

This form is in a fillable PDF format. Type in the text boxes (use additional pages if more space is needed and indicate such in the appropriate text box); use the space key or mouse to add/delete checkmarks where appropriate.

PREPARATION

- Schedule an interview with each employee.
- Provide each employee with a copy of this form for self-evaluation.
 - NOTE: Self evaluation should be encouraged but not required.
- Complete this form prior to interview, commenting briefly on all performance elements. Those elements checked “Needs Improvement” or “Exceeds Expectations” require comment.
 - NOTE: Comments, negative or positive, should come as no surprise to the employee.
- Review the completed form with your manager prior to the employee interview.

INTERVIEW

- Meet with employee privately and without interruption.
- Review employee’s functional job description together with expectations and standards established and communicated at beginning of performance period.
- Discuss completed appraisal form(s), allowing for employee input.
- Encourage employee to make written comments on completed form.
- Sign the form in employee’s presence and secure his/her signature.

COMPLETING THE FORM

- If you use a word processor (PC) to complete this form, print a blank copy before you begin. This will ensure that your printer will print the form properly. Word processor font differences may affect the appearance of the form.
- With the Rating Category Key as your guide, clearly check (✓) the appropriate box for each element. Remember that these are behavioral elements and that your judgment in each case must be supported by fact.
- There are 23 performance elements for all employees and an additional 14 for supervisors and managers.
 - All 37 performance elements are stated at the “success” level and are to be considered the standard for “Meets Expectations.”
- Summarize the data on the Rating Score Sheet.

RATING CATEGORY KEY FOR DOP FORM EPA-3

- **Exceeds Expectations**
This overall evaluation demonstrates job performance at a level exceeding that of a satisfactory evaluation. The employee’s performance regularly surpasses the standards expected.
- **Meets Expectations**
This overall evaluation demonstrates success and competency in the performance of the job. The employee has produced the desired or intended results and completely satisfies the established standards and expectations.
- **Needs Improvement**
This indicates an overall performance that is unacceptable due to the employee’s own lack of effort or skills. The employee has not met the standards as expected and must take immediate corrective action.

NOTE: You will clearly check (✓) one of these three levels for each performance element (23 for all employees and an additional 14 for supervisors and managers). When you do so, you are comparing the employee’s actual performance to the standards and expectations established at the beginning of the performance period.



Use this form for the final review of the performance period. See instructions on the previous page.

EMPLOYEE INFORMATION		
Employee Name:	Social Security Number: (last 4 digits – to be completed by the employee)	
Position Title:	Supervisor's Name and Title:	
Department:		
Agency:		
Division (and Section):		
Rating Period: to	Type of Rating <input type="checkbox"/> Annual <input type="checkbox"/> Probationary <input type="checkbox"/> Special	Time in Present Position (in months)

RESPONSIBILITIES: Essential duties and responsibilities as identified in the functional job description.

PERFORMANCE STANDARDS and EXPECTATIONS: Objectives to be accomplished during this rating period.

ACKNOWLEDGEMENT: A discussion of duties, responsibilities, performance standards, and expectations for the current period took place on _____ (date from EPA-1 Form). We acknowledge our understanding of these items and how they will be used to measure work-related performance during this period.

_____ Supervisor's Signature		Date		_____ Employee's Signature		Date
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PERFORMANCE FACTORS and STANDARDS Check the rating for each appropriate category	NEEDS IMPROVEMENT	MEETS EXPECTATIONS	EXCEEDS EXPECTATIONS
MAINTAINS FLEXIBILITY			
Willingly accepts a variety of responsibilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Adapts to new situations in a positive manner	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Displays openness to learning and applying new skills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Works well with others to achieve organization's goals.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is resourceful and generally seeks work process improvements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COMMENTS: 			
DEMONSTRATES CREDIBILITY			
Shares information with others when appropriate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Acts independently while keeping supervisor informed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Performs work according to current guidelines and directives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintains personal appearance appropriate to job	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Exhibits ability to secure and evaluate facts before taking action	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COMMENTS: 			
CUSTOMER SERVICE			
Treats all customers with respect	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Responds to customers' needs within appropriate timeframes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Addresses conflicts and problem situations with patience and tact	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COMMENTS: 			

PERFORMANCE FACTORS and STANDARDS Check the rating for each appropriate category	NEEDS IMPROVEMENT	MEETS EXPECTATIONS	EXCEEDS EXPECTATIONS
QUANTITY OF WORK			
Work output matches expectations established	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Employee completes all assignments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Employee consistently meets deadlines	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COMMENTS: 			
QUALITY OF WORK			
Work results satisfy organization's goals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Work is organized and presented professionally	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Work product is thorough and complete	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Work product is free of flaws and errors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COMMENTS: 			
AVAILABILITY FOR WORK			
Employee's attendance supports the expected level of work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Employee's presence can be relied upon for planning purposes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Employee is a dependable team member	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COMMENTS: 			

Proceed to Page 4 to continue rating if employee is also a supervisor or manager; proceed to Page 5 if employee is not a supervisor or manager.

THIS PAGE IS FOR RATING SUPERVISORS AND MANAGERS ONLY: In addition the the 23 performance elements for all employees, supervisors and managers shall be rated on the following critical success factors: Leadership, Management, and Work Environment. Check the appropriate box for each of the 14 performance elements.

PERFORMANCE FACTORS and STANDARDS Check the rating for each appropriate category	NEEDS IMPROVEMENT	MEETS EXPECTATIONS	EXCEEDS EXPECTATIONS
LEADERSHIP			
Provides clear direction and purpose	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Models ethical workplace behavior	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Demonstrates influencing skills by setting goals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Empowers subordinates to achieve objectives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Acts to motivate, coach, and develop subordinates	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COMMENTS:			
MANAGEMENT			
Organizes and distributes work among subordinates	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Secures resources and audits their effective use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Communicates behavioral expectations and performance standards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Monitors, documents, and evaluates employee conduct and performance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Provides appropriate and timely feedback	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COMMENTS:			
WORK ENVIRONMENT			
Maintains a safe and healthy workplace	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Builds a team that reflects high morale, clear focus, and group identity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Encourages and provides opportunities for subordinates to obtain and apply new skills and knowledge	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Promotes equal opportunity and protects the rights of all employees	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COMMENTS:			

RATING SCORE SHEET FOR DOP FORM EPA-3

Enter the total number of checks in each rating category, then multiply by the assigned value.

RATING CATEGORIES	COUNT	MULTIPLIER	CATEGORY TOTALS
Exceeds Expectations		X 3 =	
Meets Expectations		X 2 =	
Needs Improvement		X 1 =	
TOTAL ELEMENTS RATED		TOTAL VALUE =	

To compute the rating score, divide the total value by the total number of elements rated* to find the overall rating score. Make certain to carry out your calculation to two decimal places. EXAMPLE: $44 \div 23 = 1.91$

*37 for a supervisor or manager; 23 for a non-supervisory/non-managerial employee

RATING SCORE			
TOTAL VALUE \div TOTAL ELEMENTS	\div	=	

Once the rating score is determined, enter it below as the Overall Rating Score. Find the corresponding alpha score on the key below and enter it in the Alpha Score column.

KEY	NUMERIC SCORE	ALPHA SCORE
	Rating of 1.00 to 1.50	Needs Improvement
	Rating of 1.51 to 2.50	Meets Expectations
	Rating of 2.50 to 3.00	Exceeds Expectations
SUMMARY	OVERALL SCORE	ALPHA SCORE

SUMMARY COMMENTS (to be completed by the supervisor or rater)

IMPROVEMENT and/or DEVELOPMENT PLAN (to be completed by the supervisor or rater)

REVIEWING MANAGER'S INITIALS

DATE

EMPLOYEE RESPONSE (to be completed by the employee)

EMPLOYEE CERTIFICATION

I certify that I have reviewed this Performance Appraisal Form. My signature below implies my acknowledgement of this review, and does not imply my agreement or my disagreement with the form's contents.

Supervisor's Signature

Date

Employee's Signature

Date

Reviewing Manager's Signature

Date