**INSTRUCTIONS FOR THE USAID AEF – SFS – Page 1**

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| Evaluation Period | The Foreign Service evaluation period is from 04/01/yyyy to 03/31/yyyy.  |
| **SECTION 1 – ADMINISTRATIVE DATA** |
| 1a. Name | Enter employee’s name – Last Name, First Name and Middle Initial. |
| 1b. SSN | Enter employee’s social security number last four digits, e.g. 6789. |
| 1c. Rank/Step | Enter employee’s rank and step, e.g. FE-OC. |
| 1d. Position AOSC Title | Enter employee’s Position Agency Occupational Series Code Title, e.g. Project Development Officer. |
| 1e. Position Functional Title | Enter employee’s functional or work job title, e.g. Mission Director. |
| 1f. Post/USAID Office | Enter employee’s location or place of work, e.g. for an overseas employee in Egypt, enter Egypt. For a USAID/W employee enter the Bureau/Independent Office symbols.  |
| 1g. Backstop | Enter 01 for SLG or the appropriate backstop code.  |
| 1h. Career Status | Based on the employee’s career status, check the appropriate box, e.g. career candidate officers are non-tenured and career officers are tenured. “Other” i.e., a Civil Service employee who is on a career limited appointment to the Foreign Service. |
| **SECTION 2 – AUTHENTICATION OF FINAL ANNUAL EVALUATION** |
| 2a. Name of Rating Official | Enter Rating Official’s name – Last Name, First Name and Middle Initial. Rating Official signs and dates the evaluation only after the evaluation has been completely finalized – meaning the employee and AC have reviewed the draft evaluation.  |
| 2b. Name of AC Chairperson | Enter AC Chairperson’s name – Last Name, First Name and Middle Initial. AC Chairperson signs and dates the evaluation after reviewing the evaluation, meeting with the Rating Official if necessary and entering optional comments in Section 9. |
| 2c. Employee | Employee signs and dates the final evaluation only after the Rating Official and AC Chairperson have signed the evaluation. The employee’s signature only acknowledges receipt of the evaluation, not necessarily concurrence with the final evaluation results. If the employee declines to sign the evaluation, the Rating Official will check the “Employee Declines to Sign” box and date the form. |
| **SECTION 3 – ROLE IN THE ORGANIZATION** |
| Rating Official describes the employee’s role within the organization by specifying the following: 1) the organizational setting and any unique features of the setting, 2) resources managed - personnel, financial, budgets, acquisition and assistance instruments and physical assets – specify dollar amounts of any resources managed and numbers of any personnel managed, 3) continuing and on-going responsibilities and functions within the operating unit. |
| For Official Use Only | To be used by AMS/EXO and HCTM staff only. AMS/EXO staff will enter the date the completed AEF is received and check the appropriate box on whether the Employee Statement is attached. HCTM staff will enter the date the completed AEF was received in HCTM and the date the AEF was placed in the employee’s official evaluation folder. |
| **SECTION 4 – PERFORMANCE PLAN** |
| 4a. Performance Plan | The Rating Official has 45 calendar days from the start of the evaluation period to establish the employee’s performance plan (no backdating). The performance plan will be developed in direct collaboration with the employee. The performance plan will have one to three work objectives with one to two performance measures for each work objective. For more information on developing work objectives and performance measures, refer to the EEP Guidebook, Chapter III. Performance Plans. |
| **SECTION 4b – AUTHENTICATION OF PERFORMANCE PLAN** |
| 4c. Name of Rating Official | Enter Rating Official’s name – Last Name, First Name and Middle Initial. The Rating Official signs and dates the form. (No back-dating.) |
| 4d. Name of AC Representative [Enter name of AC Rep who reviewed the plan] | Enter name of AC Representative who reviewed the plan – Last Name, First Name and Middle Initial. This is an optional review and can only be requested by the employee. The AC Representative signs and dates the form. If reviewed by the AC, the AC Representative signs and dates the form. (No back-dating.) |
| 4e. Employee | Employee signs and dates (no backdating) the performance plan only after the Rating Official and AC Representative (Optional) have signed the plan. The employee’s signature only acknowledges receipt of the performance plan, not necessarily concurrence with the final performance plan. If the employee declines to sign the plan, the Rating Official will check the “Employee Declines to Sign” box and date the form. |
| **SECTION 5 – FORMAL MID-POINT PROGRESS REVIEW** |
| 5a. Mid-Point Progress Review | The Rating Official will hold one mandatory formal mid-point progress review with the employee. The main purpose of the review is to document any adjustments to the performance plan (work objectives and performance measures). Additionally, the Rating Official will provide performance feedback to the employee based on 360° input, progress on work objectives and continuing responsibilities and the SFS skill standards. For more information on the mid-point progress review, see the EEP Guidebook, Chapter IV. Progress & Employee Feedback. |
| **SECTION 5b – AUTHENTICATION OF FORMAL MID-POINT PROGRESS REVIEW** |
| 5c. Name of Rating Official | Enter Rating Official’s name – Last Name, First Name and Middle Initial. The Rating Official signs and dates the form. (No back-dating.) |
| 5d. Name of AC Representative [Enter name of AC Rep who reviewed the plan] | Enter name of AC Representative who reviewed the plan – Last Name, First Name and Middle Initial. This is an optional review and can only be requested by the employee. The AC Representative signs and dates the form if reviewed by the AC. |
| 5e. Employee | Employee signs and dates the mid-point review only after the Rating Official and AC Representative (Optional) have signed the review. (No back-dating.) The employee’s signature only acknowledges receipt of the mid-point review, not necessarily concurrence with the final mid-point review. If the employee declines to sign the review, the Rating Official will check the “Employee Declines to Sign” box and date the form. |
| **SECTION 6 – DESCRIPTION OF ACCOMPLISHMENTS**  |
| The Employee’s own description of his/her accomplishments | The Employee will write a factual description of his/her accomplishments during the rating period using specific examples of how he/she met the Work Objectives and Performance Measures. The employee describes what he/she did, what difference it made, and how it contributes to the goals of the Agency. The employee, the Rater and if possible the Reviewer, should review the Description of Accomplishments in draft to clarify and resolve any discrepancies in the facts.  * **Tips**
* Description of Accomplishments is not a self-evaluation of performance
* Description of Accomplishment is not a self-evaluation of how well the employee met the SFS skill model elements of Leadership, Management for Results, and Teambuilding and Interpersonal skills
* 360° feedback is not solicited or included
* Describe only accomplishments within the evaluation period
* State accomplishments on the work objectives in terms of the performance measures.
* If the work objective is a Mission or unit-wide objective, clearly articulate your specific contribution
* Description should state the problems, actions the employee took to address them, specific outcomes and their magnitude, and the significance of the employee’s accomplishment for the operating unit or higher levels
* Description of Accomplishment should convey clearly with facts how the Work Objectives and Performance Measures were accomplished
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| **SECTION 7 – EVALUATION OF PERFORMANCE, SKILLS AND POTENTIAL** |
| 7a. Rating Official’s Statement on Employee’s Job Performance, Skills and Potential. 7a. Rating Official’s Statement on Employee’s Performance, Skills and Potential[continued] | The Rating Official evaluates and writes an assessment of: how well the employee performed; demonstrated the SFS core skill areas of Leadership, Management for Results and Teambuilding and Interpersonal skills; and potential to perform at a higher level. The Rating Official evaluates the employee’s performance against the current work objectives, performance measures and the SFS Skills Model. The Rating Official will use the employee’s Description of Accomplishment from Section 6, 360° information, including from the Diversity Checklist, and Appraisal Input Forms (as appropriate), along with his/her own direct observation to prepare the AEF. The following is a list of important tips on writing the assessment:* **General Tips**
* AEFs are about performance, not misconduct.
* Report only accomplishments within the evaluation period.
* When the rater disagrees with the rated employee’s statement of accomplishments in Section 6, it must be explained here.
* When the information in Section 6 raises significant questions of fact central to the evaluation, it must be explained here.
* Proofread draft AEFs to eliminate “typos”, grammar and editing errors.
* Do not rush the AEF process; stick to the established schedule.
* **Inadmissible Comments**
* Inadmissible comments are not authorized on the AEF.
* AC has the authority to strike out any inadmissible comments.
* Examples of inadmissible comments include reference to an employee’s race, religion, sex, national origin, political affiliation, age, sexual orientation, method of entry into the Agency, retirement plans or medical condition (including pregnancy) or disability.
* Do not refer to the results of a grievance, equal employment opportunity or other proceedings.
* Do not make reference to conduct issues unless it directly affects performance.
* Reference to an employee’s leave record is only admissible in cases of unauthorized absences that affect performance.
* **Work Objectives and Performance Measures**
* Describe what the employee did and the impact to their operating unit and the Agency.
* If the work objective is a Mission or unit-wide objective, clearly articulate the employee’s individual accomplishments.
* State the employee’s accomplishment on the work objectives in terms of the performance measures.
* Remember, SFS employees are ranked against their peers; specify the employee’s accomplishments and performance that distinguish him/her from his/her peers.
* **Role in the Organization – (Section 3)**
* Describe the employee’s role in the organization by specifying unique features of the organizational setting, resources managed, e.g. personnel, financial, budgets, acquisition and assistance instruments or physical assets and continuing responsibilities within the operating unit.
* Specify dollar amounts of any resources managed and numbers of any personnel managed.
* **SFS Skill Standards and Potential**
* Do not make recommendations for promotion.
* Read the SFS Skills Model to be aware of skill areas in relation to an employee’s rank.
* Address all three SFS skill areas in relation to the employee’s rank; the specific skill area needs to be clearly stated and not left up to the AC or FS Performance Boards to infer.
* At least one sub-skill in each of the three skill areas must be addressed in the AEF.
* Use 360° quotes effectively; quotes are to add credibility, not substitute for content; when using quotes in the AEF, indicate the person’s role within the operating unit without naming the individual.
* Highlight the employee’s abilities to make an impact broader than the unit’s strategic objectives.
* Capture an employee’s willingness to be innovative, volunteer for non-traditional or hardship assignments and/or take calculated risks.
* Incorporate 360° feedback from the Diversity Checklist (AID 400-27); capture the employee’s efforts to promote diversity and comply with relevant Agency EEO policy
* Raters must discuss any indication of less than full support for EEO objectives.
* Statements that an employee exhibits EEO leadership must be accompanied by examples to support the assertion.
* A summary statement on potential should be included.

 For more information, see the EEP Guidebook, Chapter V. Preparing & Completing the AEF. |
| **SECTION 7b - REVIEWER’S STATEMENT AND COMMENTS**  |
| USAID/W comments on the Mission Director’s or Principal Officer’s Contributions | This section applies only to Mission Directors’ AEFs. The Reviewer writes a statement on the contributions the Mission Director made to the Agency’s mission and/or goals, using examples with reference to the SFS skills model elements: leadership; management for results; and teambuilding and interpersonal skills. In addition:* Describe relations between the Rating Official and the Rated Employee.
* If the Reviewer disagrees with the evaluation by the Rating Official, or if relations between the Rating Official and the employee are strained, the reviewer must make this clear.
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| **SECTION 7c – EVALUATION OF PERFORMANCE, SKILLS AND POTENTIAL - CONTINUED** |
| d. Employee Met All Skill Standards for his/her current Class | Rating Official reviews the Senior Foreign Service Skills model for the employee’s class and determines if the employee is meeting all the skill standards. Rating Official checks the appropriate box based on his/her final determination.  |
| e. Protection of Classified and Sensitive Information | As required by E.O. 13526, the Rating Official indicates whether the employee “Met” or “Not Met” the requirement to appropriately handle and protect classified national security information and information designated as sensitive but unclassified in accordance with applicable laws, executive orders, directives, and Agency-wide policy. The Rating Official selects “N/A” if the employee does not have access to any of this type of information. |
| f. 360° Input Sources  | The Rating Official will check the appropriate boxes for the 360° input sources used in preparation of the AEF. For more information on 360° assessments, see the EEP Guidebook, Chapter V. Preparing & Completing the AEF. |
| g. Additional Mandatory 360° Input Sources for the Following Backstops: Controllers, Contract Officers and Legal Advisors – Only | For Controllers, Contracts Officers and Legal Advisors, the Rating Official will request 360° input from USAID/W Office of Financial Management, Procurement and General Counsel, respectively. The Rating Official will check the appropriate box for 360° input received. If the requested 360° input is not received, the Rating Official will check the “Requested, But Not Received” box. For more information on additional mandatory 360° assessments, see the EEP Guidebook, Chapter V. Preparing & Completing the AEF. |
| **SECTION 8 – APPRAISAL COMMITTEE MEMBERS AND COMMENTS** |
| 8a. Appraisal Committee Names | Print the names of those AC Committee members who reviewed the final AEF (Last Name, First Name, and Middle Initial). AC members are not required to sign except as noted in 8b. |
| 8b. Appraisal Committee Comments | If the Rating Official does not accept the AC’s recommended changes to the AEF, the AC may document its recommended changes in the space provided. If comments are added, all appraisal committee members must initial near their name. |

**INSTRUCTIONS FOR THE USAID EMPLOYEE STATEMENT**

**FOREIGN SERVICE**

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| **EMPLOYEE STATEMENT** |
| a. Name | Employee enters his/her name – Last Name, First Name and Middle Initial. |
| b. SSN | Employee enters last four digits of his/her social security number, e.g. 6789. |
| c. Rank/Step | Enter employee’s rank and step, e.g. FE-OC. |
| d. Post/USAID Office | Enter employee’s location or place of work, e.g. for an overseas employee in Egypt, enter Egypt. For a USAID/W employee enter the Bureau/Independent Office symbols. |
| e. Backstop | Enter 01 for SLG or the appropriate backstop code. |
| f. Employee Statement | Employees are highly encouraged to complete an Employee Statement. The Employee Statement gives the employee an opportunity to respond to his/her final AEF. The employee has 5 working days to complete the statement and will submit it to the appropriate Administrative Management Services or Executive Officer. For more information on preparing the Employee Statement, see the EEP Guidebook, Chapter V. Preparing & Completing the AEF. |
| g. Employee Signature | Employee signs and dates the statement. |