

Performance Appraisal

A **Performance Appraisal** is a systematic comparison of an employee's performance of duties and responsibilities with performance standards. The Air Force Performance Appraisal Program uses summary level pattern "A" in assigning a rating of record to each employee. Under the patterns in [AFI 36-1001](#), **Table 2.1.**, Level 1 through Level 5 are ordered categories for federal performance management programs, with Level 1 as the lowest and Level 5 as the highest.

Table 2.1. Summary Levels and Patterns for Federal Agencies.

PATTERN	SUMMARY LEVEL				
	1	2	3	4	5
A	X		X		
B	X		X		X
C	X		X	X	
D	X	X	X		
E	X		X	X	X
F	X	X	X		X
G	X	X	X	X	
H	X	X	X	X	X

There are two main types of appraisals:

1. The "annual" rating is the most typical and has a close out date of 31 March.
2. Out-of-cycle Appraisal which covers the date following last rating through rating date ([AFI 36-1001](#))

Table 2.2. Annual Performance Appraisal Cycle.

PAY PLAN	TYPE OF RATING	APPRAISAL PERIOD	DATE RATED	PROCESSING PERIOD	EFFECTIVE PERIOD
GS, FWS, SL or ST	Annual	1 Apr, or date of entry on duty, through 31 Mar	1 Apr	1 Apr through 31 May	1 Jun through 31 May
	Out-of-cycle	Date following last rating through rating date	Recommended when performance is unacceptable. A new rating may be issued when performance improves. Rate when needed to support a personnel action such as a career ladder promotion	Normally, no more than 30 days	From date of final approval through 31 May

rating of record is assigned upon completion of the annual appraisal period and to support a within-grade increase action. An administrative rating is assigned at the time the rating official decides to render an evaluation "out-of-cycle" (appraisal rating type code is O) because an employee is performing unacceptably on one or more critical elements of the performance plan, or the rating is necessary to support a personnel action such as a career ladder promotion (**Table 2.1.**).

The employee must have performed in the official position for 90 days or more and be appraised against the elements of a performance plan to be assigned a rating. When an annual rating of record (appraisal rating type code is A) cannot be prepared at the end of the appraisal period because the employee was not in the position for at least 90 days, the appraisal period should be extended until the employee has been in the position for 90

days. This includes employees on workers' compensation, extended sick leave or leave without pay who have not worked for at least 90 days during the appraisal period. When the 90-day period ends, the rating should be prepared within 30 days. Input from previous supervisors or transferred ratings covering an employee's performance within the current appraisal period will be taken into consideration when deriving the next rating of record (**Table 2.2.** and **Table 2.3.**).

Table 2.3. Management Responsibilities When Employee Changes Positions.

IF EMPLOYEE MOVES WITHIN THE AIR FORCE		BETWEEN THESE DATES	THEN	AND
FROM	TO			
GS, FWS, SL or ST	GS, FWS, SL or ST	Beginning of appraisal period to 1 Jan	Losing supervisor prepares information concerning performance and forwards to new supervisor	New supervisor renders annual rating of record at end of annual cycle
GS, FWS, SL or ST	GS, FWS, SL or ST	1 Jan to 31 Mar	Losing supervisor renders annual rating of record	Losing organization pays approved award

Temporary assignments are addressed as follows:

- a. Temporary assignments, whether details or temporary promotions of 120 days or more, require a written performance plan; when the temporary assignment ends before the end of the annual rating cycle, the temporary supervisor provides an informational or "courtesy" rating to the permanent rating official
- b. Individuals on a temporary assignment of 90 days or more at the time the annual rating is due will have their appraisal rendered by the temporary rating official.
- c. Individuals on a temporary assignment less than 90 days at the time the annual rating is due will have their appraisal rendered by the permanent rating official.

The Civilian Personnel Office responsibility is in an assistance role -management takes the lead in the review process. The quality control review process is management's responsibility; however, we need to assist them to ensure the process is smooth and meets the overall objectives of the performance management program.

Now let's talk about the appraisal or Civilian Rating of Record, AF Form 860A. In the legacy system, supervisors have only two ratings available – "Does not meet" or "Meets" on each element.

If the supervisor has done the proper documentation and discussion on an employee's performance, there should be no surprise about the actual appraisal rating. If the employee is surprised at a poor rating, there is a good chance the process is flawed and management will have problems with any performance-based action if there aren't some adjustments.

Should an employee not meet the standards on all critical elements, the supervisor, with your assistance, will need to initiate a performance improvement plan (PIP) beginning at the time the appraisal is discussed with the employee. A PIP could have been initiated at any time the employee began not meeting the standards; however, supervisors tend to wait until the annual appraisal is due.

This topic will be discussed in more detail when we talk about dealing with the problem employee.

The rating official fills out and completes the AF Form 860A by reviewing [AFI 36-1001](#) paragraph 2.7. Steps in Completing AF Form 860A, Civilian Rating of Record.

Air Force Guidance Memorandum to AFI 36-1001, *Managing the Civilian Performance Program* (dated 26 Jan 2012)

Eliminates Civilian Promotion Appraisal Factor Ratings: Upon implementation of the resume-based single staffing tool (USA Staffing), the nine Appraisal Factors, as well as the whole person score and skills codes, were eliminated from the staffing process.

As the nine appraisal factors no longer have value in the staffing process and are not approved for any other purpose, they are now obsolete. In advance of a rewrite of AFI 36-1001, the changes in the Attachment to this GM are effective immediately. AF Form 860A will be updated to delete Part F Civilian Promotion Appraisal in conjunction with the rewrite of [AFI 36-1001](#). Until the revised AF Form 860A is published, Part F is to be left blank.

Prior to implementing this AFGM, ensure local bargaining obligations are met

As we discussed at the beginning of the period on performance management, the Air Force program is based upon a linkage between an individual's performance and pay.