

**NON-LEAD SCIENTIST – NON-SUPERVISORY
PERFORMANCE PLAN**

PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET

1. Name (Last, First, M.I.) Position Title:	Pay plan, Series, Grade	Agency/Division	<p style="text-align: center;">APPRAISAL PERIOD</p> From: _____ To: _____
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2. PERFORMANCE ELEMENT No. 1 (Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)	X CRITICAL NONCRITICAL
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Element Number 1 - PLANS AND CONDUCTS PERSONAL AND TEAM RESEARCH

3. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)

Alignment to Strategic Plan: This position directly contributes to the accomplishment of ARS Strategic Goal No _____ and the ARS National Program _____. The elements of these Performance Standards reflect the specific milestones, outcomes, and accomplishments expected.

FULLY SUCCESSFUL LEVEL

- Expert contributions toward the development of Project Plans for required peer reviews reflect coherently written objectives and procedures relevant to his/her own facet of the Project Plan. Contributions are scientifically sound and accurate, grammatically correct, and are prepared within set deadlines. Project Plans are developed cooperatively with staff assigned to the project, the Lead Scientist, the Research Leader and as necessary, Laboratory/Center/Institute Directors, the Area Office and the Office of National Programs (ONP), in all phases of project development and preparation for the peer review process. Responses to peer review recommendations adequately address reviewers' concerns by making recommended changes in the Project Plans or by appropriate and constructive justification as to why the recommended changes were not made. Performs research as outlined in the approved Project Plan. Research progress reports are provided to the Lead Scientist, as required.
- Develops personal annual research plans that are innovative, organized, logical, original, and designed to address Current Research Information System (CRIS) objectives. This includes planning research and publications to meet ARS Guidelines on Authorship requirements [ARS P&P 152.1 and 152.2] for participation in conception or design of experiments, and/or analysis and interpretation of data.
- When appropriate, develops CRIS project documentations, agreements, technology transfer activities [Cooperative Research and Development Agreements (CRADAs), Material Transfer Agreements (MTAs), etc.], and extramural funding proposals that are consistent with Project Plan objectives or enhance research to address the Administration's research priorities.
- Conducts personal and team research according to the approved Project Plan. Executes research protocols so that the investigations generate timely, reliable and valid data that will yield meaningful contributions to knowledge or technology suitable for publication of original full-length articles in refereed journals or as other documentable evidence of accomplishment (patents, variety releases, model releases, etc.).
- Promotes effective communication and cooperation with colleagues in team research. Keeps Research Leader informed of progress in meeting CRIS project milestones and of any needed adjustments to CRIS objectives.

SPECIFIC GOALS FOR THE RATING PERIOD:

4. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating.)

| | EXCEEDS | | FULLY SUCCESSFUL
| | DOES NOT MEET

ACCOMPLISHMENTS:

5. CERTIFICATION OF DEVELOPMENT AND RECEIPT OF PLAN

Signatures certify discussion with the employee and receipt of plan that reflects current position description

Employee's	Date
Supervisor's Signature	Date
Reviewer's Signature	Date

6. PROGRESS REVIEWS (at least one must be completed)

Employees' Initials and Date			Supervisor's Initials and Date		

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2. PERFORMANCE ELEMENT No. 2 (Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)	X CRITICAL NONCRITICAL
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Element Number 2 - REPORTS RESEARCH RESULTS

3. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)

FULLY SUCCESSFUL LEVEL

- Contributes materials for annual reports (ARS-421) that accurately document progress towards meeting CRIS research objectives, milestones, outcomes and accomplishments, following Agency instructions for format, style and content.
- Completes manuscripts that reflect original research and valid interpretations for publication in refereed journals. Enters all publications, including manuscripts (scientific journal articles, semi-technical or trade journal articles, book chapters, reviews, popular articles, workshop reports, symposium proceedings, etc.), books, monographs, electronic publications, and abstracts into the Agricultural Research Information System (ARIS) via form ARS-115 for approval by the Research Leader prior to submission.
- The minimum requirement for reporting research results can be met by authorship on two manuscripts of original research for refereed journals. Manuscripts must be submitted to journal and/or other outlet and documented in ARIS within the rating period.
- A patent application, approved germplasm release/registration submitted to a refereed journal and documented in ARIS within the rating period, or a peer-reviewed model may provide equivalency credit for reporting original research in a refereed journal.
- With the approval of the Area Director, minimum reporting requirements may be modified for new hires during the first two rating periods in case of personal or medical hardship.
- Makes diligent efforts to pursue publication of manuscripts by submitting revisions within journal editorial guidelines. Revises and resubmits any rejected manuscript to an appropriate journal within one year of the rejection notice date. Continuously updates the status of unpublished manuscripts in ARIS. Justification for not resubmitting a rejected manuscript is subject to supervisory review and approval. Resubmission of a rejected manuscript approved in a prior performance period does not count toward fulfilling the minimum requirement for reporting research in the current rating period.

SPECIFIC GOALS FOR THE RATING PERIOD:

4. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating.)

| | EXCEEDS | | FULLY SUCCESSFUL
 | | DOES NOT MEET

ACCOMPLISHMENTS:

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2. PERFORMANCE ELEMENT No. 3 (Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)			CRITICAL X NONCRITICAL
<p>Element Number 3: TECHNOLOGY TRANSFER, PROFESSIONAL ADVISORY, & CONSULTING ACTIVITIES</p>			
3. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)			
<p>FULLY SUCCESSFUL LEVEL</p> <ul style="list-style-type: none"> • Responds promptly, accurately, and in accordance with established procedures to both internal and external customers to meet their needs. Communicates with the customer in a courteous, respectful and professional manner and ensures that the given information is clear, accurate and provided within agreed upon time frames. Examples of ways that information may be disseminated include oral or poster presentations, practical demonstrations, seminars, workshops, or one-on-one information exchange. • Participates in technology transfer activities in compliance with ARS P&P 141.2 that foster implementation and application of research results; examples include:(1) cooperates in research with industry, Federal, State, and university laboratories; (2) establishes Cooperative Research and Development Agreements or other types of agreements; (3) develops patent applications; (4) plays a role in organizing and conducting technology transfer workshops, events, and demonstration projects; (5) develops and releases technology or research data to other scientists and action or regulatory agencies; and (6) communicates research findings and potential impacts with trade associations, commodity or producer organizations and other stakeholders. • Fully informs customers and stakeholders on the mission and status of the research program as well as important advances in research. Provides timely, complete and accurate Agency reports and other documents when requested or directed according to Agency policy. Provides technical information, advice or counsel to the agricultural community and other public sectors in a professional and timely manner. • Participates in professional societies and technical advisory groups. This may include presenting research, serving on committees, editorial boards or working groups. Serves, as appropriate, on review panels for organizations, such as NIFA, NSF, NIH, AID, and BARD. • Supports Agency goals by participating in Agency, REE and Departmental activities; serving when requested, for example, on Research Position Evaluation System (RPES) panels, as internal peer reviewer for Project Plans or grant proposals, on special assignments, on task force groups, and on location committees. <p>SPECIFIC GOALS FOR THE RATING PERIOD:</p> 			
4. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating.)			EXCEEDS FULLY SUCCESSFUL DOES NOT MEET
<p>ACCOMPLISHMENTS:</p> 			

4. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating.)

| | EXCEEDS | | FULLY SUCCESSFUL
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ACCOMPLISHMENTS:

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1. Name (Last, First, M.I.) Position Title:	Pay plan, Series, Grade	Agency/Division	APPRAISAL PERIOD From: To:
2. PERFORMANCE ELEMENT No. 5 (Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)			X CRITICAL NONCRITICAL
Element Number 5 - RESOURCE, SECURITY, SAFETY, HEALTH, AND ENVIRONMENTAL MANAGEMENT			
3. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)			
<p>FULLY SUCCESSFUL LEVEL</p> <p>In fulfilling the duties of this element, due diligence includes but is not limited to the following four items: 1) communicating to employees the importance, rationale, and necessity of Safety, Health, and Environmental Management (SHEM) responsibilities, 2) ensuring the development of required plans and other materials, 3) ensuring the documentation of compliance through required reports, and 4) taking steps for abatement projects or remedial measures as required for functionality or compliance with statutes and regulations.</p> <ul style="list-style-type: none"> • RESOURCE MANAGEMENT <ul style="list-style-type: none"> • Contributes to judicious management of fiscal resources according to Agency procedures. Ensures that resources used and research efforts have program and fiscal accountability that are in line with one or more project objectives. • As funds allow, evaluates and upgrades the assigned facilities, vehicles, equipment, and Information Technology (IT) capacity. Maintains facilities, vehicles and equipment in functional and safe condition. Declares surplus and disposes of excess equipment. • Supports ARS and USDA programs governing engineering, real property management (USDA-REE 245.1) and personal property management (USDA-REE 221.1M). • Promotes synergistic sharing of equipment and facilities within and outside the Management Unit. • SAFETY, HEALTH & ENVIRONMENTAL MANAGEMENT (SHEM) <ul style="list-style-type: none"> • Supports applicable ARS and USDA SHEM Programs as provided in USDA-REE Manual 230.0. Achieves and maintains compliance with those programs and applicable State and local requirements and standards. • Provides leadership, resources, training, and opportunities for employees to participate in programs related to safety, health, and environment (e.g., safety committee, Environmental Management System (EMS) committee, green team, etc.). Emphasizes responsibilities of employees for these programs and holds employees accountable through their Performance Plan. Actively promotes the establishment and work of these committees. • Supports Occupational Medical Surveillance Program (OMSP), Worker's Compensation, and related leave policies as established by the ARS Human Resources Division (HRD). • Supports applicable animal use and care programs as provided in Directive 130.4 and USDA-REE 635.1 and any applicable Federal regulations. • SECURITY <ul style="list-style-type: none"> • Ensures that ARS Homeland Security requirements are met and properly documented (ARS 230) when hosting visiting scientists or foreign workers whether or not sponsored by ARS. Supports Homeland Security programs relating to physical and cyber security. • Supports ARS and Area security policies, procedures, and guidelines related to the physical security and protection of employees, experimental materials, organisms, and facilities. Promptly reports any security breaches and malfunctioning security equipment to the responsible Security Officer. Participates in security awareness programs and actively supports the promotion of a secure work environment. • Supports ARS and USDA Information Systems Security Programs as outlined in 253.3-ARS and other issuances provided by the ARS Office of the Chief Information Officer (ARS-OCIO). • Supports applicable ARS Biosafety and Biosecurity programs as provided by ARS and other relevant agencies. 			

Element 5 - SPECIFIC GOALS FOR THE RATING PERIOD:

4. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating.)

| | EXCEEDS | | FULLY SUCCESSFUL
| | DOES NOT MEET

ACCOMPLISHMENTS: