

EMPLOYEE PERFORMANCE PLAN AND APPRAISAL

EMPLOYEE		TITLE	
EMPLOYEE ID#	SERIES AND GRADE	APPRAISAL PERIOD ____ to ____.	
ORGANIZATION			
Instructions			
PLANNING, DISCUSSING AND IMPLEMENTING THE PERFORMANCE PLAN			
<ul style="list-style-type: none"> • The Rating Official meets with the employee to discuss performance expectations • The employee has the opportunity to provide input to the performance plan • The Rating Official makes the final decision on performance elements and standards for the performance plan and the Reviewing Official approves • The Rating Official, Reviewing Official, and employee certify the review and approval of the performance plan by signing the <i>Planning Discussion</i> signature block below 			
RATING OFFICIAL NAME, TITLE (PRINT OR TYPE) AND SIGNATURE			DATE
REVIEWING OFFICIAL NAME, TITLE (PRINT OR TYPE) AND SIGNATURE			DATE
EMPLOYEE SIGNATURE			DATE
PROGRESS REVIEW DISCUSSION(S)			
<ul style="list-style-type: none"> • At a minimum, one progress review must be held during the appraisal period, generally mid-way through the performance period • The employee has the opportunity to provide work examples or accomplishments he/she has achieved over the appraisal period • Progress reviews may be given at any time during the appraisal period • At the progress review, the Rating Official and employee may modify the plan if necessary. The Rating Official and employee must initial the <i>Progress Review</i> block below to document the decision 			
EMPLOYEE INITIALS	DATE	RATING OFFICIAL INITIALS	DATE
EMPLOYEE TRAINING AND DEVELOPMENT DISCUSSION			
<ul style="list-style-type: none"> • The Rating Official discusses training and development needs with the employee during the annual performance cycle • Either the Rating Official or employee may initiate a discussion during the appraisal period • Both the Rating Official and employee initial the Employee Training and Development Discussion block below 			
Comments on training and development discussion (attach additional notes if necessary).			
EMPLOYEE INITIALS	DATE	RATING OFFICIAL INITIALS	DATE
SUMMARY PERFORMANCE RATING BASED ON SUMMARY CONVERSION TABLE			
<input type="checkbox"/> OUTSTANDING 3.0 – 2.6	<input type="checkbox"/> HIGHLY SUCCESSFUL 2.5 – 1.6	<input type="checkbox"/> SUCCESSFUL 1.5 – 1.0	<input type="checkbox"/> UNACCEPTABLE Did not perform at an acceptable level on one or more elements
RATING OFFICIAL SIGNATURE		REVIEWING OFFICIAL SIGNATURE	
RATING OFFICIAL NAME and TITLE	DATE	REVIEWING OFFICIAL NAME and TITLE	DATE
ACKNOWLEDGEMENT			
I ACKNOWLEDGE RECEIPT AND DISCUSSION OF THIS PERFORMANCE APPRAISAL. I UNDERSTAND THAT MY SIGNATURE ON THIS FORM DOES NOT IMPLY AGREEMENT OR DISAGREEMENT WITH THIS RATING. (EMPLOYEE MAY ATTACH COMMENTS.)			
EMPLOYEE SIGNATURE			DATE

EMPLOYEE PERFORMANCE PLAN AND APPRAISAL

PERFORMANCE PLAN

EMPLOYEE	EMPLOYEE ID#	ELEMENT of .
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APPRAISAL PERIOD to .

<p>SMITHSONIAN STRATEGIC PLAN PRIORITY (must check one or more box(es) below) http://prism.si.edu/strategic-plan/index.htm</p> <p><input type="checkbox"/> Excellent Research <input type="checkbox"/> Broadening Access <input type="checkbox"/> Revitalizing Education <input type="checkbox"/> Cross Boundaries <input type="checkbox"/> Strengthening Collections <input type="checkbox"/> Enabling Our Mission Through Organizational Excellence</p>	<p>THE CHECKED STRATEGIC PLAN PRIORITY/PRIORITIES SUPPORT(S) THE FOLLOWING SMITHSONIAN GRAND CHALLENGES (must check one or more boxes below)</p> <p><input type="checkbox"/> Unlocking the Mysteries of the Universe <input type="checkbox"/> Understanding and Sustaining a Biodiverse Planet <input type="checkbox"/> Valuing World Cultures <input type="checkbox"/> Understanding the American Experience</p>
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Annual Unit Goal (must align with checked priority)

ELEMENT (The employee's work task or responsibility that supports the above goals.)

PERFORMANCE STANDARD OR EXPECTATIONS AT THE SUCCESSFUL LEVEL:

PERFORMANCE STANDARD OR EXPECTATIONS AT THE OUTSTANDING LEVEL:

<input type="checkbox"/> OUTSTANDING (3 points)	<input type="checkbox"/> HIGHLY SUCCESSFUL (2 points)	<input type="checkbox"/> SUCCESSFUL (1 point)	<input type="checkbox"/> UNACCEPTABLE (0 points)
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NARRATIVE SUMMARY OF Actual Performance (*mandatory for unacceptable, outstanding, and highly successful*)

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EMPLOYEE PERFORMANCE PLAN AND APPRAISAL		
MID-CYCLE REVIEW		
Completion of this page is mandatory only when performance is evaluated at the Unacceptable level, but may be used at the supervisor's discretion for other rating levels.		
EMPLOYEE	EMPLOYEE ID#	TITLE
APPRAISAL PERIOD to		
MID-CYCLE REVIEW (Check appropriate box)		
<input type="checkbox"/> 1. Review indicates performance is Successful or better (written narrative and filling out the below boxes are optional).		
<input type="checkbox"/> 2. Review indicates performance is Successful; however, there are performance deficiencies, as stated below in the narrative.		
<input type="checkbox"/> 3. Review indicates performance is unacceptable and a performance improvement plan is needed. Areas of concern are stated below. If this block is checked, the Rating Official must take corrective action.		
KEY ACHIEVEMENTS: Summarize the employee's significant achievements.		
AREAS OF CONCERN: Must be filled in if box 2 or box 3 above is checked. Be specific and relate these to individual performance elements. Note deficiencies or areas where performance has declined during the rating period.		
SUGGESTIONS/STRATEGIES FOR IMPROVEMENT: List areas in which the employee might enhance performance. Comments can also identify suggestions for career growth and development.		

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SUMMARY PERFORMANCE APPRAISAL												
EMPLOYEE	EMPLOYEE ID#											
APPRAISAL PERIOD	FROM:	TO:										
NUMERICAL SUMMARY RATING (TOTAL AND AVERAGE OF RATING POINTS FOR ALL ELEMENTS): _____ divided by _____ Equals _____ (total points) (# of elements) (average points and numerical summary rating)												
PERFORMANCE RATING BASED ON SUMMARY CONVERSION TABLE: Use "Summary Conversion Table" to determine rating based on score _____												
<table style="width: 100%; border: none;"> <tr> <td style="width: 35%;"></td> <td style="text-align: center;">Summary Conversion Table</td> </tr> <tr> <td></td> <td style="text-align: center;">3.0 – 2.6 = Outstanding</td> </tr> <tr> <td></td> <td style="text-align: center;">2.5 – 1.6 = Highly Successful</td> </tr> <tr> <td></td> <td style="text-align: center;">1.5 – 1.0 = Successful</td> </tr> <tr> <td></td> <td style="text-align: center;">Below 1.0 = Unsuccessful</td> </tr> </table>				Summary Conversion Table		3.0 – 2.6 = Outstanding		2.5 – 1.6 = Highly Successful		1.5 – 1.0 = Successful		Below 1.0 = Unsuccessful
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SUMMARY COMMENTARY OF KEY ACHIEVEMENTS AND RESULTS (May include individual development goals or milestones for career growth.)												

Definitions and Instructions

Smithsonian Strategic Plan Priority - The Smithsonian priorities that are supported by the acceptable performance of the corresponding element (mandatory). These priorities are described in the Strategic Plan. The web link to the Strategic Plan is: <http://prism.si.edu/Strategic-Plan/index.htm>.

Smithsonian Grand Challenges – The Smithsonian challenges that provide an overarching strategic framework for Smithsonian program and operations (mandatory). These challenges are defined in the Strategic Plan. The web link to the Strategic Plan is: <http://prism.si.edu/Strategic-Plan/index.htm>.

Annual Unit Goals - The Unit's yearly goals that support long-range strategic goals (optional)

Performance Standard - A description of the accomplishments or results expected for each element. One or more standards must describe the results an employee is expected to accomplish in order to support SI or organizational goals. Each standard must describe expected performance at the Successful level.

Rating Levels and Assigned Points

Outstanding — (3 points) — Consistently Exceeds Expectations

Performance dramatically exceeds expectations. Performance standards are consistently surpassed and completed in advance of time frames. Due to the individual's leadership, initiative, and/or creativity, accomplishments consistently extend beyond the expected outcomes and results to such extent that they have a direct and significant impact on enabling the Smithsonian to exceed its organizational performance metrics and goals, and establish new directions, priorities, or work processes.

Highly Successful — (2 points) — Frequently Exceeds Expectations

Performance frequently exceeds expectations. Tasks and accomplishments often exceed expectations in terms of quality and are often completed in advance of time frames. Due to the employee's initiative and foresight, accomplishments regularly extend beyond the described performance standards or assignments, and enable the Smithsonian to exceed some of its organizational goals.

Successful — (1 point) — Meets Expectations

Performance meets expectations. Tasks and accomplishments are completed in a high-quality and timely manner demonstrating considerable skill. Time frames are met or occasionally exceeded. Accomplishments directly contribute to meeting organizational goals.

Unacceptable — (0)

One or more critical elements are not performed at an acceptable level.

Numerical Summary and Conversion of Rating

Rate each element and assign a point value.

Add the assigned points for all elements.

Divide the total score by the number of elements.

Match the score to the corresponding rating in the Summary Conversion Table below.

If any element is rated at "Unacceptable," then the employee's performance must be rated at "Unacceptable" regardless of the rating on other individual elements and the total numerical average.

Summary Conversion Table

3.0 – 2.6	2.5 – 1.6	1.5 – 1.0	0
Outstanding	Highly Successful	Successful	Unacceptable