



DEPARTMENT OF THE NAVY
PERSONNEL SUPPORT ACTIVITY
937 NORTH HARBOR DRIVE
SAN DIEGO, CALIFORNIA 92132-5190

PERSUPACTSANDIEGOINST 12430.2F
Code N01PM
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PERSUPACT SAN DIEGO INSTRUCTION 12430.2F

Subj: DEPARTMENT OF THE NAVY BASIC TWO-LEVEL CIVILIAN PERFORMANCE APPRAISAL PROGRAM

Ref: (a) HRD FISC San Diego CIVPERSMAN, Chapter 5 Subchapter 1 (Appraising General Schedule and Federal Wage System Employees)

Encl: (1) Performance Appraisal Form
(2) Additional Performance Requirements
(3) Recommendation for Incentive Award Form (FISC-SD Form 12451/13)

1. Purpose. To publish guidance and procedures for the basic two-level Performance Appraisal (results achieved/results not achieved) for civilian employees of the Personnel Support Activity, San Diego network. This instruction has been revised in its entirety.

2. Cancellation. PERSUPACTSANDIEGOINST 12430.2E

3. Background/Discussion. Department of the Navy policy is to maintain a performance appraisal program for its employees that will comply with the intent of the Civil Service Reform Act of 1978. The program is intended to ensure performance elements, standards and objectives for each employee's position are identified and communicated to the employee; to appraise each employee's work on a continuing basis using the established performance elements and standards; to use the results of appraisals, along with any other pertinent information, as a basis for training, reassigning, promoting, reducing in grade, retaining, removing and assisting employees in improving performance; to strengthen the employee/supervisor relationship; and to improve overall productivity of the Navy's civilian work force. Reference (a) established revised appraisal sheets to be implemented upon close-out of the current cycle (e.g., 1 July 1998) and no later than 1 October 1998. The annual rating cycle will remain from 1 July through 30 June.

4. Policy. Performance management is an integral part of any human resources program. It improves organizational effectiveness in accomplishing mission requirements and goals and encourages employees to continuously improve, support team endeavors, develop professionally, and perform at their full potential. To that end, the following procedures are intended to ensure that performance standards are identified and communicated to the employee; that performance standards are used on a continuing basis to appraise each employee's work performance; and that each employee receives an annual performance rating of record at the end of the performance appraisal cycle.

5. Definitions

a. Additional performance element. A dimension or aspect of individual, team, or organizational performance that is not a critical or non-critical element. Such elements are not used in assigning a summary level but, like critical and non-critical elements, are useful for communicating performance expectations. Such elements may include, but are not limited to, objectives, goals, program plans, and work plans, and other means of expressing performance.

b. Appraisal period. The established period of time in which performance will be reviewed and a rating of record prepared. Detachments/Staff Department Heads are responsible for designating the beginning and ending dates of the appraisal period when it falls outside of the normal cycle. To receive a rating of record, an employee must have served for a minimum period of 90 days under an approved performance plan, in the same position and under the same first level supervisor. If necessary, the employee's appraisal period will be extended to ensure the minimum 90 day period.

c. Award. An action taken to recognize and reward an individual or team achievement that contributes to meeting organizational goals or improving the efficiency, effectiveness, and economy of the Government or is otherwise in the public interest.

d. Close-out rating. An appraisal conducted when an employee or first level supervisor leaves a position after the employee has been under established performance standards for a minimum of 90 days. Close-out ratings will be in writing and used in deriving the rating of record and may, in some cases, become the rating of record.

e. 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. (Note: Non-critical elements will not be used in evaluating an employee's performance).

f. Performance plan. The written performance elements and standards that set forth expected performance of an individual employee.

g. 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, timeliness, and manner of performance.

h. Progress review. Communication with the employee about performance compared to the performance standards of critical elements, normally conducted midway through the appraisal period.

i. Summary rating. The final result of the performance evaluation process when conducting a close-out rating or rating of record. The two summary rating levels are acceptable and unacceptable.

6. Action. Performance appraisal process.

a. Establishing performance plans

(1) The rating official (normally the first level supervisor) will provide performance plans to employees within 30 days after the beginning of each appraisal period, and/or of each detail or temporary promotion expected to last 120 days or longer. The supervisor will meet with the employee to discuss and review mission requirements, the employee's individual objectives, element(s) and standard(s). The supervisor will sign and date the form. A copy of the plan is to be provided to the employee; the supervisor keeps the original.

(2) Performance plans will include all critical elements, with performance standards established at the acceptable level, and if used, additional elements. For non-supervisory employees, the plan will consist of one standard element: "Execution of duties" and, if desired, additional elements specifically related to the requirements of the job. For supervisory and managerial employees, the plan will consist of two standard elements: "Personnel Management/Equal Employment Opportunity," "Organizational Support" and, if desired, additional elements specifically related to requirements of the job. Employees should be encouraged to participate in the application of performance elements and standards.

(3) Specific provisions of law, regulation, and DoD policy require certain matters such as safety and internal management control to be considered in the performance evaluations of some employees. Enclosure (3) lists the additional performance evaluation requirements.

(4) At the time performance standards are set, supervisors must certify on the appraisal form by his/her initials, the currency and accuracy of the employee's position description.

b. Monitoring Performance

(1) Progress reviews. The rating official must, at a minimum, conduct a documented review of an employee's performance midway through the appraisal period. Employees will be informed of their level of performance by comparison with the performance elements and standards established. To the maximum extent possible, progress reviews will be informative and developmental in nature and will focus on future performance. The supervisor and employee will discuss the employee's accomplishments, update priorities, and define new assignments and expectations. Progress reviews do not require the assignment of a summary level. The first level supervisor will sign and date the form indicating that the review was conducted. The employee should then sign and date the form.

(2) Unacceptable performance. If at any time during the appraisal period an employee's performance falls below the acceptable level in one or more critical elements, the immediate supervisor will develop and issue a Notice of Unacceptable Performance outlining the specific nature of the unacceptable performance, identifying work deficiencies which must be improved and providing a reasonable opportunity to demonstrate acceptable performance. If the employee's performance does not improve to an acceptable level by conclusion of the opportunity period, a rating of record of unacceptable will be assessed and submitted for review and approval to the reviewing official, normally the detachment Officer in Charge or, for staff, the Executive Officer. Once approved by the reviewing official and the rating formally assigned, the employee must be removed, reassigned, or reduced in grade. However, due to statutory and regulatory requirements, the Human Resources Office should be contacted for guidance on procedural requirements (keeping PERSUPPACT Code N01PM informed of any/all unacceptable performance reviews) as soon as the supervisor recognizes the employee's performance is unacceptable.

c. Rating performance

(1) Rating levels. A rating of record for civilian employees within the Department of Navy will be assessed and recorded at two levels only: Acceptable or Unacceptable. Ratings of Fully Successful (level 3), Exceeds Fully Successful (level 4), and Outstanding (level 5) will translate into a summary rating of Acceptable. Similarly, the rating of Minimally Successful (level 2) and Unacceptable (level 1) will translate into a summary rating of Unacceptable under the performance system.

(2) Close-out ratings. Close-out ratings shall be conducted when an employee completes a detail/temporary promotion of 120 days or longer under established performance standards; when an employee changes positions, is promoted, moves to a new agency/activity after being under established standards a minimum of 90 days; and when the first level supervisor leaves the position after the employee is under established performance standards for a minimum of 90 days. In this situation, the employee may continue under the same performance plan. The supervisor should check "CLOSE-OUT RATING" on the appraisal form and assign a summary rating. The first level supervisor will sign and date the form indicating that the close-out rating was conducted. The employee should then sign and date the form.

(3) Rating of record. Within 30 days after the end of the appraisal period, a written rating of record will be given to each employee. The supervisor should check "RATING OF RECORD" on the appraisal form and assign a summary rating. The first level supervisor and employee will sign and date the form. The employee's signature does not necessarily constitute agreement with the rating, but documents receipt. A copy of the completed form is given to the employee, the supervisor keeps a copy, and the original is forwarded to PERSUPPACT (Code N01PM). Close-out ratings may become the rating of record if (a) there is insufficient time (90 days) to establish a new performance plan and rate the covered employee in their assigned position before the end of the appraisal period, and (b) the first level supervisor takes into consideration any other close-out ratings conducted during the appraisal period. The check for "CLOSE-OUT RATING" should be crossed out and "RATING OF RECORD" should be checked on the appraisal form (the supervisor initials changes). However, if the employee has *not* received a close-out rating during the same appraisal period, the employee's rating period shall be extended beyond the activity's fixed ending date to ensure the minimum 90 day period.

(4) Written comments. Unless otherwise indicated in enclosure (3) of this instruction, written comments on enclosure (1) are optional.

8. Relationship to Other Personnel Actions

a. Within-grade increases. Federal Wage System (FWS) and General Schedule (GS) employees receive within-grade increases when eligible and when their performance equates to an "Acceptable" rating of record.

b. Promotions. Performance appraisals will be used as a basis for determining eligibility for career-ladder promotions and in merit promotion evaluations as appropriate.

c. Probationary period. Evaluation of the employee's performance, as well as other considerations such as conduct and reliability, will serve as a basis for the decision to retain or remove an employee from Federal Service during the *initial* probationary period. Evaluation of the supervisor's performance of the Personnel Management/Equal Employment Opportunity element will serve as a basis for the decision to retain or remove a supervisor or manager from his/her position during the supervisory or managerial probationary period.

d. Reduction in Force (RIF). The three most recent ratings of record received in the last four years determines the retention standing for RIF purposes. See CPI 351 for procedures and requirements governing RIF.

9. Performance Recognition

a. Awards. Awards may be used as tools to acknowledge and motivate employees by recognizing and rewarding significant individual, team, or organizational achievements and contributions. Examples of awards include, but are not limited to, Special Act awards, time-off, honorary and informal recognition awards. Contact PERSUPPACT (Code N01PM) for procedures and requirements governing awards.

b. Quality Step Increases (QSI). The purpose a QSI is to provide appropriate incentives and recognition for excellence in performance by granting faster than normal step increases for General Schedule (GS) employees. Careful consideration should be given before recommending a QSI. To be eligible, employees must have met the following:

(1) have not received a QSI within the previous 52 weeks;

(2) received a rating of record of acceptable;

(3) demonstrated sustained performance of high quality significantly above that expected at the acceptable level (i.e., exceeded the acceptable criteria depicting unusually good or excellent quality or high quantity of work provided ahead of schedule and with less than normal supervision);

(4) made a significant contribution to the organization's mission; and,

(5) it is expected that the high quality performance will continue in the future.

10. Grievances and Appeals. Covered employees may raise issues relating to the performance appraisal process through the DoD Administrative Grievance Procedure, or where applicable, a negotiated grievance procedure. Personnel actions resulting from unacceptable ratings may be appealed to the Merit Systems Protection Board (MSPB).

11. Forms. Appraisal forms will be reproduced from enclosure (1).



J.H. GAZE

Distribution:

PERSUPPACTSANDIEGOINST 5216.1H, Lists I & II

**DEPARTMENT OF NAVY
PERFORMANCE APPRAISAL**

For all Commands serviced by HRO, FISC San Diego

NAME OF EMPLOYEE -	SOCIAL SECURITY NUMBER
POSITION/TITLE	SERIES AND GRADE
ORGANIZATION/CODE	RATING PERIOD From _____ To _____

RECORD OF REVIEWS AND FINAL APPRAISAL

DATE ELEMENTS ESTABLISHED	DATE OF PROGRESS REVIEW	DATE FINAL APPRAISAL
RATING OFFICIAL		
EMPLOYEE (last)		
<i>Check one:</i> <input type="checkbox"/> RATING OF RECORD <input type="checkbox"/> CLOSE OUT RATING		<i>Check one:</i> <input type="checkbox"/> ACCEPTABLE <input type="checkbox"/> UNACCEPTABLE
REVIEWING OFFICIAL SIGNATURE (For Unacceptable ratings only)		DATE

POSITION DESCRIPTION CERTIFICATION (To be completed at beginning of appraisal period)

I certify that the employee's position description is is not current and accurate. Supervisor's Initials

ELEMENTS	Rating Level	U
ELEMENT FOR NON-SUPERVISORY EMPLOYEES ONLY: #1 - EXECUTION OF DUTIES: Performs assigned tasks (including the management of classified information), willingly accepts assignments, supports and conforms to policies, procedures, and regulations, and uses applicable knowledge and skills to produce a product or service of good quality in a timely, and responsive manner. Works effectively in groups, participates in resolving team conflicts, and establishes and maintains cooperative working relationships.	A	U
ELEMENTS FOR SUPERVISORY EMPLOYEES ONLY: #1 - PERSONNEL MANAGEMENT/EQUAL EMPLOYMENT OPPORTUNITY: Selects individuals for recruitment, promotion, recognition, training, and work assignments in an equitable manner without regard to non-merit factors. Delegates work at an evenly distributed volume commensurate with grade level. Tells employees what is expected, advises them of necessary changes as job progresses and holds them responsible for timely completion of duties. Appropriately appraises staff within required timeframes, and uses established position management principles and techniques which result in an efficient organization. Uses established procedures for rewarding employees and taking corrective actions on poor performance and misconduct. Contributes to the achievement of EEO and affirmative action programs and goals through personal participation and support, encourages employee participation in same, and takes a proactive approach in ensuring a work environment free of sexual harassment and discrimination.		

<p>(ELEMENTS FOR SUPERVISORY EMPLOYEES CONT.)</p> <p>#2 - LEADERSHIP AND ORGANIZATIONAL SUPPORT: Keeps chain of command informed of work unit requirements, actions, and accomplishments. Uses proper administrative channels and procedures in performing the work of the unit. Develops and maintains productive work relationships with customers and all levels of the organization. Provides timely and correct information and guidance to serviced organizations. Implements internal controls which ensures organizational integrity and prevents waste, fraud and abuse. Adheres to policies, regulations, and procedures covering areas such as safety, classified information protection and management, internal management controls, inventory management, and contract administration.</p>	(A)	(U)
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ADDITIONAL CRITICAL ELEMENT(S)
(optional - see instruction)

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OPTIONAL PERFORMANCE ELEMENT(S)
(Note - May not be used in assigning a Summary Rating, but useful for communicating expectations and award purposes - see instruction)

Element Description	Comments
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ADDITIONAL PERFORMANCE REQUIREMENTS

1. Specific provisions of law, regulation, and DoD policy require certain matters to be considered in the performance evaluations of some employees. Unless otherwise indicated, rating officials are not required to provide narrative evaluations in the "Written Comments" portion of the appraisal form.

a. Audit follow-UI2. Performance evaluations of appropriate managers must reflect a degree of effectiveness in addressing audit findings and recommendations and implementing agreed-upon corrective actions as required by Office of Management and Budget (OMB) Circular A-50, "Audit Follow-Up," September 29, 1982. This requirement is further addressed in paragraph E.3.g. of DoD directive 7650.3, 5 September 1989, and applied to audits conducted by General Accounting Office (GAO) and DoD Directive 7650.3.

b. Managing and protecting classified information. Performance evaluations of all employees whose duties involve access to classified information shall include a *written comment* by rating officials pertaining to an employee's discharge of security responsibilities. The performance of civilian employees who are original classification authorities, security managers, or security specialists, or are significantly involved in the creation or handling of classified information, must be evaluated under element "1 - Execution of Duties" for non-supervisory employees or under element "#2 - Organizational Support" for supervisors/managers. These requirements are established in paragraph 9-102(d) of DoD 5200-R, "Personnel Security Program," January 1987 and Section 5.6(c)(7) of Executive Order 12958, "Classified National Security Information," April 17, 1995.

c. Safety. Responsible DoD officials at each management level, including first level supervisors, shall to the extent of their authority, comply with the DoD Occupational Safety and Health Program guidance and regulations. Performance evaluations of those employees shall reflect personal accountability in this respect, consistent with the duties of the position. Appropriate recognition of superior performance should be utilized with corrective administrative action, as appropriate, for deficient performance. This requirement is established in enclosure (2) to DoD instruction 6055.1, "DoD Occupational Safety and Health Program," October 26, 1984.