Headquarters
California Army National Guard
California State Military Reserve
Sacramento, CA
15 July 1998

California State Military Reserve
Regulation 600-4

Effective 15 July 1998

Personnel Administration

Yearly Performance Evaluation Reports

FOR THE GOVERNOR:

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The Adjutant General

OFFICIAL:

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History. This regulation replaces CAL SMR Regulation 600-4, dated 1 March 1989.

Summary. This regulation prescribes the policy and procedure for preparing and submitting yearly Performance Evaluation Reports for California State Military Reserve (CA SMR) personnel in grades E-7 through E-9, W01 through CW5, and O-1 through O-7.

Applicability. This regulation applies to all elements of the California State Military Reserve.

Proponent and exception authority. The proponent and exception authority of this regulation is the Adjutant General of the State of California. Supplementation and any exceptions to this regulation are prohibited without prior written approval from the Deputy Adjutant General, Army Division.

Interim changes. Interim changes in this regulation are not official unless they are authenticated by the Adjutant General via the seal of the Military Department, State of California.

Suggested improvements. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms), directly to the Personnel Section, HQ, CA SMR, (CASR-P).

Distribution. Distribution of this regulation is CA SMR-A.

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This regulation supersedes CAL SMR Reg 600-4, dated 1 Mar 89.

1. General

Performance Evaluation Reports, which are the CA SMR equivalent to Officer Efficiency Reports and Non-Commissioned Officer Efficiency Reports, (OERs & NCOERs) will be prepared on an annual basis for all CA SMR personnel in the grades of E-7 through E-9, W01 through CW5, and O-1 through O-7. CA SMR Personnel will be evaluated and rated by their immediate supervisors not later than 30 September (the end of the training year) in time to allow the senior rater, who will normally be the rater's direct supervisor, adequate time to conduct the review process and insure that performance evaluation reports are received at HQ, CA SMR not later than 1 November of each calendar year.

2. Evaluation Process

a. Using CA SMR Form 600 (Appendix A), the evaluation will be prepared in triplicate by the rater who will personally review all ratings with the rated individual who may:

(1) Concur with the evaluation, and sign the review.

(2) Non-concur with the evaluation in which case, in the event differences of opinion cannot be resolved, the rated member should indicate the reasons for such non-concurrence in the narrative section of the form and sign the review.

(3) The supervisor and the member should have some form of written agreement or "contact" outlining specific areas for improvement and tasks to be completed prior to the next rating period. This written record is a fair way of insuring that both parties know what level of performance is expected.

b. The rater will forward the review to the senior rater for review. The senior rater may either:

(1) Concur with the evaluation, sign the review, forward the original to HQ, CA SMR through appropriate command channels and return the remaining copies to the rater who will distribute as required

(2) Non-concur with the evaluation in which case, the difference of opinion between rater and senior rater should be resolved prior to the senior rater signing the form. In the event the difference cannot be resolved, the senior rater should indicate the reasons for such non-concurrence in the narrative section of the form, sign and process as in (1) above.

c. After review by the senior rater, a copy of the approved evaluation report will be provided to each rated individual. Evaluation reports will not be used in any manner, which might be reasonably construed as unfair or discriminatory. There must be a sound and equitable basis for each rating factor score, which must be applied equally to all personnel. Ratings of (0) and (5) must always be justified in writing in the narrative section. The practice of "Maximizing" a member's performance evaluation report is discouraged. The senior rater will counsel raters who consistently provide "max" ratings. In any case, all performance evaluation reports sent to HQ,CA SMR will be statistically analyzed as a quality control measure to insure a fair and equitable rating system is available to all CA SMR personnel.

d. Immediate supervisors will not render performance evaluations until they have supervised a rated individual for a minimum of 120 days. In the event that an individual has served under an immediate supervisor for less than 120 days when the annual performance evaluation report is due, the rater will inform the senior rater in writing and will conduct the evaluation at the earliest possible moment after the 120 days requirement is met. The senior rater will inform HQ, CA SMR of the reason for the delay. As an example if supervision of the individual commenced on 1 May, rating may not be accomplished until on or after 1 September.

e. There will be a chronological history of performance evaluation reports kept in the MPRJ of each CA SMR member commencing with performance year 1998 and thereafter. Older performance evaluations, when available, must also be included in the file. It is the right of each CA SMR member to have a fair and equitable performance report for each period of service. It is the responsibility of each rater, senior rater and the unit commander to insure that all performance evaluation reports are prepared in a timely fashion and made available to the personnel under their supervision. Under no circumstances may any CA SMR Performance Evaluation Report, Letter of Reprimand or any other official record of personnel action, once placed in an individual's MPRJ, be removed or modified except by a formal reclama process. Missing or modified reports will, without exception, be reported in writing to the CA SMR JAG for investigation.

(1) In the event supervisors leave their position prior to the normal rating period or the 120 day minimum, they are still required to provide performance evaluations to personnel under their supervision, if only to state that the period of supervision was too brief to make a fair appraisal. This "complete the record" rating must still be checked and approved by the senior rater and forwarded to HQ,CA SMR. Supervisors will not be "cleared" for reassignment, transfer, or separation until all personnel under their control have been provided with the required evaluation. It is the responsibility of the unit commander to insure that all personnel are provided with required OER's or NCOER's as applicable under this regulation.

(2) In the event individual CA SMR members are reassigned, transferred, or separated prior to the 120 day minimum, they must be provided with a performance evaluation, if only to state that the period of supervision was too brief to make a fair appraisal. This "complete the record" rating must still be checked and approved by the senior rater and forwarded to

HQ,CA SMR. If at all possible, CA SMR personnel should not be "cleared" for reassignment, transfer, or separation, until they have been provided with the required performance evaluation.

f. CA SMR personnel who feel that their performance ratings are unfair, prejudicial or malicious may file a formal written reclama with the Commanding General, CA SMR within 30 days of receiving their performance evaluation. The CG, CA SMR may, at his discretion, conduct a formal or informal investigation of the allegations. As a result of these investigations, the CG, CA SMR may order the performance evaluation revised in the whole, reconducted by the senior rater or set aside for cause and a new evaluation prepared by a board of officers or senior NCO's as appropriate. In any case, the decision of the Commanding General, CA SMR is final and binding. No further appeals are permitted.

g. Instructions for preparation of the CA SMR Form 600 are printed on the reverse side of the form. Raters are again reminded to carefully and objectively, consider the rated member's performance for each factor according to the published rating criteria prior to making a rating judgement.

h.The primary purpose of the performance evaluation program is to assist rated individuals in improving their performance and to provide the CA SMR and the CA NG with well-trained and highly motivated personnel. Any use of the performance evaluation report to punish, intimidate and coerce, or for the purpose of advancing personal favoritism or to obtain promotion advantage for the rated individual is prohibited by state and federal laws. Violations of this provision, if substantiated, will subject the responsible individual to severe and immediate sanctions including the likely probability of separation from CA SMR service for cause.

3. Responsibility

Senior commanders (Brigade Level and above, including the OTAG SPT GRP) of the CA SMR are responsible for establishing and maintaining a yearly published rating chain for their command and any subordinate commands. Commanders are expected to have in place, a proactive program to insure that all performance evaluation reports are conducted prior to the 30 September training year end, approved by the senior rater, and forwarded to the Personnel Department, HQ, CA SMR by 1 November of each calendar year.

a. The Commander, OTAG SPT GRP may exempt certain personnel from the annual performance report requirement by memorandum to the Commanding General, CA SMR, explaining the reasons therefore. Exempted personnel may include certain state employees such as fire and security personnel at state military facilities and other individuals whose job requirements and position preclude such evaluation.

b. By 1 December of every year, The Assistant Chief of Staff, Personnel, CA SMR, will provide the Commanding General, CA SMR, with an alphabetical listing of all CA SMR personnel (to include their unit of assignment), who have not been properly rated, with information copies to all unit commanders not in full compliance with this regulation.