

(b) (2)
(b) (3)

UNCLASSIFIED

Date: 02/17/2005**Category:** 20 - Human Resources **OPR:** HR**Title:** AR 20-20 THE PERFORMANCE APPRAISAL SYSTEM

--

REVISION SUMMARY: 17 February 2005

This regulation supersedes AR 20-20, dated 16 August 2004.

AR 20-20 is revised to reflect current guidance and policy regarding the performance appraisal system. A modification has been made in paragraph b(1) regarding the definition of a memorandum for the record (MFR). Paragraphs c(1), (2), and (5) reflect a change from the 90-day timeframe on performance documentation to 120 days. Paragraph g changes the single PAR due date from 30 April to the date applicable for each grade as established in an annual Agency Notice. Paragraph i(2) identifies who is an appropriate adjudicator for a PAR rebuttal. Paragraphs e(2), j, and m(2) reflect an organizational structure and position title change from Chief Human Resources Officer to Chief, Office of Human Resources.

Boldfaced text in this regulation indicates revisions.

This regulation was written by the Policy Staff, Centralized and Deployed Human Resources, HR Policy@DA.

20. (FOUO) THE PERFORMANCE APPRAISAL SYSTEM**(U) Table of Contents**

- a. Authority**
- b. Definitions**
- c. Submission of Performance Reports**
- d. Primary Performance Appraisal System Participants**
- e. Performance Objectives and Performance Standards**
- f. Performance Feedback**
- g. Process for Annual PAR Completion**

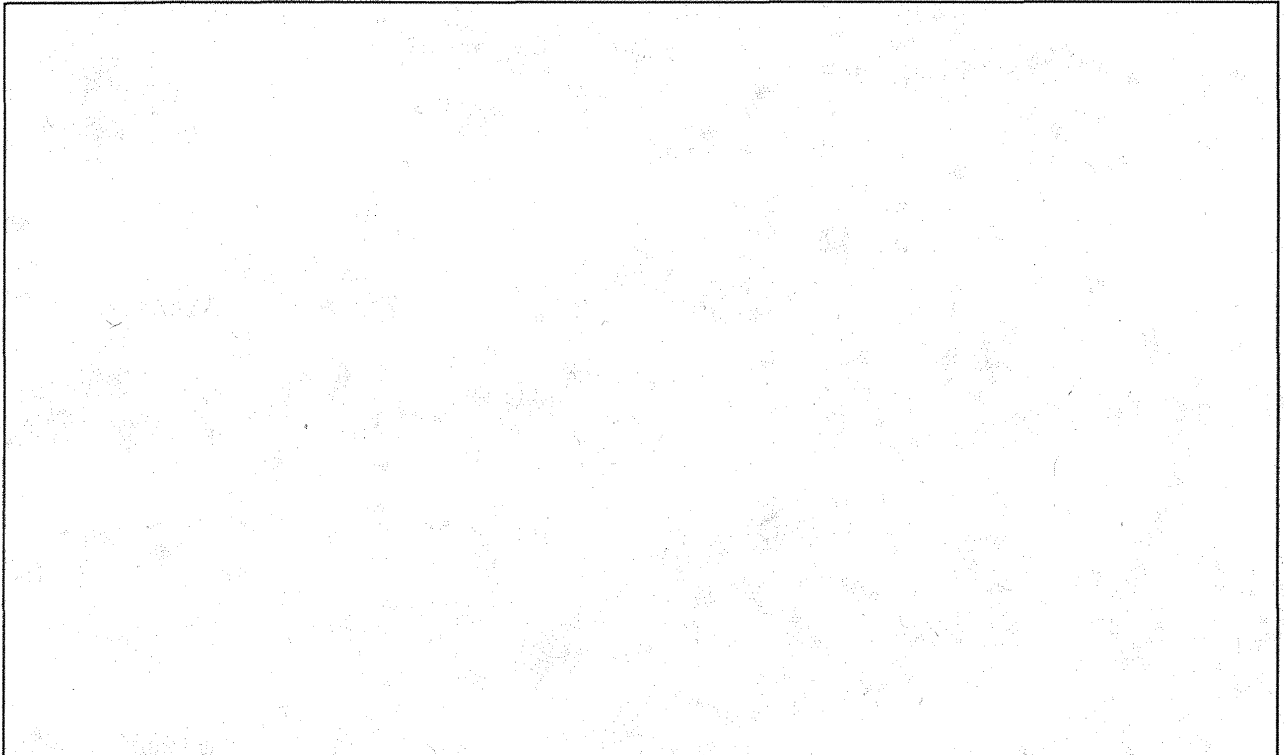
APPROVED FOR RELEASE
DATE: JAN 2008

UNCLASSIFIED

- h. Incomplete PARs**
 - i. Rebuttals**
 - j. Changing Information in a Closed PAR**
 - k. Relationship to Termination of Employment**
 - l. Not Used**
 - m. Responsibilities**
- Attachment 1: Midcycle Feedback Form**

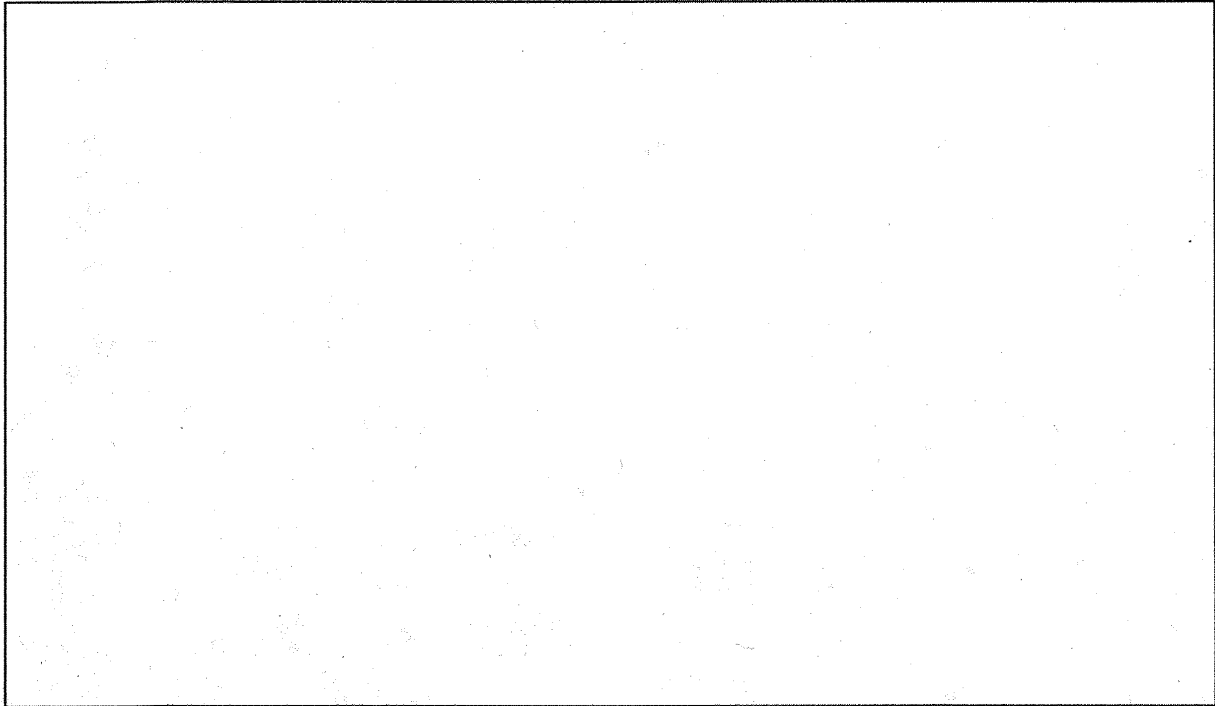
(U) SYNOPSIS. This regulation describes the automated performance appraisal system (PAS) used by the Agency in evaluating performance documented in the employee's performance appraisal report (PAR). It addresses specifics of the following features:

- (1) Completing a PAR and a memorandum for the record.**
 - (2) Establishing the performance objectives and verifying the performance standards.**
 - (3) Performance feedback.**
 - (4) The consequences for failure to complete a PAR within the established deadlines.**
 - (5) The rebuttal process.**
 - (6) The roles and responsibilities of individuals throughout the PAR rating period.**
- a. (U//FOUO) AUTHORITY.** Section 8 of the CIA Act of 1949, as amended (50 U.S.C. 403j).
- b. (U) DEFINITIONS**



UNCLASSIFIED

UNCLASSIFIED



c. (U//FOUO) SUBMISSION OF PERFORMANCE REPORTS

(1) **The PAR.** Each employee will prepare an annual PAR unless a PAR has been prepared for some other reason within 120 days before the end of the annual rating period. However, employees in investment assignments are exempt from meeting the annual PAR requirement as described in paragraph c(3) below.

(a) **Other Situations That Require a PAR.** During the annual PAR rating period, a PAR must be prepared to evaluate periods of performance of 120 days or more when one of the following situations exist:

(1) The employee is reassigned.

(2) The rating official is reassigned or separates from the Agency.

(3) The employee's performance objectives change due to a significant change in position responsibilities.

(4) The employee is placed on extended leave without pay (LWOP) or another type of extended leave of absence from the workplace.

(b) **Periods Fewer Than 120 Days.** Employees or supervisors may prepare a PAR for a period of fewer than 120 days if they believe that the lack of such a PAR will adversely affect the employee's evaluation.



UNCLASSIFIED

UNCLASSIFIED

d. (U) **PRIMARY PERFORMANCE APPRAISAL SYSTEM PARTICIPANTS.** Apart from the employee, the primary performance appraisal system participants are the rating official, the reviewing official, and the unit supervisor, if applicable.

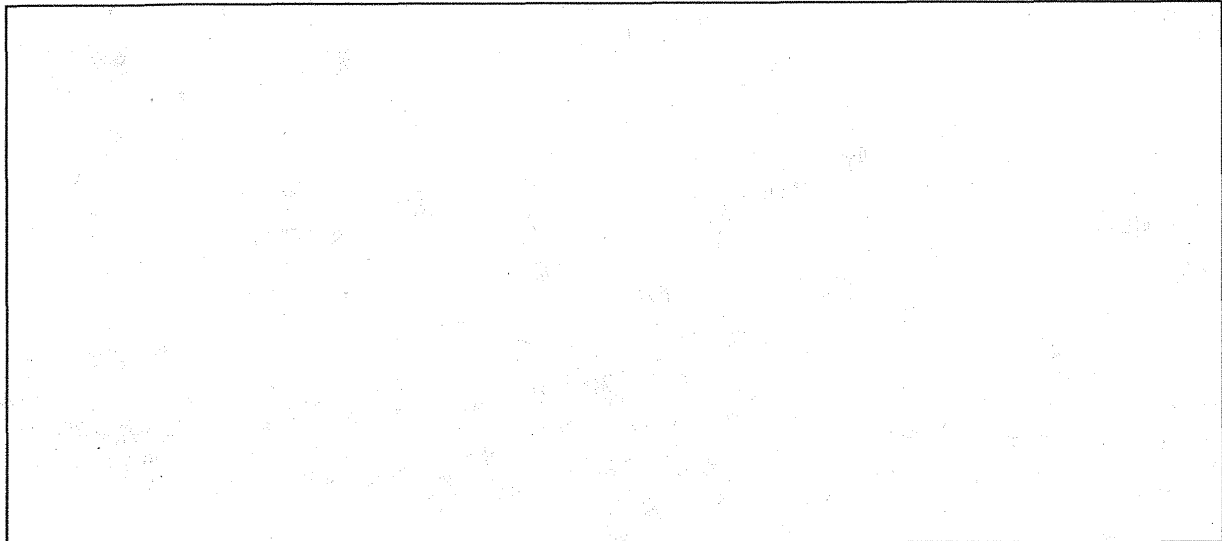
(1) **Rating and Reviewing Official.** Generally, either the rating official or the reviewing official must be a member of the employee's career service. Exceptions or deviations to this requirement are described below. The rating official establishes the employee's performance objectives and provides performance feedback throughout the rating period. Both the rating official and the reviewing official provide comments in the employee's PAR. The rating official and reviewing official will give feedback to the employee on those comments. There may be rare situations where there is no appropriate reviewing official. For example, there may be no appropriate reviewing official for a Special

UNCLASSIFIED

UNCLASSIFIED

Assistant to a Deputy Director.

- (a) **Agency Employees Detailed to Another Federal Agency.** Generally, the employee's immediate supervisor at the host Federal Agency must serve as the rating official and the reviewing official must be a member of the employee's career service. In some cases, the immediate supervisor is a member of the employee's career service. In these cases, the reviewing official does not need to be a member of the employee's career service.
- (b) **Employees on Rotational Assignments.** The rating official will be from the host component and the reviewing official will be from the employee's career service.
- (c) **Special Circumstances.** In limited situations, the organizational structure or nature of the assignment may make it impractical or impossible for the rating official or the reviewing official to be a member of the employee's career service. In these cases the head of the employee's career service may grant exceptions to the requirement for the rating official or reviewing official to be a member of the employee's career service.



- e. (U) **PERFORMANCE OBJECTIVES AND PERFORMANCE STANDARDS.** The rating official will establish the performance objectives (in consultation with the unit supervisor, if applicable) and discuss and verify the performance standards with the employee at the beginning of each annual PAR rating period.
 - (1) **Performance Objectives.** The performance objectives are developed by the rating official and reviewing official, as well as any other applicable management officials within the employee's chain of command and are aligned to the organizational performance priorities. The objectives must be relevant and applicable to the work expected of each employee.
 - (a) **Finalizing the Objectives.** The performance objectives should be finalized in the performance appraisal system within the first 10 business days of the rating period, but no later than 45 calendar days from the start of the rating period.
 - (b) **Changing Existing Objectives During a Rating Period.** Each performance

UNCLASSIFIED

objective has a beginning and end date. These dates are generally the same as the annual PAR rating period beginning and end date. However, an individual performance objective may change during a rating period and would result in a new beginning and/or end date. Situations in which performance objectives may change include, but are not necessarily limited to, the following:

- (1) Significant changes in position responsibilities.
- (2) Modifying an existing objective.
- (3) Adding a new objective.
- (4) Closing a completed objective.
- (5) Removing an objective that is no longer relevant.

(2) **Performance Standards.** Performance standards are skills and behaviors required for successful performance in a job. Subject matter experts identify the requisite skills and behaviors after HR professionals have analyzed each job level in an occupation. The **Chief, Office of Human Resources**, is responsible for ensuring that performance standards are current and available for every Agency occupation.

(a) The performance standards are generally linked to the position title and level for each job within an occupation and represent the behaviors and skills required of an employee assigned to the position.

(b) There may be instances where the level of work expected of the employee is different than the level of work of the position. In such cases, an appropriate official of the career service, as determined by the Head of the Career Service or Head of Career Service Subgroup, should evaluate what work requirements they expect of the employee and consider changing the position level to match the level of work expected. However, if the evaluation reveals that the position level should not be changed, the rating official may need to change the standards to match the level of work expected of the employee. Instances in which it may be appropriate to change the standards rather than changing the position level may include, but are not limited to, the following:

- (1) **Entry-Level or Developmental Employees.** An entry or developmental level employee is assigned to a position at full performance and the employee cannot reasonably be expected to perform at that level.
- (2) **Employees Above the Full-Performance Level Assigned to Positions at a Lower Level.** An employee above the full performance level is assigned for a specified period of time to a position below his or her level to fulfill mission critical work requirements.

f. (U//FOUO) **PERFORMANCE FEEDBACK.** Rating officials and unit supervisors are responsible for giving employees feedback on their performance throughout the rating period.

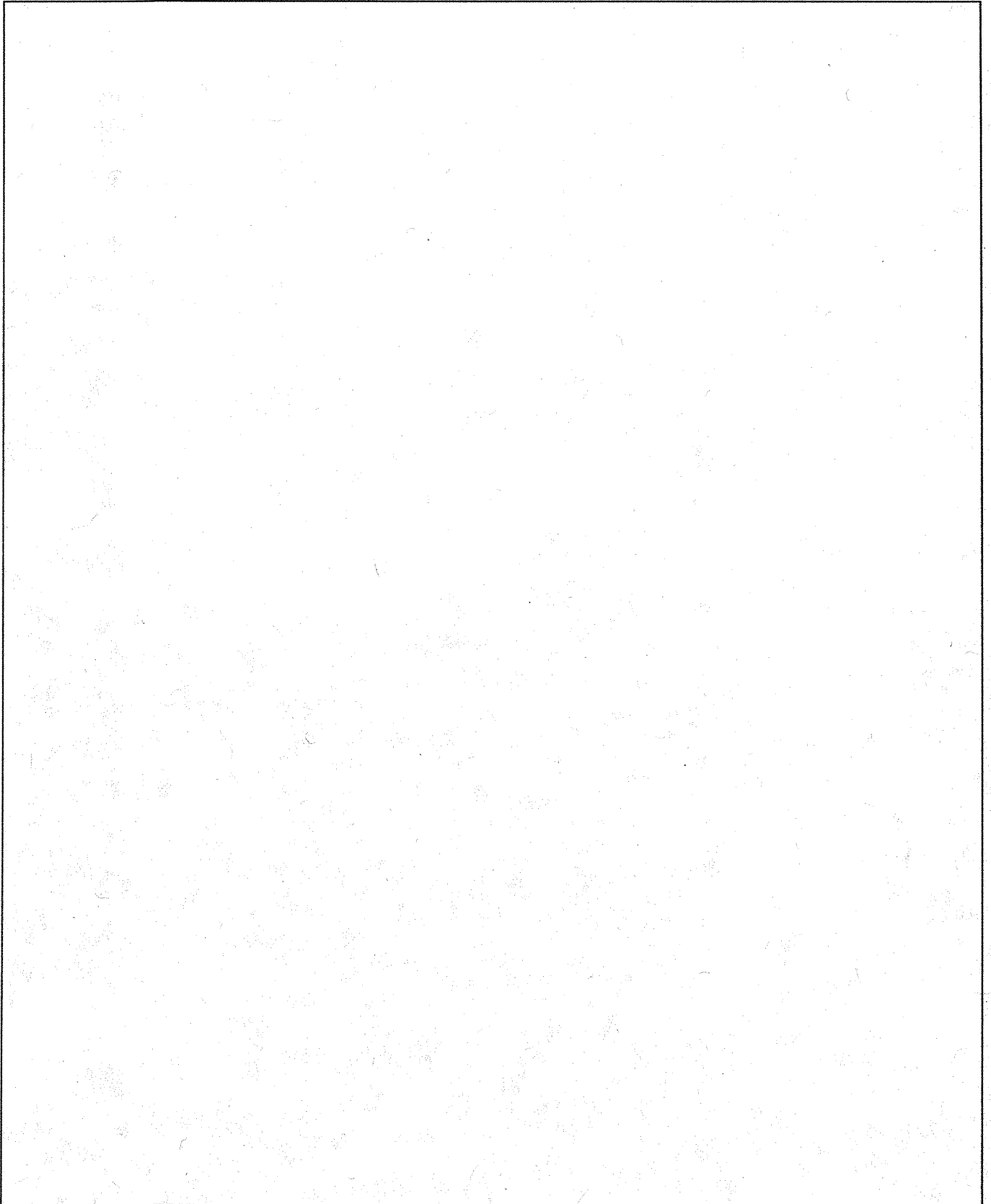
(1) **General Guidelines.** Feedback should be an assessment of how well the employee is performing against performance objectives and performance standards and the impact of

UNCLASSIFIED

his or her work on mission requirements. Feedback will be constructive in content and will also acknowledge observed achievements or accomplishments, as appropriate. Rating officials should provide timely feedback after becoming aware of an employee's achievement/accomplishment or of an adverse performance issue. Adverse performance issues may include any information or judgment, written or otherwise, that may adversely affect accomplishment of the organization's mission and the employee's advancement to the next level, assignment, career development, or retention by the Agency.

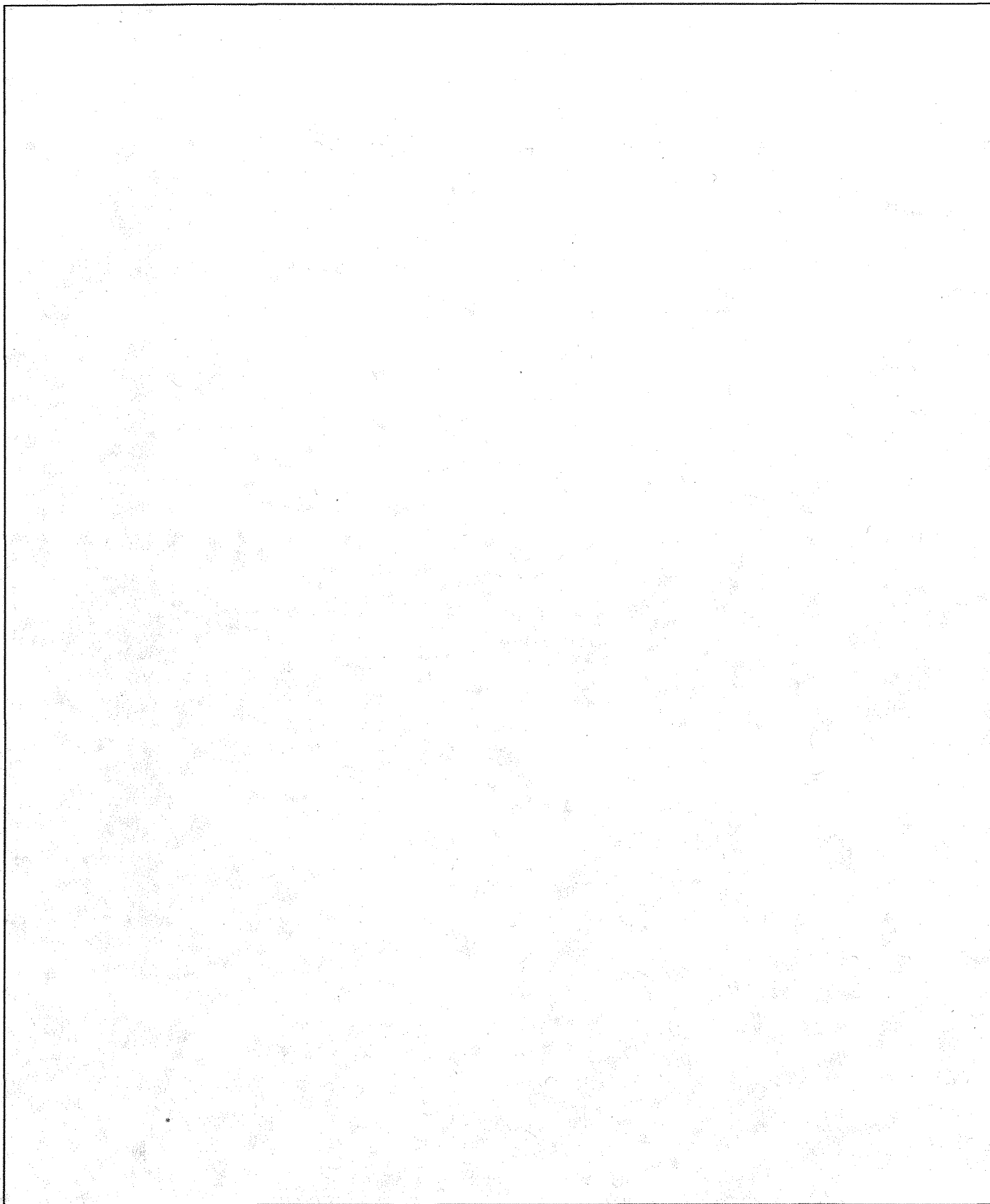
- (2) **Midcycle Feedback.** The rating official is required to document and present midcycle feedback to the employee. The rating official should seek feedback from the unit supervisor (if applicable) before meeting with the employee to ensure there is a comprehensive understanding of employee performance from all relevant parties that ultimately affects evaluation and documentation of an employee's performance on the PAR.
- (a) Midcycle feedback should occur between 1 August and 31 October each year. If the rating official does not have a valid reason for failing to provide midcycle feedback, the rating official may be subject to disciplinary action as defined in AR 13-3.
- (b) To ensure uniformity in the documentation of midcycle feedback, the rating official will use the midcycle feedback form (Attachment 1). This form is a temporary working document for the rating official's use in providing ongoing feedback throughout the rating period and in completing the annual performance appraisal. Once a PAR is written and acknowledged by the employee, the rating official destroys the feedback form.

UNCLASSIFIED



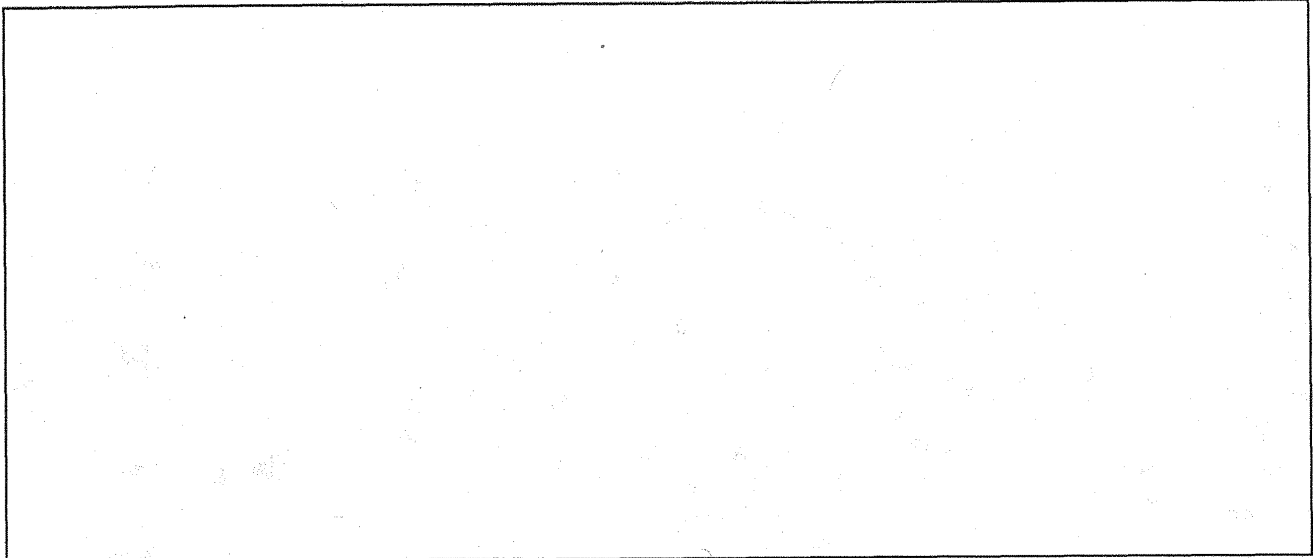
UNCLASSIFIED

UNCLASSIFIED



UNCLASSIFIED

UNCLASSIFIED

**m. (U//FOUO) RESPONSIBILITIES**

- (1) **Deputy Directors and Heads of Independent Offices.** Develop organizational performance priorities for their organizations within the context of the Agency's Strategic Direction.
- (2) **Chief, Office of Human Resources**
 - (a) Develops and maintains the policy, the process, and the automated performance appraisal system.
 - (b) Approves performance standards for all occupations.
 - (c) Authorizes changes in information in closed PARs and has delegated this authority to the component human resources (HR) chiefs.
- (3) **Head of Career Service**
 - (a) Verifies the performance standards for occupations in their career service and identifies subject matter experts to assist HR in developing and maintaining the performance standards.
 - (b) Determines whether writing a narrative for performance standard ratings of 3 and 4 is required and applies this decision to all employees within the career service.
 - (c) Identifies adjudicators on PAR rebuttals in accordance with paragraph i details.
- (4) **Reviewing Official**
 - (a) Ensures the compliance of rating officials with rating official responsibilities.
 - (b) Provides substantive comments in the PAR on the performance of each employee under his or her purview and provides feedback to the employee on those comments.
- (5) **Rating Official**
 - (a) Establishes employee performance objectives.

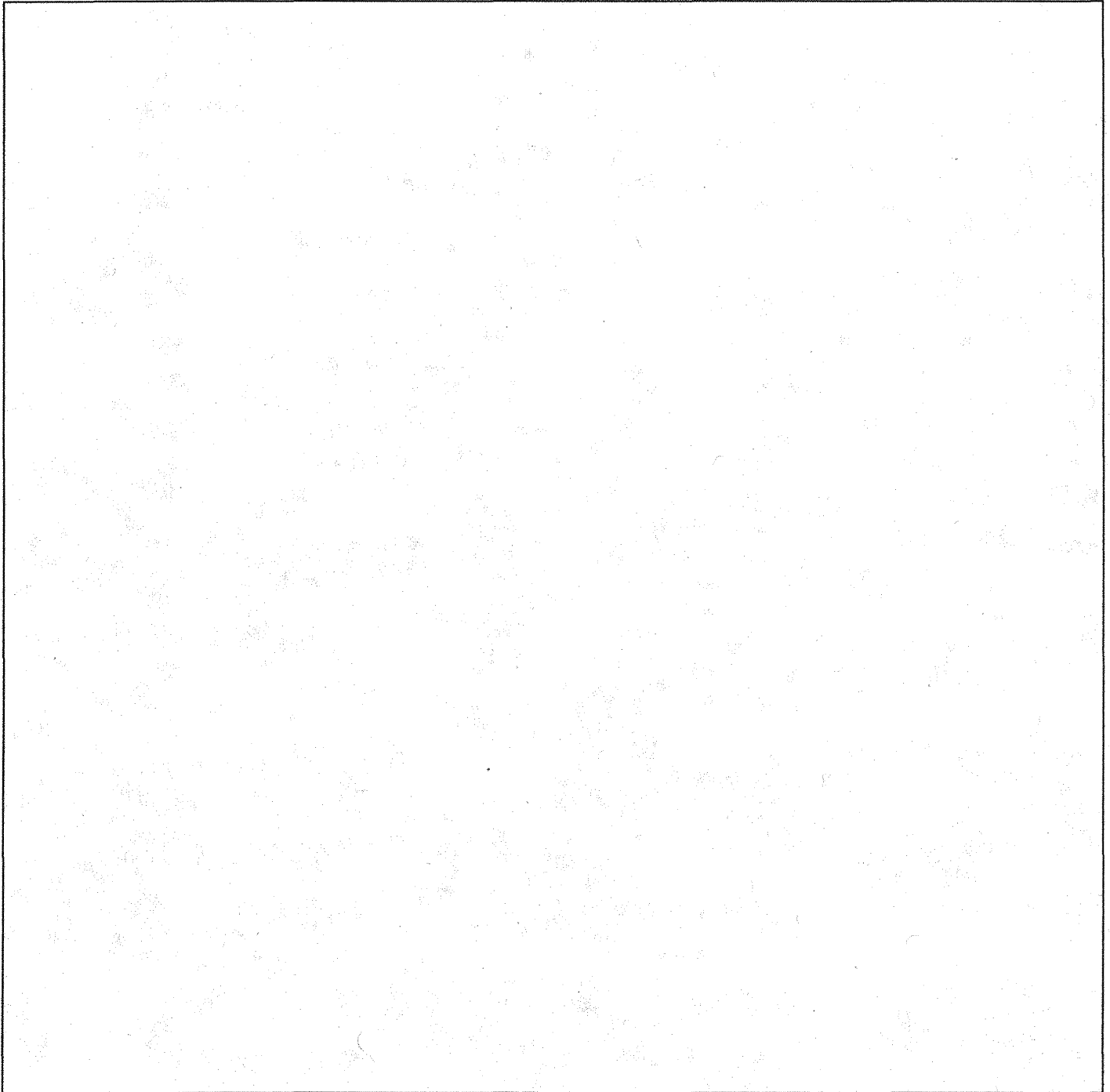
UNCLASSIFIED

UNCLASSIFIED

- (b) Provides formal midcycle feedback as well as performance feedback to employees throughout the rating period.
 - (c) Assesses and evaluates employee accomplishments in accordance with applicable standards and objectives.
 - (d) Assigns performance standard ratings for each common and specialized standard, evaluates performance effectiveness against the performance standards, and assigns an overall performance rating.
 - (e) Ensures that all elements of the PAR are completed on time.
 - (f) Prepares an MFR when applicable.
 - (g) Seeks input from the unit supervisor (if applicable) on an employee's performance throughout the rating period.
- (6) Unit Supervisor (if applicable)**
- (a) Reviews and provides input on employee performance objectives.
 - (b) Provides performance feedback to the employee throughout the rating period.
 - (c) Provides narrative comments in the PAR to document employee performance and ensures that those comments are prepared on a timely basis for completion of the PAR within the established deadline by all applicable officers.
- (7) Component HR Chiefs.** Make authorized changes in an employee's closed PAR.
- (8) Employee**
- (a) Participates in the development of performance objectives.
 - (b) Initiates and/or acts on performance feedback throughout the year.
 - (c) Initiates the PAR and prepares significant accomplishments for the PAR in a timely manner to ensure that the PAR is completed within the established deadline by all applicable officers.

UNCLASSIFIED

**(U) Attachment 1
Midcycle Feedback Form**

A large, empty rectangular box with a black border, representing the content area of the Midcycle Feedback Form. The box is currently blank, indicating that the feedback content has not been entered or is redacted.

UNCLASSIFIED

UNCLASSIFIED

UNCLASSIFIED