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SECRETARY OF THE AIR FORCE

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Personnel

**PERFORMANCE MANAGEMENT AND APPRAISAL PROGRAM
ADMINISTRATION IN THE AIR FORCE**

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

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This publication implements AFPD 36-10, *Civilian Performance and Recognition*, and guidance in Department of Defense (DoD) Instruction, (DoDI) 1400.25 Volume 431, *DoD Civilian Personnel Management System: Performance Management and Appraisal Program*, and Title 5, Code of Federal Regulations, Part 315, *Career and Career-Conditional Employment*. The DoDI is printed word-for-word in regular font without editorial review. AF supplementary material is printed in bold font and indicated by “(Added)(AF).” This supplement provides AF guidance on the performance management and appraisal program, new employee and supervisory probation, and performance-based awards. In collaboration with the Chief of Air Force Reserve (AF/RE) and the Director of the Air National Guard (NGB/CF), the Deputy Chief of Staff for Manpower, Personnel, and Services (AF/A1) develops personnel policy for performance management and appraisal programs. It applies to Title 5 employees of the Air Force, Air Force Reserve Command Units, and the Air National Guard; it does not apply to Title 32 Air National Guard Technicians. This publication may be supplemented at any level: MAJCOM-Level supplements must be approved by the Human Resources Management Strategic Council (HSC) prior to certification and approval. (T-1) Refer recommended changes and questions about this publication to the Office of Primary Responsibility (OPR) using the AF Form 847, *Recommendation for Change of Publication*; route AF Forms 847 from the field through the appropriate functional chain of command.

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***Publications and Forms Management*, Table 1.1 for a description of the authorities associated with the Tier numbers.**

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DoD INSTRUCTION 1400.25, VOLUME 431

DoD CIVILIAN PERSONNEL MANAGEMENT SYSTEM: PERFORMANCE MANAGEMENT AND APPRAISAL PROGRAM

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Purpose: This instruction is composed of several volumes, each containing its own purpose.

- This instruction establishes and implements policy, establishes procedures, provides guidelines and model programs, delegates authority, and assigns responsibilities regarding civilian personnel management within the DoD.
- This volume:
 - Pursuant to Volumes 410, 430, and 451 of this instruction, implements policy, assigns responsibilities, and establishes procedures for the DoD Performance Management and Appraisal Program.
 - Implements the requirements of Section 9902 of Title 5, United States Code (U.S.C.).
 - Establishes a DoD performance appraisal program in accordance with Section 430.205 of Title 5, Code of Federal Regulations (CFR).

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SECTION 1: GENERAL ISSUANCE INFORMATION

1.1. APPLICABILITY. This volume applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the DoD (collectively referred to in this volume as the “DoD Components”).

1.2. POLICY. The DoD will:

a. Provide a fair, credible, and transparent performance appraisal program for linking bonuses and other performance-based actions to employee performance in accordance with Section 9902 of Title 5, U.S.C.

b. Develop and maintain a results-oriented performance culture that links individual performance to organizational goals.

SECTION 2: RESPONSIBILITIES

2.1. ASSISTANT SECRETARY OF DEFENSE FOR MANPOWER AND RESERVE AFFAIRS (ASD(M&RA)). Under the authority, direction, and control of the Under Secretary of Defense for Personnel and Readiness (USD(P&R)), the ASD(M&RA) has overall responsibility for the development of DoD civilian personnel policy covered by this volume.

2.2. DEPUTY ASSISTANT SECRETARY OF DEFENSE FOR CIVILIAN PERSONNEL POLICY (DASD(CPP)). Under the authority, direction, and control of the ASD(M&RA), the DASD(CPP) supports the development of civilian personnel policy covered by this volume and monitors its execution by DoD Components, ensuring consistent implementation and application throughout DoD.

2.3. DIRECTOR, DEPARTMENT OF DEFENSE HUMAN RESOURCE ACTIVITY. Under the authority, direction, and control of the USD(P&R), the Director, Department of Defense Human Resources Activity, provides support to the DASD(CPP), as appropriate, in execution of duties and responsibilities assigned in this volume.

2.4. DOD COMPONENT HEADS. The DoD Component heads:

- a. Oversee the implementation, application, and evaluation of performance management programs within their respective Components.
- b. Ensure that the DoD Performance Management and Appraisal Program procedures and requirements are applied properly within their respective Components.
- c. Ensure that new supervisors and employees, as well as those transferred or promoted, receive information and are properly oriented to the DoD Performance Management and Appraisal Program.
- d. Ensure performance management training for supervisors and employees is provided.
- e. Actively promote a high-performance culture within their respective Components.

2.5. (Added)(AF) AIR FORCE.

a. (Added)(AF) Assistant Secretary of the Air Force for Manpower and Reserve Affairs (SAF/MR). Serves as an agent of the Secretary of the Air Force and provides guidance, direction, and oversight for all matters pertaining to the formulation, review, and execution of plans, policies, programs, and budgets addressing Air Force performance management.

b. (Added)(AF) The Deputy Chief of Staff of the Air Force, Manpower, Personnel and Services (AF/A1). Develops, coordinates, and executes personnel policy and essential procedural guidance for Air Force management of performance management.

c. (Added)(AF) Director, Civilian Force Policy (AF/A1C). Directs development of Air Force performance management policy to ensure compliance with this publication and consistency across the Air Force.

d. (Added)(AF) Air Force Personnel Operations Agency (AFPOA). Ensures timely processing and update of annual appraisals and related awards.

e. (Added)(AF) Air Force Personnel Center (AFPC). Establishes operating procedures to ensure the performance management program is consistent with this publication.

f. (Added)(AF) Major Command (MAJCOM), Combatant Command (CCMD), Direct Reporting Unit (DRU) and Field Operating Agency (FOA) Command Directors of Manpower, Personnel, and Services. Where necessary, establishes standards, administrative requirements, processing procedures, and program quality control consistent with this publication. Supplements this publication as needed.

g. (Added)(AF) Installation Commanders/Directors, Tenant Commanders/Directors, and Heads of Activities.

(1) (Added)(AF) Where necessary, establishes standards, administrative requirements, and processing procedures consistent with this publication. Supplements this publication as needed.

(2) (Added)(AF) Establishes a quality control process to ensure accurate and timely completion of the performance management and appraisal program process and associated award recommendations and approvals. Ensures performance-based award programs make meaningful distinctions based on the levels of performance. This responsibility may be further delegated in writing.

(3) (Added)(AF) Ensures compliance with all mandatory supervisory training requirements for supervisors and managers in accordance with AFI 36-401, *Employee Training and Development*. (T-1)

h. (Added)(AF) Civilian Personnel Section (CPS). Provides management advice to Installation Commanders/Directors, Tenant Commanders/Directors, and Heads of Activities with regard to the administration of the performance management program. Ensures actions taken are consistent with this publication.

(1) (Added)(AF) Advises and assists supervisors in addressing performance concerns that occur during the performance management appraisal cycle or during the probationary/trial period.

(2) (Added)(AF) Communicates general information and guidance to supervisors and employees on the performance management program, recognition and rewards, and maintaining the position hierarchy.

i. (Added)(AF) Supervisor/Rating Official.

(1) (Added)(AF) Fosters a collaborative work environment to sustain organizational effectiveness.

(2) (Added)(AF) Develops performance plans with employee input, based on duties and responsibilities, which are linked to organizational mission and goals.

(3) (Added)(AF) Clearly communicates performance expectations and outcomes to employees.

(4) (Added)(AF) Monitors employee performance and modifies the performance plan as mission, organizational goals and priorities, or employee responsibilities change.

(5) (Added)(AF) Provides ongoing performance feedback. Assists employees in improving performance throughout the rating period as is needed or requested. Considers training or developmental opportunities to further employee performance. Engages with employee to improve workplace effectiveness.

(6) (Added)(AF) Prepares and documents progress reviews; meets with employees to discuss the feedback.

(7) (Added)(AF) Prepares the rating of record with narrative justification where required; meets with employees to discuss the rating.

(8) (Added)(AF) Provides timely recognition of high-quality performance.

(9) (Added)(AF) Takes immediate action if performance declines or falls below the “Fully Successful” level in any performance element.

(10) (Added)(AF) Takes immediate action to address a probationary employee’s unacceptable performance or conduct.

(11) (Added)(AF) Ensures employees complete mandatory training requirements within required timeframes.

(12) (Added)(AF) Maintains position hierarchy; reviews MyBiz+ for Managers and Supervisors Suspenses/Pending Actions folder and takes timely action on personnel notices and actions.

j. (Added)(AF) Higher Level Reviewer (HLR). Reviews and approves performance plans, all ratings of record, and performance decisions. Ensures subordinate rating

officials execute the performance management process within established guidelines and timelines.

k. (Added)(AF) Employees should.

(1) (Added)(AF) Participate in and provide input to the development of the performance plan and any revisions to the performance plan.

(2) (Added)(AF) Gain an understanding of supervisor's expectations and request clarification, if necessary.

(3) (Added)(AF) Manage individual performance to attain performance elements and standards identified in the performance plan; bring to supervisor's attention circumstances that may impact accomplishment of performance expectations and request feedback if needed.

(4) (Added)(AF) Prepare for and participate in performance discussions.

(5) (Added)(AF) Initiate discussion and engage with supervisor to improve workplace effectiveness or personal performance.

(6) (Added)(AF) Review MyBiz+ for currency and accuracy.

SECTION 3: PROCEDURES

3.1. GENERAL PROVISIONS.

a. Purpose. The DoD Performance Management and Appraisal Program:

(1) Provides a framework for supervisors and managers to communicate expectations and job performance.

(2) Links individual employee performance and organizational goals.

(3) Facilitates a fair and meaningful assessment of employee performance.

(4) Establishes a systematic process for planning, monitoring, evaluating, and recognizing and rewarding employee performance that contributes to mission success.

(5) Nurtures a high-performance culture that promotes meaningful and ongoing dialogue between employees and supervisors and holds both accountable for performance.

(6) Supports and is consistent with merit system principles in Section 2301 of Title 5, U.S.C.

b. Coverage.

(1) **DoD Component Coverage.** The DoD Performance Management and Appraisal Program applies to all DoD employees, except those employees in positions identified in Appendix 3A.

(2) **Savings Provision.** No employee may be concurrently covered by more than one performance appraisal program in accordance with the savings provision established in Volume 430 of this instruction. Accordingly, the requirements of this volume will not apply to employees subject to performance improvement plans (PIPs), or subsequent actions resulting from having failed a PIP, taken in accordance with Chapter 43 of Title 5, U.S.C., that was initiated prior to the effective date of implementation of the DoD Performance Management and Appraisal Program with respect to the employee.

(3) **(Added)(AF) Implementation.** Air Force implementation begins 1 April 2017.

3.2. BASIC REQUIREMENTS OF THE PROGRAM.

a. Appraisal Pattern. The DoD Performance Management and Appraisal Program uses a three-level rating pattern, Summary Level Pattern B, as identified in Section 430.208(d)(1) of Title 5, CFR, and the performance rating levels (also known as “summary levels”) listed in Table 1 must be used.

Table 1. Performance Rating Levels

Level 5 – Outstanding
Level 3 – Fully Successful
Level 1 – Unacceptable

b. Appraisal Cycle. The appraisal cycle for employees covered by the DoD Performance Management and Appraisal Program is April 1 through March 31 of each calendar year. Components operating academic institutions may elect to apply an appraisal cycle based on their academic year to some or all of the employees of these academic institutions.

(1) (Added)(AF) Academic Institutions. The appraisal cycle for academic faculty employees in the administratively determined (AD) pay plan is June 1 through May 31 of each calendar year.

c. Effective Date of the Appraisal. A rating of record is final when it is signed by the employee’s supervisor, in his or her capacity as rating official and, where required by Component policy, by a higher level reviewer (HLR). A rating of record finalized before June 1 will be effective June 1.

(1) (Added)(AF) All ratings of record will be reviewed and approved by a HLR. (T-2)

(2) (Added)(AF) Academic Institutions. The effective date of the appraisal for academic faculty is determined by the academic institution commander but will be no later than 30 September. (T-3)

d. Minimum Period of Performance. The minimum period of performance is 90 calendar days. Employees who perform under an approved performance plan for a minimum of 90 calendar days will be rated based on the period of demonstrated performance.

e. Performance Discussions. To foster a culture of high performance, supervisors and employees should engage in two-way performance feedback throughout the appraisal cycle. Supervisors are required to hold a minimum of three formal documented performance discussions during the appraisal cycle. These required discussions will include the initial performance plan meeting to discuss performance expectations, one progress review, and the final performance appraisal discussion to communicate the rating of record. Additional progress reviews are highly encouraged throughout the appraisal cycle.

f. DoD Core Values. In order to develop common awareness of and reinforce a high-performance culture, DoD core values will be discussed with employees at the beginning of the appraisal cycle and will be annotated on all performance plans. The DoD core values, which form the foundation of the DoD performance culture are: leadership, professionalism, and technical knowledge through dedication to duty, integrity, ethics, honor, courage, and loyalty. In addition to the DoD core values that will be annotated on performance plans and discussed with employees, DoD Components may include organizational values and may include organizational mission statements or goals which apply to the employee’s performance elements. This aids in

developing a common awareness and to reinforcing the individual contribution to the overall success of both the DoD and organization's mission. Employees will only be assessed on the DoD core values or organizational values to the extent applicable to the assessment of a performance element.

(1) (Added)(AF) Air Force Core Values. The Air Force core values may be included on performance plans and incorporated into the DoD core values discussion. The Air Force core values, which inspires to do the very best at all times are: integrity first, service before self, and excellence in all we do.

g. MyPerformance Appraisal Tool. The MyPerformance appraisal tool provides an automated system to create, review, and approve performance plans; document modifications to performance plans; document progress reviews; document employee input on his or her individual performance; and document performance appraisals.

(1) The MyPerformance appraisal tool is the only automated appraisal tool that has been authorized for use in administering and documenting activities under the DoD Performance Management and Appraisal Program, and MyPerformance generates a completed DD Form 2906, "Department of Defense Performance Plan, Progress Review, and Appraisal."

(2) When supervisors or employees do not have access to the electronic MyPerformance appraisal tool, they must use the paper copy of DD Form 2906 to document the performance plan, progress review(s), and rating of record. The DoD Components will develop any needed processes for completing appraisals using a blank DD Form 2906.

(a) (Added)(AF) Supervisors and employees are strongly encouraged to use the MyPerformance appraisal tool to generate and document the performance plan, progress review(s) and rating of record. Where access to the electronic MyPerformance appraisal tool is either restricted, limited, or impractical, supervisors and employees may use a blank, paper copy of DD Form 2906 to document the performance plan, progress review(s), and rating of record. When a paper copy of DD Form 2906 is used, the employee will be provided a copy of each completed action. (T-1)

(b) (Added)(AF) When an organization uses a paper DD Form 2906 then the performance plan, progress review, and rating of record from the paper DD will be entered into the MyPerformance appraisal tool by a trusted agent assigned by the organization. (T-2)

(1) (Added)(AF) Individuals assigned as MyPerformance trusted agents act on behalf of the Rating Official or Higher Level Reviewer for the purpose of documenting performance management events and decisions.

(2) (Added)(AF) Assignment of a trusted agent does not alleviate the rating official from their performance management responsibilities.

h. Retention Schedule for Employee Performance Files. Performance ratings of record, including the performance plans on which they are based, will be retained for 4 years or as

otherwise required by Section 293.404 of Title 5, CFR. Since the MyPerformance tool maintains performance records for 4 years, supervisors and employees are advised to print performance records they wish to maintain beyond the 4-year period. Where any performance-related document is needed in connection with an ongoing administrative, negotiated, quasi-judicial, or judicial proceeding, the rating of record must be retained for as long as necessary.

(1) (Added)(AF) If a supervisor prints the employee's performance records the printed version is maintained in the employee performance file section of the supervisor's employee work folder. Printed records are maintained in accordance with the AFRIMS RDS. Performance-related documents retained beyond the 4-year period that are in connection with an ongoing administrative, negotiated, quasi-judicial, or judicial proceeding are maintained in a file separate from the supervisor's employee work folder in accordance with the AFRIMS RDS.

i. Transfer of Employee Performance Files. When an employee transfers to another DoD Component or is assigned to another organization within the Component, the organization, in accordance with Sections 430.209 and 293 of Title 5, CFR, will transfer with the employee:

- (1) The most recent ratings of record as required by Paragraph 3.2.h. of this volume.
- (2) Any subsequent performance ratings.

3.3. PLANNING PERFORMANCE. Employee and supervisor engagement that provides opportunity for employee input is the first step in establishing ongoing communication and understanding of performance expectations and organizational goals throughout the appraisal cycle. This results in effective performance planning. Specific performance measures will be used to determine whether expectations and goals are being met. Each employee must have a written performance plan established and approved normally within 30 calendar days of the beginning of the appraisal cycle or the employee's assignment to a new position or set of duties. The supervisor will communicate the performance plan to the employee after it has been approved in accordance with DoD Component procedures.

a. Employee Performance Plan. The performance plan will clearly document for each employee how the expected outcomes and results are linked to the organization's goals and objectives and how his or her performance will be measured throughout the appraisal cycle. The performance plan includes the employee's performance elements and performance standards for the appraisal cycle. Changes to mission, organizational goals, work unit priorities, or assigned duties that occur during the appraisal cycle may necessitate revisions to the performance plan.

(1) (Added)(AF) All performance plans will be reviewed and approved by a HLR. (T-2)

b. Performance Elements. Performance elements describe the expectations related to the work being performed. All performance elements must be critical elements and clearly align with organizational goals. For ratings of record, each ratable element will be assigned a performance element rating. For assistance with alignment of performance elements to organizational goals, supervisors should review organizational plans and may consult with their

performance improvement officer, or equivalent, as necessary. The USD(P&R) must approve DoD-wide performance elements for groups of employees, as needed. The two types of performance elements are:

(1) **Critical Element.** Performance plans must have a minimum of one critical performance element, and each element must have associated performance standards that define expectations. A critical element is a work assignment or responsibility of such importance that unacceptable performance on the element would result in a determination that an employee's overall performance is rated as "Unacceptable." Critical elements are only used to measure individual performance; supervisors must not establish critical elements for team performance.

(2) **Supervisory Element.** All performance elements related to supervisory duties are critical elements. The number of supervisory performance elements on performance plans for supervisors will equal or exceed the number of non-supervisory (technical) performance elements. The requirement for the number of supervisory performance elements to exceed the number of non-supervisory elements does not apply to employees coded as Supervisor Civil Service Reform Act (CSRA) code '4' in the Defense Civilian Personnel Data System.

c. Performance Standards. Performance standards describe how the requirements and expectations provided in the performance elements are to be evaluated. Performance standards must be provided for each performance element in the performance plan and must be written at the "Fully Successful" level. The standards should include specific, measureable, achievable, relevant, and timely (SMART) criteria, which provide the framework for developing effective results and expectations. SMART standards objectively express how well an employee must perform his or her job to achieve performance at the "Fully Successful" level by providing standards that are:

(1) **Specific.** Goals are sufficiently detailed in describing what needs to be accomplished.

(2) **Measurable.** The accomplishment of the performance element is clear and can be quantified or substantiated using objective criteria.

(3) **Achievable.** Goals are realistic, yet challenging and can be accomplished with the resources, personnel, and time available.

(4) **Relevant.** The critical element aligns with or links to organizational mission and success.

(5) **Timely.** Goals will be completed within a realistic timeframe.

d. Developing and Communicating Performance Expectations. Written performance plans must be developed and approved by supervisors, clearly communicated to employees, and acknowledged by employees.

(1) Normally within 30 days of the beginning of each appraisal cycle, supervisors and employees should discuss performance goals for the upcoming cycle. Supervisors must allow employees the opportunity to provide input into their performance elements and standards.

While employees have the opportunity to provide input into their performance plans, supervisors must develop and approve the performance elements and standards.

(2) Supervisors must communicate each approved performance plan and how the performance expectations link to any organizational goals with their employees. This also provides an opportunity for the supervisor and employee to achieve a common understanding of the performance required for mission success.

(3) The date of the meeting or communication will be documented in the MyPerformance appraisal tool or on the DD Form 2906 and acknowledged by the employee.

(4) (Added)(AF) Newly assigned supervisors should review the performance plans and initiate performance discussions with the employees.

e. Modifying the Plan During the Appraisal Cycle. A performance plan is a flexible, living document and should be reviewed and discussed throughout each appraisal cycle. Plans may be modified as organizational goals and priorities or employee responsibilities change. All approved modifications to performance elements or standards must be discussed with and communicated to the employee, and the employee should acknowledge the revisions in the MyPerformance appraisal tool or on the DD Form 2906. If considering a change to an element or standard within 90 calendar days of the end of the appraisal cycle when work requirements change or new duties are assigned, the supervisor may:

(1) Revise the element or standard at the beginning of the next appraisal cycle;

(2) Update the plan. If the employee does not have an opportunity to perform the new element(s) for the minimum 90-calendar-day period, do not rate the revised element(s); or

(3) Extend the appraisal cycle by the amount of time necessary to allow 90 calendar days of observed performance under the revised element or standard. Extending the appraisal cycle will affect the start date of the employee's subsequent appraisal cycle; however, the subsequent appraisal cycle should still end March 31 of the following calendar year.

3.4. MONITORING PERFORMANCE. Monitoring performance consists of ongoing assessment of performance compared to the stated expectations and ongoing feedback to employees on their progress toward reaching their goals.

a. Continuous Monitoring of Performance. By monitoring performance throughout the appraisal cycle, supervisors can provide timely feedback on meeting expectations and identify unacceptable performance during the appraisal cycle in order to provide assistance to improve performance, rather than waiting until the end of the cycle when a rating of record is assigned. Additionally, while monitoring performance, supervisors may identify an employee's need for training or developmental opportunities in order to enhance the knowledge, skills, or abilities related to the employee's job performance in his or her current position.

b. Performance Discussions. The supervisor and employee will discuss the employee's work performance and its link to organizational effectiveness. The discussions may consist of

verbal feedback sessions, regular one-on-one meetings, or impromptu recognition or acknowledgement of performance. Supervisors or employees may initiate performance discussions at any time during the appraisal cycle to foster ongoing engagement and understanding. Performance discussions help ensure that the performance plans accurately reflect the work being evaluated. Effective communications include ongoing, constructive feedback to contribute to overall employee and organizational success.

c. Progress Reviews. Progress reviews may only be initiated by supervisors. They are performance discussions that must be documented in the MyPerformance appraisal tool. While employees must have at least one documented progress review, providing additional progress reviews throughout the appraisal cycle is encouraged. Employees are not given a performance narrative or performance element ratings on progress reviews. The supervisor and employee should engage in meaningful communications throughout the appraisal cycle to review and convey:

- (1) Organizational goals and priorities.
- (2) Performance elements and standards, including ensuring the performance plan accurately reflects the work being evaluated.
- (3) Supervisor's expectations.
- (4) Employee's accomplishments and contributions.
- (5) Employee's level of performance, including any areas that need improvement.
- (6) Barriers to success.
- (7) Employee's developmental needs and career goals.

3.5. EVALUATING PERFORMANCE. The supervisor will evaluate employee performance by assessing performance against the elements and standards in the employee's approved performance plan and assigning a rating of record based on work performed during the appraisal cycle. A written rating of record must be provided at the end of the appraisal cycle for each employee who has been under an approved performance plan for 90 calendar days during the cycle.

a. Preparation and Submission of Performance Appraisals. Performance appraisals will be prepared consistent with this volume and documented in the MyPerformance appraisal tool.

(1) **Employee Input.** Employees can provide written input about their performance accomplishments for supervisors to consider in evaluating each of the performance elements and overall performance accomplishments.

(a) Employee input, while not mandatory, is highly encouraged and valuable for progress reviews during and at the end of the appraisal cycle where the employee input becomes a part of the employee performance file.

(b) The absence of employee input does not relieve the supervisor of the responsibility for writing a narrative statement assessing the employee's performance standards and contributions.

(2) **Performance Narrative.** Supervisors will write a performance narrative that succinctly addresses the employee's performance measured against the performance standards for the appraisal cycle.

(a) The performance narrative justifies how an employee's ratings are determined and provides support for recognition and rewards (or any administrative or adverse action, if necessary).

(b) Performance narratives are required for each element rated "Outstanding" and "Unacceptable." Additionally, performance narratives are highly encouraged for each element rated "Fully Successful" as a means of recognizing all levels of accomplishments and contributions to mission success.

b. Descriptions of Performance Rating Levels. The performance rating assigned should reflect the level of the employee's performance as compared to the standards established. Some samples that may be useful in developing standards for an employee are provided in the following subparagraphs. These samples are intended to be illustrative only, do not apply to all work situations, and must be tailored to each particular situation.

(1) **Level 5 – Outstanding**

(a) Produces exceptional results or exceeds expectations well beyond specified outcomes.

(b) Sets targeted metrics high and far exceeds them (e.g., quality, budget, quantity).

(c) Handles roadblocks or issues exceptionally well and makes a long-term difference in doing so.

(d) Is widely seen as an expert, valued role model, or mentor for this work.

(e) Exhibits the highest standards of professionalism.

(2) **Level 3 – Fully Successful**

(a) Effectively produces the specified outcomes, and sometimes exceeds them.

(b) Consistently achieves targeted metrics.

(c) Proactively informs supervisor of potential issues or roadblocks and offers suggestions to address or prevent them.

(d) Achieves goals with appropriate level of supervision.

(3) **Level 1 – Unacceptable**

(a) Does not meet expectations for quality of work; fails to meet many of the required results for the goal.

(b) Is unreliable; makes poor decisions; misses targeted metrics (e.g., commitments, deadlines, quality).

(c) Lacks or fails to use skills required for the job.

(d) Requires much more supervision than expected for an employee at this level.

c. Rating Employee Performance

(1) The supervisor will assign an individual performance element rating of either 5, 3, or 1 to each critical element. All performance element ratings are averaged to calculate the rating of record, which reflects the employee’s overall job performance during the appraisal cycle based on the rating criteria outlined in Table 2.

Table 2. Rating Criteria

Rating Level	Rating Criteria
Level 5 – Outstanding	The average score of all critical element performance ratings is 4.3 or greater, with no critical element being rated a ‘1’(Unacceptable), resulting in a rating of record that is a ‘5’
Level 3 – Fully Successful	The average score of all critical element performance ratings is less than 4.3, with no critical element being rated a ‘1’(Unacceptable), resulting in a rating of record that is a ‘3’
Level 1 – Unacceptable	Any critical element rated as ‘1’

(2) In accordance with Section 430.208(c) of Title 5, CFR, the DoD Performance Management and Appraisal Program does not establish a forced distribution of performance rating levels.

(3) A rating of record of “Unacceptable” (Level 1) must be reviewed and approved by a HLR.

(4) If an employee does not have an opportunity to perform work associated with a performance element for 90 calendar days during the appraisal cycle, no performance element rating will be assigned for that performance element. An unratable performance element cannot be used as a factor in deriving a rating of record.

(5) The rating of record or individual performance element rating assigned to a critical element for a disabled veteran will not be lowered because the veteran has been absent from work to seek medical treatment, as provided in Section 430.208(f) of Title 5, CFR.

(6) (Added)(AF) See paragraph 3.2.c.(1).

d. Reconsideration of a Performance Appraisal. Employees may seek reconsideration of issues related to the performance appraisal process (e.g., individual performance element ratings and ratings of record) through the administrative grievance system or, where applicable, negotiated grievance procedures. Employees may **not** challenge contents (e.g., performance elements or standards) of an employee performance plan and decisions to grant or not grant a performance award or quality step increase (QSI) through the administrative grievance system or, where applicable, negotiated grievance procedures.

3.6. RECOGNIZING AND REWARDING PERFORMANCE. Supervisors recognize and reward performance by providing incentives to and recognition of employees for individual and team achievement and for their contributions to the organization's mission. DoD Components will develop recognition and rewards programs that embody strong business principles through the development of policies and rules. Supervisors can strengthen the performance culture and influence employee engagement by using recognition throughout the appraisal cycle. It is important to recognize performance and achievements as they occur, preferably as close as possible to the act(s) being recognized. Policy and procedures for awarding performance are covered in Volume 451 of this instruction as well as in Component-specific policy and guidance.

a. When a supervisor publicly recognizes employee or team efforts, he or she communicates the types of activities and accomplishments the organization values in a meaningful way. Recognition and reward programs are valuable tools to increase employee performance, morale, and commitment to support the organization's mission.

b. Recognition and rewards are not entitlements. Achievements or contributions should be related to organizational mission and goals and to exceeding expectations.

c. Rewards should be an integral part of performance management.

d. (Added)(AF) The annual award budget is a percentage of civilian pay based on the aggregate salaries of all employees as of the end of the previous fiscal year. Annual civilian pay execution guidance is generally not available at the beginning of the fiscal year. Commander's/Director's financial management and resources advisors provide guidance and information regarding spending on awards in order to ensure appropriate execution throughout the year.

e. (Added)(AF) AF Form 1001, *Award Recommendation Transmittal*, is used to recommend employees for recognition and rewards during the annual appraisal period based on a rating of record of "Fully Successful" (Level 3) or higher.

f. (Added)(AF) The rating official may recommend an employee for a performance-based cash award, time-off award, or a combination of both. An employee may be recommended to receive a Quality Step Increase (QSI) if all of the requirements are met (see paragraph 3.7.c.). A QSI cannot be combined with a performance-based cash award and/or time-off award.

g. (Added)(AF) Guidance for awards and recognition not based on the rating of record is contained in AFI 36-1004, *The Air Force Civilian Recognition Program*.

3.7. LINKAGE OF PERFORMANCE MANAGEMENT TO OTHER PERSONNEL ACTIONS. Employee performance may impact other personnel actions, and the DoD Performance Management and Appraisal Program links the following employee personnel actions to performance appraisals for employees:

a. Promotion. To be eligible for a promotion under a merit promotion plan pursuant to Section 335.103 of Title 5, CFR, an employee must meet minimum qualification standards and other promotion criteria. Due weight will be given to performance appraisals and incentive awards. To be eligible for a career ladder promotion under a merit promotion plan pursuant to Section 335.104 of Title 5, CFR, an employee must be performing at the “Fully Successful” level, or higher. However, the fact that employees are rated “Fully Successful” or higher at the time they are eligible for promotion does not mean promotions are automatic.

b. Within-Grade Increase (WGI). A WGI or periodic step increase is an increase in an employee’s rate of basic pay from one step of the grade of his or her position to the next higher step of that grade pursuant to Sections 531.404 and 532.417 of Title 5, CFR and 5335 of Title 5, U.S.C.

(1) As part of ongoing communication with employees, the supervisor will discuss an upcoming WGI with the employee and may document the date of this conversation in the section designated for progress reviews in the MyPerformance Appraisal Tool.

(2) The decision to grant or deny a WGI is based on the employee’s most recent rating of record issued within the WGI waiting period. To receive a WGI, the employee must be performing at the “Fully Successful” level or higher with a rating of record of “3” or higher. When a WGI decision is not consistent with the employee’s most recent rating of record a more current rating of record must be prepared. When considering denying a WGI, supervisors should contact their servicing human resources office for further information and assistance in following the requirements in Sections 531.409 and 531.411 of Title 5, CFR.

c. QSI. The purpose of a QSI is to recognize excellence in performance by granting an accelerated step increase. A QSI is a permanent salary increase for General Schedule employees only, and careful consideration should be given before granting a QSI. QSIs must be limited to those cases where exceptional performance has extended over a significant period of time and is expected to continue into the future. To be eligible for a QSI, an employee must:

- (1) Currently be paid below step 10 of his or her grade.
- (2) Have a most recent rating of record of Level 5 (“Outstanding”).
- (3) Have demonstrated sustained performance of high quality for a significant period of time.

(4) Have not received a QSI (or QSI-equivalent under a personnel system other than the General Schedule) within the preceding 52 consecutive calendar weeks.

d. Reassignment, Reduction in Grade, or Removal Based on Unacceptable Performance. Consistent with the requirements in Section 432.105 of Title 5, CFR, employees who fail to demonstrate performance at the “Fully Successful” level may be reduced in grade or removed from federal service. The employee may also be subject to reassignment at the DoD Component’s discretion.

(1) (Added)(AF) Reassignment to another position is an option.

e. Performance-Based Awards. See Volume 451 of this instruction and DoD Component policy and collective bargaining agreements, if applicable, for more information on performance-based awards.

3.8. SPECIALLY-SITUATED EMPLOYEES. There are a number of special circumstances that may affect an employee’s eligibility for a performance rating.

a. Employees on Detail or Matrixed Employees. When an employee is detailed or matrixed, it remains the responsibility of the supervisor of record to seek input from the detail or matrix supervisor for use in developing the performance plan, conducting progress reviews, and completing the rating of record.

b. Employees Performing Union Representational Responsibilities. When an employee is engaged in union representational responsibilities, the time spent performing union representation does not constitute work of the agency and does not count toward the minimum period of performance of 90 calendar days under an approved performance plan. If an employee performs agency work to meet the 90-calendar day requirement under an approved performance plan, that employee is eligible to receive a rating of record.

c. Employees Absent for Military Service. Employees who are absent for military service (Absent-US) will be rated provided they have performed work under an approved performance plan for a minimum of 90 calendar days. If employees performing military service do not meet the 90 calendar day requirement supervisors will assign their most recent rating of record as the new rating of record for the appraisal cycle.

d. Employees on Leave Without Pay or Extended Paid Leave. If an employee is absent during the appraisal cycle because he or she was on leave without pay or extended paid leave (including disabled veterans seeking medical treatment), the employee is eligible to receive a rating of record if he or she has performed work under an approved performance plan for a minimum of 90 calendar days. However, if an employee does not meet the 90 calendar day requirement, then he or she is not eligible to receive a rating of record.

e. Employees on Long-Term Full-Time Training. Employees attending a program of long-term full-time training greater than 90 calendar days may have a performance plan developed related to the training. The plan could include elements related to the achievement of

specific training objectives. In this situation, supervisors may wish to contact the respective training activity for assistance and recommended input to the performance plan.

f. Employees Who Transfer or Supervisors Who Leave During the Appraisal Cycle.

The length of time an employee serves under an approved performance plan determines what is required when an employee or supervisor leaves the organization.

(1) If a supervisor leaves the organization, a performance narrative statement is required when an employee has performed under an approved performance plan for 90 calendar days and there are more than 90 calendar days left in the appraisal cycle. This narrative statement will be considered by the incoming supervisor.

(2) A rating of record is required when an employee has performed under an approved performance plan for 90 calendar days and the employee or supervisor leaves the organization with fewer than 90 calendar days remaining in the appraisal cycle. If circumstances preclude the departing supervisor from carrying out this responsibility, the higher level management official may serve as the rating official, subject to Component policy.

(3) (Added)(AF) When it is impracticable for the higher level management official to serve as the rating official (i.e., the position is outside of the installation at the MAJCOM or HQ USAF level), another management official may be designated as the rating official. The designated rating official should be a supervisor or management official with a solid understanding of the organization and direct knowledge of the employee's performance.

3.9. IDENTIFYING AND IMPROVING UNACCEPTABLE PERFORMANCE.

Supervisors who communicate their expectations and provide constructive, timely, and meaningful feedback to their employees on a regular basis about performance may more readily identify and reduce instances of performance deficiencies and prevent issues from becoming serious performance problems.

a. Addressing Performance Issues Early. At any point during the appraisal cycle, when a supervisor detects a decline in performance, early intervention is imperative. Assistance should be provided to the employees early on, whenever there is a need for improvement or any time there is a decline in performance. The supervisor should take the following actions, as appropriate:

(1) Clearly communicate to the employee that current performance fails to meet the performance standards described in the performance plan; provide clear guidance as to what is needed in order for the employee to improve; and provide specific examples of what and how work has not met expectations, as well as examples of work that would meet expectations.

(2) Offer appropriate assistance.

(3) Provide ideas of where the employee may go to obtain additional assistance or training, if applicable.

(4) Provide closer supervision and feedback. This might include more frequent reporting, special assignments, or on-the-job training.

(5) If performance issues persist, use a more formal approach to help employees improve and seek assistance from the human resources office.

b. Addressing Unacceptable Performance. If the employee's performance declines to less than "Fully Successful" in one or more performance elements, the supervisor, in consultation with the servicing human resources office will determine whether action is more appropriate under Section 432.105 or Part 752 of Title 5, CFR, and must provide notice of the performance deficiencies. The supervisor must also provide assistance designed to help the employee improve his or her performance during an opportunity period to demonstrate acceptable performance. The procedures contained in Sections 432.104 and 432.105 of Title 5, CFR must be followed if action is being taken under Sections 432.105 of Title 5, CFR. The procedures are:

(1) The supervisor must identify in writing (e.g., in a PIP):

(a) Element(s) in which performance is "Unacceptable" and a description of the unacceptable performance.

(b) What standards the employee must attain in order to demonstrate "Fully Successful" performance.

(c) The time allowed for the opportunity to improve. The time allowed must be reasonable and commensurate with the duties and responsibilities of the position, typically 30-90 calendar days.

(d) Statement of the possible consequences of failure to raise performance to the "Fully Successful" level during the opportunity period.

(2) If the employee fails to demonstrate performance at the "Fully Successful" level despite the PIP, the employee may be reduced in grade or removed from federal service pursuant to Section 432.105 of Title 5, CFR. The employee may also be subject to reassignment at the DoD Component's discretion.

3.10 (Added)(AF) PROBATIONARY AND TRIAL PERIODS. Employee performance may impact the successful completion of an employee initial probationary or trial period and the new supervisor's probationary period, which are an extension of the hiring or selection process.

a. (Added)(AF) Initial Probationary and Trial Period.

(1) (Added)(AF) Newly appointed employees must complete a probationary period when appointed in the competitive service pursuant to Section 315.801 Title 5 CFR, or a trial period when appointed in the excepted service pursuant to Section 316.304 for term appointments or as required per the applicable appointing authority. (T-0) Supervisors utilize this period to determine the employee's qualifications and/or fitness for continued employment.

(2) (Added)(AF) During the probationary or trial period these employees should receive closer supervision. The supervisor evaluates the employee's work performance and conduct and provides performance feedback, guidance, training, and counseling to assist with any necessary adjustment to the organization. The supervisor or employee may initiate feedback discussions at any time during the probationary or trial period.

(3) (Added)(AF) Unacceptable performance or conduct during the probationary or trial period is serious and can result in termination from federal service prior to the end of the probationary or trial period. Contact the human resources office for assistance as soon as employee performance deficiencies or conduct issues arise.

b. (Added)(AF) Probation for New Supervisors and Managers. Pursuant to Section 315.901 of Title 5 CFR, new supervisors and managers must complete a one-year supervisory or managerial probationary period upon their first assignment to a permanent supervisory or managerial position in the competitive service. (T-0) New supervisors and managers in the excepted service do not complete this probationary period.

(1) (Added)(AF) All new supervisors and managers must complete mandatory supervisory training during the one-year period following their initial assignment. (T-1) Individual completion of the supervisory training aids in the transition from working level skills to the required supervisory level skills necessary for successfully completing their probationary period. The rating official holds regular performance discussions throughout the probationary period to monitor progress and provide feedback, guidance, and counseling to the new supervisor or manager.

(2) (Added)(AF) Employees are notified in writing of the supervisory/managerial probationary period before assignment to a supervisory or managerial position. The notice includes information that if the supervisory or managerial probation is not satisfactorily completed the employee will be returned to a position of no lower grade or pay than the position from which transferred, assigned, or promoted. (T-0) There are very limited appeal rights over such placement.

**GABRIEL O. CAMARILLO
Assistant Secretary (Manpower and Reserve Affairs)**

APPENDIX 3A: EXCLUSIONS FROM COVERAGE**Table 3. Exclusions from Coverage**

Position	Authority
Acquisition Demonstration Projects	Page 1426-1500 of Volume 64, Federal Register (FR)
Academic Faculty members of an accredited college or university with specialized qualifications in positions of a scientific, professional, or analytical nature who are not employed for more than 130 working days per year.	Covered by Volume 430 of this instruction
Administrative Law Judge	Section 4301(2)(D) of Title 5, U.S.C.; Section 942 of Title 10, U.S.C.; Section 7105 of Title 41, U.S.C.
Defense Civilian Intelligence Personnel System	Section 1601 of Title 10, U.S.C.
Defense Intelligence Senior Executive Service	Section 1606 of Title 10, U.S.C.
Defense Intelligence Senior Level	Section 1607 of Title 10, U.S.C.
Employees outside the United States who are paid in accordance with prevailing rates for local nationals in that area	Section 4301(2)(A) of Title 5, U.S.C.
Experts and Consultants including members of advisory committees	Section 3109(b) of Title 5, U.S.C.; Section 129b of Title 10, U.S.C.
Highly Qualified Experts	Section 9903 of Title 5, U.S.C.
Mariners	The exclusion provided in the February 24, 1981 Office of Personnel Management Memorandum at: dodhrinfo.cpms.osd.mil/Directorates/HROPS/Labor-and-Employee-Relations/Pages/Home1.aspx
Nonappropriated fund employees	Section 2105(c) of Title 5, U.S.C.
Persons Without Pay	Section 1588 of Title 10, U.S.C.; Section 3111 of Title 5, U.S.C.
Presidential Appointees	Section 4301(2)(F) of Title 5, U.S.C.
Science and Technology Reinvention Laboratory	
Air Force Research Laboratory	Pages 53076-53126 of Volume 75, FR
Naval Research Laboratory	Pages 33970-34046 of Volume 64, FR
Office of Naval Research	Pages 77380-77447 of Volume 75, FR
NAVSEA, Naval Surface Warfare Center and Undersea Warfare Center	Pages 64050-64071 of Volume 62, FR

Table 3. Exclusions from Coverage Continued

Position	Authority
NAVAIR, Aircraft Division and Weapons Division	Pages 8530-8570 of Volume 76, FR
SPAWAR, Systems Center-Atlantic and SPAWAR, Systems Center-Pacific	Pages 1923-1964 of Volume 76, FR
Army Research Laboratory	Pages 10680-10711, and 13458 of Volume 63, FR
Aviation and Missile Research, Development and Engineering Center	Pages 53142-54143 of Volume 65, FR; Pages 34876-34903 of Volume 62, FR
Engineer Research and Development Center	Pages 14580-14599 of Volume 63, FR
Communications-Electronic Research, Development and Engineering Center	Pages 54872-54899 of Volume 66, FR
Armament Research, Development and Engineering Center	Pages 3744-3787 of Volume 76, FR
Edgewood Chemical and Biological Center	Pages 68936-68966 of Volume 74, FR
Natick Soldier Research Development and Engineering Center	Pages 68448-68475 of Volume 74, FR
Tank and Automotive Research, Development and Engineering Center	Pages 12508-12547, and 56406-56407 of Volume 76, FR
Medical Research and Materiel Command	Pages 10439-10462 of Volume 63, FR
Scientific or Professional employees	Section 3104 of Chapter 31 of Title 5, U.S.C.
Senior Executive Service	Section 4301(2)(E) of Chapter 43 of Title 5, U.S.C.
Senior Level employees	Section 430.302 of Title 5, CFR
Temporary Employees (serving under a temporary appointment for less than 1 year who agree to serve without a performance evaluation and who will not be considered for a reappointment or for an increase in pay based in whole or in part on performance)	Section 4301(2)(H) of Title 5, U.S.C.

GLOSSARY

G.1. ACRONYMS.

(Added)(AF) AAO	Award Approving Official
(Added)(AF) AD	Administratively Determined
(Added)(AF) AFRIMS	Air Force Records Information Management System
ASD(M&RA)	Assistant Secretary of Defense for Manpower and Reserve Affairs
CFR	Code of Federal Regulations
(Added)(AF) CCMD	Combatant Command
(Added)(AF) CPS	Civilian Personnel Section
CSRA	Civil Service Reform Act
DASD(CPP)	Deputy Assistant Secretary of Defense for Civilian and Personnel Policy
(Added)(AF) DRU	Direct Reporting Unit
(Added)(AF) FOA	Field Operating Agency
FR	Federal Register
HLR	higher level reviewer
(Added)(AF) MAJCOM	Major Command
NAVAIR	Naval Air Systems Command
NAVSEA	Naval Sea Systems Command
PIP	performance improvement plan
QSI	quality step increase
(Added)(AF) RDS	Records Disposition Schedule
SMART	specific, measurable, achievable, relevant, and timely
SPAWAR	Space and Naval Warfare Systems Command
U.S.C.	United States Code
USD(P&R)	Undersecretary of Defense for Personnel and Readiness
WGI	within-grade increase

G.2. DEFINITIONS. These terms and their definitions are for the purposes of this volume.

acceptable performance. Performance that meets an employee's performance requirements or standards in the elements being assessed.

(Added)(AF) aggregate salaries. The base salary plus the locality pay is used to determine the award budget.

appraisal. The process by which performance is reviewed and evaluated.

appraisal cycle. A 1-year period (April 1 – March 31) established by the DoD Performance Management and Appraisal Program in which an employee's performance will normally be reviewed, and a rating of record will be assigned.

approved performance plan. A performance plan written, reviewed, and approved in accordance with DoD Component procedures, which communicates expectations and requirements of employee performance for the appraisal cycle.

critical element. A type of performance element in which a work assignment or responsibility is of such importance that unacceptable performance on the element would result in a determination that the employee's overall performance is unacceptable. Critical elements are only used to measure individual performance.

detail. A temporary assignment to a different position or a set of duties for a specified period. The employee is expected to return to his or her permanent position of record at the end of the assignment.

employee performance file. A record containing copies of employees' performance ratings of record, including the performance plans on which the ratings are based. It also includes all performance-related records, such as forms or other documents, maintained as a system of records within the meaning Section 552a of Title 5, U.S.C., also known as the "Privacy Act of 1974."

HLR. A senior-level management official, normally above the level of a rating official.

matrixed employee. An employee hosted by an organization at a location apart from his or her permanent supervisor or organization of record and who is performing work for his or her organization of record. The employee may receive taskings from the host organization but he or she remains under the authority, direction, and control of his or her organization of record.

minimum period of performance. The minimum appraisal cycle for the DoD Performance Management and Appraisal Program is 90 calendar days on an approved performance plan.

MyPerformance. The DoD automated appraisal tool authorized for use by both supervisors and employees to document the performance management process of the DoD Performance Management and Appraisal Program.

opportunity period to demonstrate acceptable performance. A reasonable period for the employee whose performance has been determined to be unacceptable in one or more elements to demonstrate acceptable performance in the element(s) at issue.

performance. Accomplishment of work assignments or responsibilities.

(Added)(AF) performance-based awards. Awards granted to an employee based on a Level 3 (“Fully Successful”) or higher rating of record at the end of most recent appraisal cycle.

performance discussion. Joint communication between the supervisor and employee about the employee’s work performance and its link to organizational effectiveness. The discussions may consist of verbal feedback sessions or formal progress reviews.

performance element rating. The written, or otherwise recorded, appraisal of performance compared to the performance standards for each element on which there has been an opportunity to perform for the minimum period of performance.

performance improvement officer. A senior-level organizational leader with responsibility to supervise agency performance management activities; advise agency leaders about measuring organizational performance; and assist with integrating performance information into an agency’s employee performance appraisal process.

performance management. The integrated process by which an agency involves its employees in improving organizational effectiveness in the accomplishment of agency mission and strategic goals. Performance management consists of: performance planning, monitoring employee performance, evaluating employee performance, and recognizing and rewarding employee performance.

performance plan. All of the written, or otherwise recorded, performance elements and standards that set expected performance. A plan must include critical elements and their performance standards.

performance rating. An ordered category of performance from Level 1 through Level 5, with Level 1 as the lowest and Level 5 as the highest. Level 1 is “Unacceptable”; Level 3 is “Fully Successful”; and Level 5 is “Outstanding”. Also known as “summary level.”

performance standard. The management-approved expression of the performance threshold, requirement, and expectations that must be met to be appraised at a particular level of performance. A performance standard may include, but is not limited to, quality, quantity, timeliness, and manner of performance.

PIP. A strategy developed for an employee at any point in the appraisal cycle when performance becomes unacceptable in one or more elements. This plan affords an employee the opportunity to demonstrate acceptable performance and is developed with specific guidance provided by the servicing human resources office.

progress review. A type of formal performance discussion in which the supervisor communicates with the employee about the employee's performance compared to his or her performance standards. Supervisors are required to conduct at least one formal progress review during the appraisal cycle.

(Added)(AF) probationary period. The period of service of an employee upon initial appointment to a competitive position, which is used by the supervisor to determine qualifications and/or fitness for continued employment.

promotion. A change of an employee, while serving continuously within the same agency, either to a higher grade when both the old and the new positions are under the General Schedule or under the same type graded wage schedule, or to a position with a higher rate of pay when both the old and the new positions are under the same type of ungraded wage schedule, or are in different pay method categories.

QSI. An increase in an employee's rate of basic pay from one step or rate of the grade of his or her position to the next higher step of that grade or next higher rate within the grade (as defined in Section 531.403 of Title 5, CFR). Only an employee who receives a rating of record of "Outstanding" or equivalent is eligible.

rating of record. The performance rating level assigned at the end of an appraisal cycle for performance of agency-assigned duties over the entire cycle.

rating official. The person responsible for informing the employee of the duties of his or her position, establishing performance standards, providing feedback, appraising performance, and assigning the performance rating. Normally, this is the employees' immediate supervisor.

reassignment. The change of an employee, while serving continuously within the same agency, from one position to another without promotion or demotion.

reduction in grade. The involuntary assignment of an employee to a position at a lower classification or job grading level. A reduction in grade is also referred to as a demotion.

removal. The involuntary separation of an employee from federal service.

SMART. An acronym for criteria that can be used in writing and evaluating performance standards: specific, measurable, achievable, relevant, and timely.

supervisor (CSRA). Position meets the definition of "supervisor" in Section 7103(a)(10) of Title 5, U.S.C., but does not meet the minimum requirements for application of the General Schedule Supervisory Guide.

(Added)(AF) trial period. The period of service of an employee upon initial appointment to excepted service, which is used by the supervisor to determine qualifications and/or fitness for continued employment. A trial period is generally one or two years in length as required per the applicable appointing authority.

(Added)(AF) trusted agent. An individual assigned and authorized by the rating official or HLR to act on their behalf within the MyPerformance tool for the purpose of documenting their decisions related to performance management matters.

unacceptable performance. Performance that fails to meet the established performance standards in one or more elements of an employee's position. It is referred to as a Level 1 rating under the DoD Performance Management and Appraisal Program.

WGI. A periodic increase in an employee's rate of basic pay from one-step of the grade of his or her position to the next higher step within that grade. The employee's rating of record must be at the "Fully Successful" level to be eligible for a WGI.

REFERENCES

- Code of Federal Regulations, Title 5
- DoD Instruction 1400.25, Volume 410, “Training, Education, and Professional Development,” September 25, 2013
- DoD Instruction 1400.25, Volume 430, “Performance Management,” August 5, 2014
- DoD Instruction 1400.25, Volume 451, “Awards,” November 4, 2013
- Federal Register, Volume 62, Pages 34876-34903, June 27, 1997
- Federal Register, Volume 62, Pages 64050-64071, December 3, 1997
- Federal Register, Volume 63, Pages 10439-10462, March 3, 1998
- Federal Register, Volume 63, Pages 10680-10711, March 4, 1998
- Federal Register, Volume 63, Page 13458, March 19, 1998
- Federal Register, Volume 63, Pages 14580-14599, March 25, 1998
- Federal Register, Volume 64, Pages 1426-1500, January 8, 1999
- Federal Register, Volume 64, Pages 33970-34046, June 24, 1999
- Federal Register, Volume 65, Pages 53142-54143, August 31, 2000
- Federal Register, Volume 66, Pages 54872-54899, October 30, 2001
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- Federal Register, Volume 75, Pages 53076-53126, August 30, 2010
- Federal Register, Volume 75, Pages 77380-77447, December 10, 2010
- Federal Register, Volume 76, Pages 1923-1964, January 11, 2011
- Federal Register, Volume 76, Pages 3744-3787, January 20, 2011
- Federal Register, Volume 76, Pages 8530-8570, February 14, 2011
- Federal Register, Volume 76, Pages 12508-12547, March 7, 2011
- Federal Register, Volume 76, Page 56406-56407, September 13, 2011
- Office of Personnel Management Memorandum, “Military Sealift Command Exclusions,” February 24, 1981¹
- United States Code, Title 5
- United States Code, Title 10
- United States Code, Title 41
- (Added)(AF) Air Force Policy Directive 36-10, “Civilian Performance and Recognition,” 23 September 2015**
- (Added)(AF) Air Force Instruction 36-401, “Employee Training and Development,” 28 June 2002**
- (Added)(AF) Air Force Instruction 36-1004, “The Air Force Civilian Recognition Program,” 29 August 2016**

(Added)(AF) *Adopted Forms*

(Added)(AF) AF Form 847, *Recommendation for Change of Publication*

(Added)(AF) AF Form 1001, *Award Recommendation Transmittal*¹

¹ The exclusion is provided in the February 24, 1981 Office of Personnel Management Memorandum at: <https://dodhrinfo.cpms.osd.mil/Directorates/HROPS/Labor-and-Employee-Relations/Pages/Home1.aspx>.