms/>). Please contact ads@usaid.gov if you need a copy.]

462.5 ADDITIONAL HELP

* An asterisk indicates that the adjacent material is new or substantively revised.

462.6 DEFINITIONS

The terms and definitions listed below have been incorporated into the ADS Glossary. See the [ADS Glossary](#) for all ADS terms and definitions.

360 degree sources

Customers, peers, other managers, subordinates, and other individuals with whom or for whom an employee may have worked who can provide feedback, from their various perspectives, about the employee's performance during any period of performance currently being evaluated. (Chapters 461, 462)

acceptable level of competence

For the Civil Service, an acceptable level of competence means "Effective" performance by an employee of the duties and responsibilities of their assigned position which warrants advancement of the employee's rate of basic pay to the next higher step of the grade of their position. (Chapter 462)

annual rating cycle (Civil Service)

A one-year evaluation period, which runs from January 1 through December 31. (Chapter 462)

Appraisal Committee (Civil Service)

A committee that reviews and provides management input into employee work objectives and evaluations. (Chapter 462)

Appraisal Committee Representative

A member of the Appraisal Committee (AC), who acts as liaison to the AC for a specific employee and his/her Rating Official. (Chapters 461, 462)

Appraisal Input Form (AIF)

An evaluation form covering a period of performance that is long enough to require written documentation of performance against an established performance plan but not long enough to be considered representative of the employee's performance for the entire annual rating cycle. (Chapters 461, 462)

critical element

A work objective that contributes to accomplishing organizational goals and objectives and is of such importance that unacceptable performance would result in unacceptable performance in the position. (Chapter 462)

Effective rating

Indicates that performance meets the performance measures established for a work objective. (Chapter 462)

feedback

Communicating to employees the extent to which their performance does not meet,

meets, or exceeds expectations, the adequacy of their relevant skills, and their progress toward career development goals. (Chapters 461, 462)

mid-cycle review

A mandatory progress review to be held by the Rating Official and employee at the mid-point in the appraisal period. (Chapters 461, 462)

minimum appraisal period

The minimum performance period that must be completed before a performance rating can be given. (Chapters 461, 462)

noncritical element

A work objective that, while sufficiently important to be documented on the Annual Evaluation Form (AEF), would not result in an Unacceptable summary rating for the annual rating cycle if performance on this objective was unacceptable. (Chapter 462)

opportunity period

The period during which an employee is given a reasonable time to demonstrate acceptable performance in an area where the performance had been determined to be unacceptable. (Chapter 462)

performance awards

Awards based on an employee's approved AEF for the rating cycle. (Chapter 462)

performance measure

Statements of standards (qualitative or quantitative) that measure an employee's achievement of a given work objective. (Chapter 462)

performance plan

The completed Annual Evaluation Form at the beginning of the performance cycle, which consists of work objectives and performance measures. (Chapters 461, 462)

performance rating

A written appraisal of performance compared to the performance measure(s) for each critical or noncritical element on which there has been an opportunity to perform for the minimum period. (Chapter 462)

Principal Officer

The most senior officer in a USAID Operating Unit, who establishes the Appraisal Committees for that Operating Unit, e.g., Assistant Administrator, Independent USAID/W Office Director, Mission Director, or USAID Representative. (Chapters 461, 462)

progress review

Progress reviews are held periodically throughout the rating cycle, during which the

* An asterisk indicates that the adjacent material is new or substantively revised.

Rating Official provides feedback to the employee about performance or progress toward career development goals. Also see mid-cycle review. (Chapters 461, 462)

Rating Official

The employee's supervisor or team leader as designated by the Principal Officer. (Chapters 461, 462)

rating of record

The performance rating prepared at the end of the appraisal period for performance over the entire period and the assignment of a summary rating. (Chapter 462)

summary rating

An adjectival rating based on the adjectival ratings of each of the employee's work objectives (Exceptional, Excellent, Effective, Needs Improvement, or Unacceptable). (Chapter 462)

Unacceptable performance

Performance that fails to significantly meet the performance measure established for a work objective. (Chapter 462)

within grade increase

A periodic increase in an employee's rate of basic pay from one step of the grade of his/her position to the next higher step of that grade. (Chapter 462)

work objectives

Expectations for an employee established by management for a particular rating period. (Chapters 461, 462)

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