

GREEN BOOK: ARTICLE 38. PERFORMANCE APPRAISAL

Section 1. Policy

It is the Employer's policy to operate a performance appraisal program in a manner which is consistent with applicable statutes, regulations, and this Agreement.

A written performance plan will be provided to each employee covered by this Agreement at the beginning of each appraisal period (normally within 30 days). The performance plan includes the dates of the appraisal period, and performance elements and standards.

Section 2. Definitions

- A. *Appraisal Unit*: The unit of measure used to establish the relative weighted value of critical and non-critical performance elements.
- B. *Appraisal Period*: The official appraisal period for which a performance plan must be prepared, during which performance must be monitored, and for which a rating of record must be prepared is October 1 through September 30 of each year. The minimum performance appraisal period is ninety (90) days. If an employee has not served at least ninety (90) days at September 30, the rating official may extend the appraisal period accordingly.
- C. *Critical Element*: 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 unacceptable. Such elements must be used to measure performance only at the individual level.
- D. *Element Rating*: The level of performance assigned to the employee's performance for an individual performance element as measured by a comparison of accomplishments to the performance standards established for that element.
- E. *Employee Performance File (EPF)*: A folder containing an employee's ratings of record and the associated performance plans for the most recent four years.
- F. *Inability to Rate an Employee*: When a rating of record cannot be prepared at the time specified, the appraisal period will be extended, such as, when the employee has not met the 90-day minimum rating period at the end of the appraisal period. Once the conditions necessary to complete a rating of

- record have been met, a rating of record will be completed as soon as practicable.
- G. *Minimum Period*: The minimum 90-day period of performance that must be completed before a performance rating may be prepared.
 - H. *Performance*: The accomplishment of work assignments or responsibilities.
 - I. *Performance Plan*: All of the written or otherwise recorded, performance elements that set forth expected performance. A plan must include all elements, critical and non-critical elements if used, and their performance standards.
 - J. *Performance Standard*: The management-approved expression of the performance threshold(s), requirement(s), or expectation(s) 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, cost-efficiency, timeliness, and manner of performance.
 - K. *Progress Review*: Communicating with the employee about performance compared to the performance standards for critical and non-critical elements.
 - L. *Rating Official*: A representative of management, generally the employee's immediate supervisor, who establishes the employee's performance plan; provides the progress review; prepares an interim appraisal, as applicable; and prepares the final rating of record.
 - M. *Rating of Record*: The performance rating prepared at the end of an appraisal period for performance of assigned duties over the applicable period and the assignment of a summary rating.
 - N. *Reviewing official*: A representative of management, generally the employee's second-level supervisor, who reviews and approves the performance plan; interim appraisal, as applicable; and rating of record.
 - O. *Unacceptable Performance*: An employee's performance that fails to meet established performance standards in one or more critical elements of such employee's position.

Section 3. Employee Responsibilities

- A. All employees are responsible for:
 - 1. Participating in discussions with their rating officials concerning the development of performance elements, standards and measures and participating in their progress reviews and performance appraisals;

2. Ensuring they have a clear understanding of their performance expectations and how performance relates to the mission of the organization and requesting clarification from the rating official, if necessary;
3. Taking responsibility to improve their own performance, performing at their full potential, supporting team endeavors, and continuing professional development;
4. Identifying work problems and cooperating to resolve them with rating officials; and,
5. Seeking performance feedback from their rating official and, as appropriate, from internal and external customers.

Section 4. Employer Responsibilities

A. Rating officials are responsible for:

1. Communicating performance expectations clearly and holding employees accountable, monitoring performance during the appraisal period and providing performance feedback to employees, developing employees, making meaningful distinctions for assigned ratings based upon performance, fostering and rewarding excellent performance, and taking appropriate actions to address performance not meeting expectations.
2. Conducting one or more progress reviews, giving feedback on the quality of performance during the appraisal period, and preparing ratings.
3. Engaging the employee in the process of establishing and documenting the employee's performance plan.
4. Preparing performance ratings in a timely manner and recognizing employees who demonstrate noteworthy performance, ensuring equity and consistency in consideration for awards.

Section 5. Rating Performance

A. To be eligible for a rating of record, an employee must have worked under a performance plan for at least the 90 day *minimum period*. If necessary, the appraisal period will be extended until the minimum rating period has been met before a rating of record is issued.

- B. At least once during the appraisal period, the employee's rating official must conduct an interim progress review. The *interim progress review* must be conducted at the midpoint of the appraisal period to ensure that performance elements and standards are appropriate and to advise the employee of current performance.
- C. A written record of rating will be issued to each employee as soon as practicable after the end of the appraisal period, normally within thirty (30) days. The rating of record consists of ratings for each element in the performance plan, and the assignment of a *rating of record*.

Section 6. Temporary Duty Assignments (Details) and Temporary Promotions

- A. For details and temporary promotions for 120 days or less, written performance elements and standards are not required. The supervisor responsible for the detail or temporary promotion should document the employee's accomplishments at the end of the TDY assignment or detail and forward it to the employee's rating official for appropriate consideration. For Emergency Programs Form ICS 225 or equivalent may be used to document the employee's accomplishments. The employee's rating official will give the accomplishments the appropriate consideration, e.g., performance of elements and standards associated with the employee's normal duties versus duties not normally performed.
- B. For details (within the Department) or temporary promotions for more than 120 days, the supervisor responsible for the detail or temporary promotion must establish elements and standards and communicate them, in writing, to the employee normally within thirty (30) days of the start of the detail or temporary promotion. An interim progress review must be conducted to document the employee's accomplishments at the end of the detail or temporary promotion and provided to the employee's rating official for consideration in the final rating of record.

Section 7. Employee's Performance File (EPF)

The ratings of record and the associated performance plans for the most recent four (4) years (or longer as required) will be maintained in the EPF. The information in the EPF will be safeguarded and maintained pursuant to Article 35 Personnel Records, Section 3.

Section 8. Individual Development Plans (IDP)

As a part of the performance planning process, each employee is encouraged to discuss short- and long-term learning and developmental goals with the supervisor and

develop an IDP. The IDP includes approved elective training, education and developmental activities in which employees may engage to improve their knowledge, skills and abilities and ultimately, job performance. The IDP should be set forth on Form AD-0881, Individual Development Plan or subsequently approved form.

Section 9. Unacceptable Performance

- A. If at any time during the performance appraisal period an employee's performance is determined to be unacceptable in one or more critical elements, the rating official must:
1. Notify the employee of the performance element(s) for which performance is unacceptable; and,
 2. Inform the employee of the performance requirement(s) or standard(s) that must be attained to demonstrate acceptable performance.

The rating official should inform the employee that unless his/her performance in the critical element(s) improves to and is sustained at an acceptable level, the employee may be reassigned, reduced in grade or removed. See also Actions Based Upon Unacceptable Performance as addressed in Article 39 and Article 41 Within Grade Increases (WGI).

- B. Performance Improvement Plans (PIP): For each critical performance element in which the employee's performance is unacceptable, the rating official must afford the employee a reasonable opportunity to demonstrate acceptable performance commensurate with the duties and responsibilities of the employee's position and place the employee on a performance improvement plan. The performance improvement plan must include:
1. a minimum opportunity period of 60-days to demonstrate acceptable performance; and,
 2. the identity and description of the performance deficiencies in the performance elements and standards for which the employee's performance is at the unacceptable level.

Section 10. Miscellaneous Provisions

- A. Prior to the early termination of a previously announced evaluation period, the Employer will normally give employees at least thirty (30) days notice of termination of the evaluation period.

- B. Performance expectations must be communicated to employees before employees may be held accountable for them. The employee will not be required to sign a pre-dated performance plan.
- C. Employees are expected to exercise due diligence in performance of their assigned duties. However, the Employer will give appropriate consideration to matters beyond the employee's control when evaluating performance standards and elements.
- D. Employees may utilize the grievance procedures when they believe a manager is not following the Employer's performance appraisal process.
- E. The Employer will give appropriate consideration to duties performed outside of the employee's job description.
- F. The Employer will provide example(s) to each employee in writing prior to the evaluation year of what the employee may do to exceed acceptable performance in each standard and element. This written communication will be attached to the performance standards when given to the employee. The examples will be provided for illustrative purposes only and are not to be viewed as all inclusive. It is recognized that dynamic work requirements, changing priorities or mission emergencies may significantly impact what is viewed as exceptional performance during any given rating period.