

**UNITED STATES DEPARTMENT OF AGRICULTURE  
RURAL DEVELOPMENT**

<b>Rural Business Cooperative Service</b>	<b>601 Business Loop 70 West</b>	<b>(573)876-0976</b>
<b>Rural Housing Service</b>	<b>Parkade Center, Suite 235</b>	<b>FAX (573)876-0977</b>
<b>Rural Utilities Service</b>	<b>Columbia, MO 65203</b>	<b>TDD (573)876-9480</b>

---

For Administrative Use Only

Missouri RD AN No. 1443 (2060-A)

September 10, 2007

TO: All Rural Development Staff

FROM: Gregory C. Branum  
State Director, Rural Development

SUBJECT: 2007 Performance Appraisals and 2008 Performance Plans

**PURPOSE/INTENDED OUTCOME:**

This AN is issued to provide instructions on completing the 2007 Performance Appraisal, Form AD-435, and to provide guidance on completing the 2008 Performance Plan, Forms AD-435 A & B.

**COMPARISON WITH PREVIOUS AN:**

This AN replaces Missouri AN No. 1438 dated September 26, 2006.

**IMPLEMENTATION RESPONSIBILITIES:**

Rural Development's performance appraisal cycle is October 1 through September 30 of each year. Each employee should have a Performance Plan, Forms AD-435 A & B, in place for this period and the information entered into EmpowHR. There should be at least one progress review during the appraisal cycle. The rating official should have entered the review in EmpowHR and the employee should have viewed it in EmpowHR so that EmpowHR will indicate the progress review was held.

Supervisors are required to complete a Rating of Record on each employee within 30 days after the end of the appraisal period. The employee's performance should be rated for each element as "Exceeds Fully Successful", "Meets Fully Successful", or "Does Not Meet Fully Successful". Documentation is required for any element appraised as "Does Not Meet Fully Successful" or "Exceeds Fully Successful". Ratings of record must be approved by the reviewing official prior to communicating the rating to the employee.

Instructions on entering the Ratings in EmpowHR are attached to this AN.

If an employee is not performing at the “Meets Fully Successful” level in any critical element, the summary rating must be “Unacceptable”. Supervisors should not complete the rating on any employee with unacceptable performance. Instead, they should consult with the second line supervisor (Area Director or State Director) and contact Linda Zamarione in the Field Services Branch immediately for specific guidance. (An “Unacceptable” rating requires written comments to be attached to the Performance Work Plan/Appraisal and must be signed by the rating official and reviewing official prior to presenting to the employee for signature.) “Results Not Achieved” ratings will not be entered in EmpowHR until all of the above has been accomplished.

If an employee’s Rating of Record is “Marginal”, any within-grade increase must be withheld until the most recent Rating of Record is “Fully Successful”. Supervisors should contact Linda Zamarione on any employee receiving a “Marginal” rating.

Supervisors should use the rating conference as an opportunity to discuss areas of performance that could be improved as well as to provide specific positive feedback. Employees should also be allowed to provide feedback during the conference. Once the Rating of Record has been entered in EmpowHR, the Reviewer has concurred, and the employee has viewed the rating, supervisors should send Linda Zamarione an email indicating the process is complete for all subordinate employees. This should be accomplished **no later than November 5, 2007**. Both the employee and supervisor can print out a copy of the Rating through the EmpowHR system. Physical signatures are not required; the electronic version will suffice.

#### **2008 PERFORMANCE PLANS:**

The performance elements and standards that have been provided to the Area and Program Directors should be used for FY 2008. If a supervisor needs to deviate from the elements and standards provided, please contact Linda as certain criteria must be met.

The 2008 Performance Plan should be initiated through EmpowHR within 30 days of the beginning of the appraisal period. You will not need to obtain signatures; the electronic version will suffice.

Instructions on entering the Performance Plans into EmpowHR are included in this AN.

#### **REMINDER:**

Since the 5 tier performance management system requires concurrence of the Reviewer; the supervisor will no longer be required to finalize the plan in EmpowHR; it will be done by the Reviewer.

It is not necessary to send a copy of the 2008 plan to Linda.

If you have any questions concerning this AN, please call Linda at 314-335-8556.

## INSTRUCTIONS FOR ENTERING RATINGS AND PERFORMANCE PLANS IN EmpowHR (9/2006)

### 2007 SUMMARY RATING:

#### Supervisor will:

- Navigate through [Manager Self Service](#)>[Tasks](#)>[Performance](#)>[Summary Rating](#)
- Click [New Rating](#);
- Enter a plan start date or click the magnifying glass to select the applicable plan
- Click [Add](#);
- Click the [Elements and Standards](#) tab;
- Click the [View All](#) link to display each element;
- Click the magnifying glass to display the element rating model or enter the applicable numerical value (**6** Exceeds Fully Successful, **7** Meets Fully Successful **8** Does not Meet);
- Enter a summary rating for each element;
- Click the [Summary Rating](#) tab. The system will automatically calculate the Overall Summary Rating and enter the corresponding number in the summary rating box on the first page.
- Enter comments; if more space is needed, click [MORE COMMENTS](#)  
**Note:** documentation must be entered in EmpowHR for any element rated as “Exceed Fully Successful” or “Does Not Meet Fully Successful”. If there is not sufficient space, enter “See Attached” in the Comments and prepare a separate document with the comments. Since this will not be included in the electronic process, the supervisor and employee will need to date and sign the document. The employee should be given a copy and the supervisor should retain the original. A copy will also need to be mailed to Martha Newsom as she will be printing copies of the Performance Plans and Ratings for inclusion in the Performance folder of the OPFs.
- **Save** summary rating.

#### Reviewer will:

- Click the [Worklist](#) link and select the appropriate performance action; **or**
- Navigate through [Manager Self Service](#)>[Tasks](#)>[Performance Reviewer](#) for a list of subordinate supervisors;
- Click the box next to the appropriate supervisor and a list of their employees will display;
- If a rating has been entered a box for the date will be displayed;
- Enter the plan start date or click the magnifying glass to select the applicable date;
- Click the box next to the applicable employee and their summary rating will display;
- If necessary add comments or modify the summary rating;
- Click [Concurred with Rating](#) in the Reviewer box;
- **Save** summary rating.

**NOTE:** The rating will not be sent to NFC until after the Reviewer concurs.

**Employees will:**

- Click the [Worklist](#) link **or** navigate through [Employee Self Service>Tasks>Summary Rating](#);
- Click the applicable Plan date;
- Click the [Elements and Standard](#) tab;
- Click the [View All](#) link to review the element rating;
- Click the [Performance Plan](#) Tab;
- Enter comments;
- Click the [Viewed/Discussed](#) or [Refused Rating](#) box . Note that an employee's checking of the [Viewed/Discussed](#) box does not signify agreement with the rating, only that the rating was received by the employee.
- **Save** summary rating.

**2008 PERFORMANCE PLAN**

**Supervisor will:**

- Navigate through [Manager Self Service>Tasks>Performance](#);
  - Click [Performance Plan](#) and a list of employees will display;
  - Click [New Plan](#);
  - Enter a start date;
  - Enter the [Rating Scale](#) ([H] 5 Tier or click the magnifying glass to display a list of the rating scale definitions;
  - Click the [Elements and Standard](#) Tab;
  - Click the [plus \(+\) button](#) to add each Element and Standard individually;
  - Click the [View All](#) link to display each element;
  - Click the magnifying glass to display a list of elements or enter the element number. [Supervisors should use only the elements provided by the Area Director or State Office](#). Additional elements should not be added. The language in the standards being provided differs from the language in the generic standards in EmpowHR. Supervisors should [delete the generic language and paste in the language being provided](#).
  - Select a [Critical Indicator](#) (Critical or Non-Critical). At least one **MUST** be non-critical;
  - **Save** the performance plan and the current date will automatically display in the Supervisor's box on the performance plan page.
- 
- If necessary, click the "Return to Employee List" to enter additional plans.

**Employees will:**

- Click the [Worklist](#) link **or** navigate through [Employee Self Service>Tasks>Performance](#) and select [Existing Plan](#);
- If necessary, click the applicable plan date;

- Click the [Elements and Standard](#) tab;
- Click the [View All](#) link to display each element;
- Click the [Performance Plan](#) tab;
- Click the [Viewed/Discussed](#) or [Refused to Sign](#) box. Note that an employee's checking of the [Viewed/Discussed](#) box does not signify agreement with the plan, only that the plan was discussed/received by the employee.
- **Save** performance plan.

**Reviewer will:**

- Click the [Worklist](#) link and select the appropriate performance action; **or**
- Navigate through [Manager Self Service](#)>[Tasks](#)>[Performance Reviewer](#) for a list of subordinate supervisors;
- Click the box next to the appropriate supervisor and a list of their employees will display;
- If a plan has been entered, a box for the plan start date will be displayed next to the employee;
- Enter the plan start date or click the magnifying glass to select the applicable date;
- Click the box under the Select to Edit column and the plan will display;
- Click [Concurred](#) in the Reviewer box;
- **Save** performance plan.

**NOTE:** Since the 5 tier performance management system requires concurrence of the Reviewer; the supervisor will no longer be required to finalize the plan in EmpowHR; it will be done by the Reviewer.

EXPIRATION DATE: 9/30/08	FILING INSTRUCTIONS: Preceding Rural Development Inst. 2060-A
-----------------------------	--