

**NATIONAL SECURITY AGENCY
CENTRAL SECURITY SERVICE**

Fort George G. Meade, Maryland



NSA/CSS PERSONNEL MANAGEMENT MANUAL 30-2(U)

**The NSA/CSS Civilian Career
Evaluation System**

Chapter 340

CHAPTER 340
THE NSA/CSS CIVILIAN CAREER EVALUATION SYSTEM

This Chapter contains NSA/CSS policy and procedures for the career and performance evaluation of civilian employees.

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SECTION 1

GENERAL

1-1. Purpose. - The purpose of this Chapter is to establish a system to provide for the career and performance evaluation of NSA/CSS civilian employees and to set forth the regulations and procedures for implementing such a system of evaluations.

1-2. Authority.

a. The National Security Agency is excluded by 5 U.S. Code 4301 from coverage under the Performance Appraisal Act and may establish such appraisal programs and other evaluation programs and plans as best meet its needs.

b. The authority to evaluate employees and take action on the basis of that evaluation is intrinsic in the Director's authority to administer the work force, as delegated to him in DoD Directive 5100.23, subject: Administration of the National Security Agency.

c. DoD Manual 1430.10-M-5, DoD Wide Civilian Career Program for Cryptologic Personnel, sets forth the objectives and policies for career development for cryptologic personnel and identifies major program elements including the career planning and evaluation process.

1-3. Policy. - It is NSA/CSS policy that employees be evaluated both in terms of their past performance and their potential for growth, and that employees have an active role in the development of their own careers through participation in career planning.

1-4. Objectives. - The objectives of the NSA/CSS Civilian Career Evaluation System are to:

a. Rate employee effectiveness in terms of individual achievement measured against performance requirements of assigned duties and to compare performance to that of other employees.

b. Identify utilization and placement problems.

c. Involve employees in their own career development planning.

d. Identify training requirements.

1-5. The Evaluation Process. - The various elements of the System will be completed in accordance with the provisions of this Chapter and the instructions contained in Appendices A and B. The supervisor will prepare the Forms P1, Employee Performance Appraisal, and P1B, Inventory of Attributes; and process them together through the review level. Upon completion of the review and receipt of any requisite approvals, the Form P1A, Workforce Assessment Data Form will be completed by the rating supervisor (see Appendix C). Subsequently the rating supervisor will discuss the Employee Performance Appraisal with the employee and discuss with the employee career objectives and plans for the ensuing year. For employees in grades GG 07 through GG 15, the rating supervisor will complete, with the employee, the Individual Career Appraisal and Development Plan, Form P8533 (See Appendix D).

1-6. System Evaluation. - On a regular and continuing basis Civilian Personnel (M3) will evaluate the Career Evaluation System to assure its reliability.

SECTION 2

THE NSA/CSS CIVILIAN PERFORMANCE APPRAISAL PROGRAM

2-1. Objectives. - The NSA/CSS Civilian Performance Appraisal Program is designed to:

a. Ensure that employees and supervisors have a common understanding of the requirements of the employees jobs and to give employees an assessment of their performance in relation to those requirements;

b. Provide management with a tool for identifying both the high achievers and those individuals performing below the acceptable levels established within the NSA/CSS (see Appendix A for information on what constitutes acceptable levels of performance);

c. Serve as a basis for supporting personnel actions; and

d. Serve as a basis for determining training requirements and rotational assignments in support of career development.

2-2. Applicability. - The provisions of the NSA/CSS Performance Appraisal Program apply to all NSA/CSS employees in grades GG 1 through GG 15 and all Wage Board employees. Employees have a right to performance evaluation on a regular and timely basis and may petition Civilian Personnel (M3) whenever a scheduled rating is delinquent. M3 will discuss the situation with the appropriate management officials in the Key Component in order to rectify the situation.

2-3. Responsibilities.

a. The Rating Supervisor. - The rating supervisor is an individual required to complete performance appraisals on a segment of the work force. Only those individuals in jobs recognized by job classification action as being a supervisor or manager, i.e., where an "S" is reflected in the COSC, will sign the Form P1 as a rating supervisor. In order to carry out this function the rating supervisor is responsible for:

(1) Establishing performance standards and norms for those positions under his/her supervision and informing subordinates of those standards and norms as well as the essentials of the NSA/CSS Civilian Performance Appraisal Program;

(2) Evaluating subordinates performance on a continuing basis;

(3) Counseling employees regarding their job performance;

(4) Documenting the specifics of such performance as needed;

(5) Rating employees in accordance with the established schedule and discussing the performance and rating thereof with the employee; and

(6) Initiating action, as appropriate, to recognize high and low performance.

b. The Reviewing Official. - Each Employee Performance Appraisal will be reviewed by the rating supervisor's immediate superior. (Where a reviewing official has not been in the job for 90 calendar days at the closing date of the rating period, the reviewer will so annotate in the space provided for his/her signature on the Form P1 and return the form to the rater.) If the reviewer concurs in the appraisal as written, he/she will sign it and return it to the rating supervisor for discussion and presentation to the employee. Overall ratings of Level 1 or Level 7 on Form P1 require separate documentation and, where the reviewer is below Office Level, approval by a Chief at Office level or higher. If the reviewing official disagrees with the appraisal as written, he/she will discuss the points of disagreement with the rating supervisor. The reviewing official may request written justification to include specific data on performance in any case where he/she feels it is necessary. Where consensus cannot be reached the reviewing official is the final authority on content and rating on the Form P1 and, in effect, becomes the rater. The re-

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viewing official is then responsible for all elements of the evaluation process. The Chief of the Key Component is the highest level of review/approval in the Agency.

c. Intermediate Supervision. - Supervisors and managers in the management chain between the rating and reviewing level and the Chief of the Key Component are responsible for approving Level 1 and Level 7 ratings, as appropriate, and for acting on appeals in accordance with the provisions of Appendix E of this Chapter. (Note: A reviewing official at Office level or higher is also the approving official for Level 1 and Level 7 ratings.)

d. Chiefs of Key Components. - The Chiefs of the Key Components are responsible for:

(1) Ensuring that NSA/CSS policy and regulations are applied equitably by subordinate rating and reviewing officials;

(2) Ensuring that employees are rated in accordance with the established rating schedule specified in paragraph 2-5 of this Section;

(3) Establishing the appeals channel for the organization and receiving and acting on appeals in accordance with Appendix E.

e. Deputy Director for Field Management and Evaluation. - Performance appraisals on Chiefs of Field Activities and Area Representatives to include SUSLAK will be accomplished by the DDF.

f. Executive for Staff Services. - Performance appraisals for SUSLOs and the Chief, F31, when appropriate, will be accomplished by the ESS.

g. The Chief of Civilian Personnel. - The Chief of Civilian Personnel (M3) or his designee is responsible for:

(1) Providing guidance and assistance to management officials and employees on all aspects of the Performance Appraisal Program;

(2) Assuring completeness and timeliness of the evaluation;

(3) Providing assistance to raters in the techniques of appraisal and counseling;

(4) Reviewing Forms P1, P1B and P8533 to insure consistency among ratings, rankings and recommendations;

(5) Counseling employees;

(6) Participating in decisions to train, transfer or separate employees;

(7) Reviewing the adequacy of the compliance by raters and reviewers with the objectives and requirements of the system and advising them and the Chief of the Key Component in writing when non-compliance is detected. Supervisors will be informed in writing that delinquency is noted and made a matter of record and will be given an opportunity to reply thereto; and

(8) Providing assistance to management and employees in processing rating appeals.

2-4. The Employee Performance Appraisal - Form P1. - The Employee Performance Appraisal is designed to record official ratings of individual performance on a given job. (Appendix A to this Chapter discusses the characteristics of the various rating levels and provides guidance on setting standards and norms, and procedures for assigning ratings and completing the Form P1.)

2-5. Schedule of Ratings.

a. Individuals will be rated on an annual basis in accordance with the following schedule:

Distribution By Grade	Month of Rating
GG 12	January
GG 13	February
GG 14, 15, WS (A&B) 1-8, WOV 1, 2, WPU 1-11, 26-34	March
GG 5, 6, 8, 10 WS (A&B) 9-19, WPU 14, 15	April
GG 11	May
WL (A&B) 1-15, WOV 5, 6, WPU 16, 17	June
GG 9	July
WG (A&B) 1-5, WOV 7, 8, WPU 18, 19	August
GG 7	September
WG (A&B) 6-10, WPU 20, 21	October
GG 1-4, WPU 12, 13, WOV 3, 4	November
WG (A&B) 11-15, WPU 22-25	December

Ratings will be completed as of the last day of the month of the scheduled rating period, and ratings are due in Personnel Operations (M35) within 1 calendar month following the end of the month of the rating.

b. Where a supervisor/employee relationship is of less than 90 calendar days duration at

the time the scheduled rating falls due, the rating supervisor may forward the Forms P1, P1A and P1B to the previous supervisor for completion. (If the previous supervisor is no longer with the NSA/CSS it is incumbent on the present supervisor to complete the appraisal based on whatever information is available to him/her.) If an appraisal is forwarded to a previous supervisor he/she must complete the Forms, acquire a review, and where necessary, approval, and return them to the current supervisor. In these cases the appraisal will cover the period from the last appraisal to the date of reassignment only. The current supervisor will discuss the appraisal with the employee and will complete the Individual Career Appraisal and Development Plan. If the employee requests, he/she will be provided an opportunity to discuss his/her appraisal with the rating supervisor.

c. When an individual Enters On Duty with the NSA/CSS and is in a duty status less than 90 calendar days at the time of the scheduled rating, the rating will be delayed to the next scheduled rating.

d. *Intern Ratings.* - Host supervisors for interns will prepare an evaluation in writing, covering the period of time the intern was detailed to that organization, and forward it to

the Career Panel Executive. The Career Panel Executive will prepare the annual performance appraisal on the intern using the input from the host supervisors and any additional information or records available.

e. *Ratings in Addition to the Scheduled Ratings.* - The Chief, M3, may request that an appraisal be prepared on an individual for management purpose at any time. The request will be made in writing to the rating supervisor.

2-6. *Disposition of Records.* - Copies of the NSA/CSS Form P1 will be distributed as follows:

a. Copies 1 and 4 will be sent to Personnel Operations (M35) for filing in official records.

b. Copy 2 will be retained by the rating supervisor.

c. Copy 3 will be given to the employee at the time of the discussion of the rating.

2-7. *Appeals.* - An employee may appeal only the overall performance rating, and only if the overall rating is Level 1, 2, or 3. The appeal will be in writing and will be prepared and processed in accordance with the procedures in Appendix E.

SECTION 3

INVENTORY OF ATTRIBUTES

3-1. Purpose.

a. The Form PIB, Inventory of Attributes, is designed to: provide a means of documenting an assessment of the individual attributes of an employee by evaluating those attributes against an established numeric scale; assess the individual's readiness for promotion; and permit the ranking of individuals of the same grade in terms of their overall effectiveness and value to the organization.

b. The Inventory of Attributes provides management with a process for comparing and ranking employees along a number of different indices and with information for making decisions relevant to the effective use of available manpower, promotion money and training resources.

c. Ranking will be accomplished in terms of the individual's attributes, performance and potential measured against others in the same grade in the organization. Interns will be ranked by the Executive of the Panel.

3-2. Applicability. - The Inventory of Attributes, Form PIB, will be completed on all NSA/CSS civilian employees in grades GG 1 through GG 15 and on all Wage Board employees. The information on the Form PIB will not be discussed with the employee.

3-3. Responsibilities.

a. Rating Supervisor.

(1) The Rating supervisor (see par. 2-3a for definition) will complete the Form PIB and forward it with the Form P1, Employee Performance Appraisal, to the reviewing official. (Instructions for completing the Form PIB are

printed on the Form (copy attached as Appendix B).)

(2) Upon return of the Form P1 and Form PIB from the reviewing official, the rating supervisor will complete the Form P1A, Workforce Assessment Data Collection (see Appendix C), and following appropriate discussions with the employee, will forward copies 1 and 4 of the Form P1, copy 1 of the Form PIB (see par. 3-4 for distribution of copies 2 and 3), and the Form P1A to Personnel Operations (M35).

b. *Reviewing Official.* - The reviewing official will review the Form PIB and, on the basis of the information contained there as well as his/her personal knowledge of the individual, complete Item H2 of the Form. Upon completion of review, the reviewing official will return the Form, along with the Form P1, to the rating supervisor. Where the reviewing official becomes responsible for the evaluation process (see par. 2-3b), he/she will be responsible for completing the Form PIB and making appropriate distribution.

3-4. Disposition of Records. - Copies of the NSA/CSS Form PIB will be distributed as follows:

a. Copy 1 will be sent to Personnel Operations (M35).

b. Copy 2 for grades GG 12 through GG 15 will be sent to Personnel Services and Awards for use by the appropriate Promotion Review Boards.

c. Copy 2 for all wage board employees and for employees in grades GG 1 through GG 11 and copy 3 will be retained by the rating supervisor for use within the Key Component.

SECTION 4

INDIVIDUAL CAREER APPRAISAL AND
DEVELOPMENT PLAN (ICDP)

4-1. Purpose. - The NSA/CSS Individual Career Appraisal and Development Plan (Form P8533) is designed to:

- a. Involve the individual and supervisor in career planning;
- b. Identify and document an individual's career objectives, immediate and long range; and
- c. Identify specific training needs for technical development, professional development and certification, and managerial and executive development. The ICDP is intended to serve as a guide not a contract.

4-2. Applicability. - All civilian employees in the NSA/CSS will be given an opportunity to actively participate in their own career development through career planning. During the discussion of the employee's Performance Appraisal, the rating supervisor will discuss with employees in grades GG 1-6 and all Wage Board employees, their career objectives and plans for the ensuing year. For employees in grades GG 7 through GG 15 the Form P8533, Individual Career Appraisal and Development Plan will be used to document career planning, except that the Form will not be used for Interns, students in co-op programs, and individuals in special training programs. Where the Form is not completed, a notation will be made in the records as to why the Form was not completed.

4-3. Responsibility and Procedures for Completing the Individual Career Appraisal and

Development Plan (ICDP). - The ICDP will be completed in accordance with the instructions printed on the Form (see Appendix D).

a. Section I and IIA will be completed by the employee and the supervisor in a joint effort during the discussion session on the Employee Performance Appraisal - Form P1.

b. Section IIB will reflect the supervisor's recommendations with regard to development in support of the established long range goals.

c. Section III will reflect the employee's comments on the plan and his own career development. The employee will then sign and date the form, thus acknowledging participation in a discussion of the ICDP.

d. Subsequent to the discussion with the employee, within five calendar days, the supervisor will complete Section IV, sign the form and forward it to the reviewing official.

e. The reviewing official will comment in Section V and return the Form to the rating supervisor within 10 calendar days.

4-4. Disposition of Records. - Copies of the Form P8533 will be distributed as follows:

a. Copies 1 and 2 will be sent to Personnel Operations (M35).

b. Copy 3 will be retained by the rating supervisor.

c. Copy 4 will be given to the employee.

APPENDIX A
EMPLOYEE PERFORMANCE APPRAISAL

1. All performance evaluation in the NSA/CSS is measured in terms of an individual's ability to meet performance norms, with a performance norm being defined by the rater as a point below which work is generally unacceptable and above which work is highly acceptable or exceptional in quality and quantity.
2. The performance norms are established in relation to the duties involved in any given job.
3. In preparing a performance appraisal the rating supervisor must, therefore, review the duties of record as they appear in the official job description and compare them to the actual duties being performed. Where there are discrepancies they should be resolved by instituting action for job audit, reclassification, etc. In any case, the duties evaluated and rated on the Form P1 will be the duties actually performed. In addition, where a supervisor is being evaluated, those duties specifically defined as supervisory in nature will be pre-printed on the Form P1 and must be evaluated.
4. After the duties have been defined the rating supervisor will assign them a level rating as follows:
 - Level 1 - Never meets performance norms
 - Level 2 - Frequently does not meet performance norms
 - Level 3 - Occasionally does not meet performance norms
 - Level 4 - Meets performance norms
 - Level 5 - Occasionally exceeds performance norms
 - Level 6 - Frequently exceeds performance norms
 - Level 7 - Always exceeds performance norms
5. In assigning one of the levels of rating for each duty and in assigning an overall

rating for total performance the supervisor should consider the following elements insofar as they represent characteristics of performance:

a. Degree of Supervision Required. - This factor should be evaluated in terms of the individual's job and grade and the amount of supervision that would normally be expected compared to that actually required.

b. Quality and Quantity of Work. - This factor should be evaluated relative to the specific job and grade and what could normally be expected compared to actual production.

c. Personal Characteristics.

(1) *Judgement in Solving Problems.* - Is the employee readily able to identify problems, recognize possible solutions, and select a desirable course of action. (The expectation that an employee be able to demonstrate this characteristic should vary dependent on the employee's job, grade, and work experience.)

(2) *Work Habits.* - Is the employee dependable, responsive to organizational objectives. Where the job requires it, can the employee work effectively with others.

d. Effective Utilization of Government Resources. - This factor should be evaluated in terms of the employee's demonstrated concern for cost and waste prevention.

PART 2 - ASSIGNMENT OF RATINGS

1. **Rating Supervisor.** - The rating supervisor prepares the Employee Performance Appraisal, Form P1 (Inclosure 1), evaluating the specific duties in relation to the norms and performance characteristics defined and established in Part I of this Appendix. When the employee is to be given an overall rating at the Level 1 or the Level 7, the rating supervisor will complete the Form P1 and prepare a separate memorandum of justification. The memorandum of justification will describe the employee's

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performance during the rating period, citing specifics in support of the recommended rating. The justification will describe how the employee does not meet or exceeds the performance norms to an extent that warrants a Level 1 or Level 7 rating. Specifics should include times, places and incidents. Examples and supporting documentation should be attached. Following appropriate review and approval the memorandum is forwarded to M35 with copies 1 and 4 of the Form P1.

2. Reviewing Official. - The reviewing official, the rating supervisor's immediate superior, reviews the appraisal and:

a. Where the rating is Level 2 through Level 6, and the reviewing official concurs, signs the Form P1 and returns it to the rating supervisor for discussion of the appraisal with the employee; if the reviewing official non-concurs, and consensus cannot be reached, he becomes the rater of record.

b. When the rating is either Level 1 or Level 7 and the reviewing official non-concurs, the Form P1 and the memorandum of justification will be returned to the rating supervisor for additional justification. Where the rating supervisor and the reviewing official cannot agree on the rating, the reviewing official will become the rater of record. Where the reviewing official concurs and the reviewing official is below Office Chief level in the organization, he/she signs the Form P1 and forwards it and the memorandum of justification to the official at Office level or above in the management chain for approval. If the reviewing official is a Chief at Office level or above, he/she may approve Level 1 or Level 7 ratings.

3. Approving Official. - A Chief at Office level or above will approve all Level 1 and Level 7 ratings. Approval or disapproval will be shown by the official's signature on a concurrence/non-concurrence line on the memorandum of justification.

a. If the rating is approved, the approving official will return the Form P1 and supplemental documents to the rating supervisor.

b. If the rating is disapproved, the approving official will return the Form P1 and sup-

plemental documents to the reviewing official for additional justification or a new rating, as appropriate. Where the approving official is the reviewing official, he/she will take action in accordance with paragraph 2a above.

4. Employee/Supervisory Discussion. - The rating supervisor, upon receipt of an approved appraisal, discusses the appraisal with the employee and provides the employee an opportunity to sign the Form P1, acknowledging the discussion, and to make any desired comments. Discussion should be constructive and cover both the employee's strengths and weaknesses, and, where rating is Level 3 or below, must include information on employee's right to appeal. If, following a discussion of the rating an employee refuses to sign the Form, the rating supervisor will note the date of the discussion and the fact that the employee refused to sign the Form. Employee signature is not mandatory. The signature in no way indicates employee agreement with the rating.

PART 3 - COMPLETING THE FORM P1 EMPLOYEE PERFORMANCE APPRAISAL

The Form P1, Employee Performance Appraisal, is a four copy form which permits the rating supervisor to record an appraisal without narrative statement, except as required for ratings of Level 1 or Level 7. When classified information is to be entered on copies 1 and 2 of the Form, copies 3 and 4 will be separated prior to typing.

1. Section A - General. - Management Data and Information Storage and Retrieval Systems, C11, completes Section A of the Form and forwards it to the designated administrative control point at least four weeks in advance of the last day of the month in which the employee is to be rated.

2. Section B - Evaluation of Duties. - Section B of the Form will be completed in accordance with the instructions printed on the Form. Ratings will be discussed with the employee only after review and, for Levels 1 and 7, after approval.

3. Section C - Evaluation of Overall Performance in Current Job. - A summary evaluation of an individual's overall performance during the rating period is made in Section C in accordance with the instructions therein.

4. Section D - Appraisal Certificate.

a. After the supervisor completes Sections B and C he signs and dates the Form and forwards it to the reviewing official.

b. The reviewing official completes the Form in accordance with the provisions of Part 2 of

this Appendix and approves or forwards Level 1 and Level 7 appraisals, as appropriate.

c. Upon receipt of any required approvals, the rating supervisor discusses the appraisal with the employee and provides the employee with an opportunity to sign the Form P1 and comment on the appraisal.

5. Section E - Employee Comments. - Self-explanatory.

(1) Establishing the channel for processing an appeal within the Key Component and providing M35 with a copy of the established appeals channel;

(2) Evaluating the merits of an appeal based on the information provided in writing by the employee, the rating supervisor and any intermediate managers.

(3) Requesting additional information considered necessary to a fair and impartial decision.

(4) Rendering a decision in writing on the case.

(5) Insuring that appropriate action is taken to change the rating when an appeal is upheld.

5. Records and Documentation. - An appeals file will be established at the Key Component level. The file will include a copy of the appeal notice, management comments thereto, any supplemental material called for by the Chief of the Key Component, and a copy of the decision. All material in the file will be available for both employee and supervisory review. At such time as the case is adjudicated and the employee's appeal is upheld and a new rating is completed, the appeals file in the Key Component will be destroyed and M35 will review the personnel records to remove all reference to the appeal. When an appealed rating is sustained, the Key Component will forward the appeals file to M35 for retention.

APPENDIX E
APPEAL OF PERFORMANCE RATINGS

1. **General.**— Overall ratings of Level 1, 2, or 3 may be appealed whenever the employee contends that a higher rating is warranted. The employee will be free from restraint, interference, coercion, discrimination or reprisal in the presentation and pursuit of an appeal, and will be given official time, not in excess of two working days, for preparation of the appeal.

2. **Notice of Appeal.**

a. The employee has fifteen calendar days from receipt of an appraisal to submit a notice of appeal through channels as established by the Chief of the Key Component. Notices will be dated as of the date of submission. A copy of the notice will be sent directly to M35. Before an employee may file a notice of appeal he/she must advise the rating supervisor of that intent. The rating supervisor, the reviewing official and the employee will then meet to attempt to resolve the issue.

b. If the issue cannot be resolved at the level of first supervisor and reviewer the appeal will be processed within fifteen calendar days through the administrative channels established by the Chief of the Key Component. Any intermediate manager at office level or above may, after reviewing the case, determine that the employee's appeal is valid and direct that the reviewing official prepare a new rating for presentation to the employee. The notice of appeal will be returned to the employee and Personnel Operations (M35) will be notified of resolution of the case.

c. If the appeal is processed through channels to the Key Component Chief, he/she will render a decision, in writing, within 30 calendar days following receipt of the appeal. Copies of the decision will be given to the employee, the rating supervisor and M35.

d. If no decision is received from the Chief of the Key Component within the allotted time,

i.e., 45 days from the date of submission, the employee may request a review by the Chief, M3.

3. **Content of the Appeal Notice.**

a. The appellant will prepare a statement giving the following information:

- (1) Name, Social Security Number, organizational designator and date of submission;
- (2) Grade and job title in which rated;
- (3) Date performance rating was received;
- (4) Rating received;
- (5) Rating believed correct;
- (6) Date supervisor was advised of the intent to appeal and attempts made to resolve the issue;
- (7) Arguments in support of the appeal.

b. Rating supervisors and reviewing officers must comment in writing to include details of attempts made to resolve the issue. Comments should include information in support of sustaining the rating and will be forwarded with the appeals notice.

4. **Responsibilities.**

a. Personnel Operations (M35) is responsible for providing procedural guidance to an appellant preparing an appeals notice and to management in preparing their comments on the notice. M35 is also responsible for documenting personnel files and records in accordance with appeals decisions.

b. Intermediate supervisors in the chain of command are responsible for reviewing the case. If an intermediate supervisor at office level or above determines that the appeal is valid he/she may direct the reviewing official to prepare a new rating. If he/she determines that the rating should be sustained, he/she notes in the comments and forwards the case.

c. The Chief of the Key Component is responsible for: