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Personnel

**PROBATIONARY PERIOD APPRAISAL
AND PERFORMANCE EVALUATION
NON-UNITED STATES CITIZEN EMPLOYEES**

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

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This instruction implements AFD 36-7, *Employee and Labor-Relations Management*. It states the requirements and procedures for evaluating performance of non-United States (US) citizen employees in Germany, Italy, Turkey, and the United Kingdom (direct-hires). It applies to all US Forces supervisors whose employees are serviced by a United States Air Force Civilian Personnel Flight (CPF). Maintain and dispose of records created as a result of prescribed processes in accordance with Air Force Manual (AFMAN) 37-139, *Records Disposition Schedule*. It does not apply to Air Force Reserve or Air National Guard units.

SUMMARY OF REVISIONS

This revision includes coverage of direct-hire employees in the United Kingdom and updates references to regulatory material, and office symbols.

1. Requirements. Employees must be briefed on performance requirements of their jobs and advised as to how well they meet them. An employee's performance is evaluated during the probationary period and continuously thereafter. As a minimum, conduct an evaluation once per year on or about 15 May (for exceptions see paragraph 4.4.1.). While good performers are afforded special recognition, corrective action is appropriate in those cases where an employee fails to meet the requirements of the job.

2. Responsibilities:

2.1. Civilian Personnel Officers:

2.1.1. Administer the performance evaluation and recognition, probationary period appraisal, and exit evaluation programs.

2.1.2. Assist and train supervisors in the performance of their duties relating to these programs.

2.1.3. Provide a written reminder of appraisal due dates before the end of probationary or trial periods.

2.1.4. Maintain records of letters of appreciation or commendation, exit evaluations, and performance recognition awards by placing a copy in the employee's official personnel folder (OPF). If OPFs are not maintained, file the information in separate employee performance folders.

2.2. Supervisors:

2.2.1. Set the performance requirements, either verbally or in writing, for each position or group of identical positions under their immediate supervision (see paragraph 3.).

2.2.2. Inform employees of their position and performance requirements on initial assignment and through periodic discussions.

2.2.3. Monitor the day-to-day performance of employees and measure their performance against the established standards.

2.2.4. Hold confidential discussions with employees to keep them advised of how well they are meeting expectations. Counsel and provide assistance to employees who may have difficulties performing in a satisfactory manner (see paragraph 4.).

2.2.5. Record discussions and performance evaluations by annotating part B of AF Form 971, **Supervisor's Employee Brief**, as prescribed in AFPAM 36-106, *Supervisor's Record*.

3. Setting Performance Standards. Performance standards must be measurable and describe how major tasks are to be performed in regard to quantity, quality, and timeliness to be considered fully successful. A performance standard should recognize the degree of difficulty and reflect the consequences of the work outcome to the organization and mission. It is the yardstick that permits accurate evaluation of job performance in relation to the requirements of the position. Performance standards recognize requirements that may be prescribed in directives, technical orders, office instructions, etc., and should be expressed in terms of one or more of the following criteria:

3.1. **Quality.** Applicable to work that is measured in terms of accuracy, excellence, cost requirements, courtesy to the public, etc. May be evaluated in terms of how the work is accomplished versus the results of the work.

3.2. **Timeliness.** Applicable to work that is measured by the average length of time required to perform a task or tasks or in terms of completion dates. Timeliness is a result-oriented standard.

3.3. **Quantity.** Applicable to work that is measured by the amount or percentage of work produced or by the number of times something is done in a period of time.

4. Evaluation Process:

4.1. **General.** Monitor the work performed by employees on a continuous basis. Supervisors should keep employees advised of how well they are meeting expectations through personal discussions. Use these discussions to review the relevance of tasks, monitor projects, counsel employees who may be having difficulty, and recognize employees who are meeting or exceeding standards.

4.2. **Probationary Period Appraisal.** Supervisors will carefully observe the employee's performance and conduct during the probationary period established in connection with a placement action. If the employee's performance and conduct are satisfactory and they are to be retained, the supervisor

summarizes the employee's performance on the computer-generated AF Form 971. If performance is unsatisfactory or if it is determined that the employee is otherwise not suited for the position, the supervisor must immediately consult the CPF staff concerning appropriate action to be taken.

4.3. Periodic Performance Discussions:

4.3.1. Supervisors should discuss performance with employees on a continuous basis to inform them of:

4.3.1.1. Achievements.

4.3.1.2. Improvements that are necessary because of the failure to meet performance standards. Take all possible actions to assist the employee in achieving the necessary improvements. Advise employees of the consequences, should they fail to show improvements, and set a fair time limit for the employee to raise the performance to a satisfactory level.

4.3.2. When continuous evaluations reveal an unsatisfactory level of performance after corrective measures have been taken, take appropriate action to place the employee in a job at the same or lower grade level in which they can perform satisfactorily. If this is not possible, take action to terminate employment according to local labor laws, labor contracts or agreements with the host country.

4.4. Annual Performance Evaluation:

4.4.1. Supervisors evaluate the performance of each employee who, on 15 May of a calendar year, has been assigned to his or her position for at least 90 days.

4.4.1.1. Employees who are under notice of separation need not be evaluated (see paragraph 4.5.).

4.4.1.2. If an employee has served less than 90 days in the position because of such circumstances as absence on extended leave, detail, training, or a recent change in position or grade, postpone the evaluation. Accomplish it within 2 weeks after completion of 90 days in the job.

4.4.1.3. If the supervisor changes prior to the performance appraisal date, provide the new supervisor with appraisal rating information as of the date of the change. This enables the new rating official to render a performance rating on the due date.

4.4.2. Conduct the annual performance evaluation in a relaxed atmosphere. Record a summary of the evaluation on AF Form 971. Special rating forms are not authorized.

4.5. **Exit Evaluation.** Supervisors conduct an exit evaluation in all cases of termination of employment. The evaluation covers the total employment period with the respective organization. Give consideration to previous evaluations and other information contained in the supervisor's employee work folder. Prepare the exit evaluation in writing using USAFE Form 199, **Employment Inquiry**. Supervisors annotate the top of the form to read, "Exit Evaluation", then send the completed form to the CPF before the employee's termination date.

5. Performance Recognition. Supervisors should consider all available methods of recognition and exercise flexibility in balancing monetary or nonmonetary recognition of performance. Examples of such recognition can include granting a cash award for performance that is above fully successful, granting an early step increase based on quality of performance, (IAW Collective Tariff Agreement (CTA II) for Germany only) letter of commendation or appreciation, or honorary awards. Supervisors must use good judg-

ment and select the recognition that best reflect the relationship between performance and recognition. The recommendation to recognize an employee should not be discussed with the employee until final approval is received. The various types of recognition are described below:

5.1. Letter of Appreciation:

- 5.1.1. Is signed by the immediate supervisor, higher level supervisor, or any individual having knowledge of the service rendered.
- 5.1.2. Is given to the employee or sent through supervisory channels.
- 5.1.3. Is recorded in or a copy attached to the supervisor's employee work folder and may be used in support of recommendation for awards.
- 5.1.4. A copy is forwarded to the CPF for filing according paragraph [2.1.4](#).

5.2. Letter of Commendation:

- 5.2.1. Contains a complete and concise description of the employee's performance, act or service, and identifying information, such as position title, organizational location, and pertinent dates.
- 5.2.2. Bears the signature of either the commander, a member of his or her immediate staff, the director of a major organizational component, or an official at higher headquarters.
- 5.2.3. Is given to the employee through supervisory channels.
- 5.2.4. Is recorded in or a copy attached to the supervisor's employee work folder and may be used in partial support of recommendations for awards.
- 5.2.5. A copy is forwarded to the CPF for filing according to paragraph [2.1.4](#).

5.3. Other Performance Recognition. Grant other cash or honorary awards in recognition of superior performance according to authorizations applicable to the respective category of non-US citizen employees in the country of employment.

6. Appeals and Grievances. The evaluating supervisor ensures that every effort is made to informally resolve employees' questions or complaints on matters regarding performance evaluation. Employees not satisfied with those efforts may submit a formal complaint according to applicable rules or instructions (for example, USAFEI 36-1201, *Grievances and Appeals Non-US Citizen Employees*). The nonreceipt of a performance recognition award may not be appealed or grieved.

LEO E. KRINGER, Colonel, USAF
Director of Personnel

Attachment 1**GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION*****References***

AFPD 36-7, *Employee and Labor-Relations Management*

AFPAM 36-106, *Supervisor's Record*

USAFEI 36-717, *Grievances and Appeals Non-US Citizen Employees*

Abbreviations and Acronyms

CPF—Civilian Personnel Flight

OPF—official personnel folder

Terms

Annual Performance Evaluation—The annual performance evaluation is the annual formal evaluation of an employee's performance.

Exit Evaluation—The exit evaluation is the evaluation of an employee's performance prior to termination of employment. It serves as a basis for issuing a certificate of service or testimonial to which an employee may be entitled.

Letter of Appreciation—A letter of appreciation is a letter to an employee expressing appreciation for work performance, special act or service, which is better than that which normally would be expected. Such letters are also appropriate for recognizing the employee's performance while on special assignment or during short periods where an unusual work situation or other emergency exists.

Letter of Commendation—A letter to an employee commending him or her for unusual work performance, special act or service, which clearly exceeds that normally expected in the performance of duties.

Performance Evaluation—The act of comparing job performance with the performance standards. The evaluation process includes a discussion between the supervisor and subordinates with regard to their achievements or deficiencies.

Probationary Period Appraisal—The probationary period appraisal is the evaluation of an employee's performance and conduct during the probationary or trial period. This evaluation determines whether to retain, reassign, or separate an employee.

Performance Recognition—A reward to recognize employees whose high quality performance has been demonstrated and validated. Where authorized, this includes salary increases if quality of performance merits faster than usual advancements or step increases (Germany only).

Performance Requirements—Performance requirements specify the standards for satisfactory performance in a job. The performance requirements state how a job is to be done, the quantity of work to be accomplished, and how well it is to be done.