DEPARTMENT OF THE NAVY
UNITED STATES NAVAL ACADEMY
121 BLAKE ROAD
ANNAPOLIS, MARYLAND 21402-5000

USNAINST 12430.4B
2/ADF
28 August 1998

USNA INSTRUCTION 12430.4B

From: Superintendent

Subj: PERFORMANCE APPRAISAL OF CIVILIAN FACULTY MEMBERS

Ref: (a) SECNAVINST 12430.4 (R
(b) USNAINST 12771.1

Encl: (1) Performance Rating Report, Civilian Faculty Member (USNA CCA 12430/3 (Rev 7-98))

1. Purpose. To establish the procedures for the administration and submission of performance appraisals for members of the civilian faculty according to requirements contained in references (a) and (b).

2. Cancellation. USNAINST 12430.4A

3. Coverage. This instruction covers all civilian members of the Naval Academy faculty except those whose appointments are for less than 120 days. It does not cover Distinguished Visiting Professors, Secretary of the Navy Fellows, and visiting research faculty members.

4. Definitions

a. Critical Performance Elements. As defined in enclosure (1), these include a primary emphasis on teaching excellence and a combination of scholarship and service commensurate with the rank and duties of the rated instructor. Supervisory faculty are subject to additional critical elements concerning equal employment opportunity (EEO), internal controls, and occupational safety and health (OS&H). Each of these elements is sufficiently important that it requires remedial action if rated "Fair" or "Poor." (R

b. Rating Levels. Performance in each of the critical elements is defined as "Outstanding," "Excellent," "Good," "Fair," or "Poor." The (R
definition of performance will be consistent with the rating of the required areas for each critical element described in enclosure (1). A "Fair" performance shall be predicated on a "marginal" rating on the grid in one or more of the required areas; a "Poor" performance shall be predicated on an "unsatisfactory" rating on the grid in one or more of the required areas.

c. Summary Rating. The Summary Rating involves two steps; a conversion of the critical element ratings into an overall summary rating at the bottom of page 1 of enclosure (1) and a written justification for the summary rating to be completed according to the instructions on page 2 of enclosure (1). For supervisory faculty, the additional critical elements on page 3 of enclosure (1) must also be evaluated. The conversion of the ratings for the critical elements must be guided by the following standards:

PASS--Rated "Outstanding," "Excellent," or "Good" on the majority of the (R
critical elements including teaching.

R) FAIL--Rated "Fair" or "Poor" on one or more of the critical elements. The "Good" level rating on a critical element is the minimum satisfactory level of performance for the position. Performance below this level requires remedial action.

d. Appraisal Period. 16 June through 15 June of the following year. The minimum appraisal period is 90 days.

e. Interim Appraisal. A faculty member who has worked at least 90 days in the current appraisal period and who is leaving his/her position will receive an interim appraisal. Supervisors leaving their position before the end of the appraisal period will complete interim appraisals for the faculty they supervise.

f. Rater. The faculty member's immediate supervisor; for example,

(1) Division Director for civilian chairs in the division.

(2) Academic Department Chair for civilian faculty members in the department.

(3) Academic Dean and Provost, Head of Physical Education, and Librarian for the civilian faculty members they supervise.

(4) Superintendent for all civilian faculty employees who report directly to him.

g. Reviewer. The reviewer is the second-level supervisor of the employee and must sign the final performance appraisal. For example, the following serve as reviewers:

(1) Division Directors for faculty members other than those for whom they act as rater;

(2) Academic Dean and Provost for those rated by Division Directors;

(3) Commandant for those rated by the Head of the Physical Education Department;

(4) Superintendent for those rated by the Academic Dean and Provost. The Superintendent is rater and reviewer for all civilian faculty employees who report directly to him.

h. Civilian Faculty Performance Board. This Board consists of the Associate Dean for Faculty as its Chair and two senior faculty members who are appointed by the Academic Dean and Provost and who are not serving on the Promotion and Tenure Committee. The Board functions:

(1) To provide a monitoring system concerning performance ratings.

(2) To serve as a forum for hearing grievances concerning performance appraisals.

5. Action. Raters will:

a. Within 60 days of the beginning of the appraisal period, make sure the employee reads enclosure (1). Both rater and employee will initial and date the performance appraisal form to record that the elements have been read and understood. Critical elements will include a primary emphasis on teaching excellence and a combination of scholarship and service commensurate with the rank and duties of the rated instructor.

b. By mid-February, discuss with each faculty member his/her performance to that point in the rating period. Provide employee with a written evaluation if the performance in any of the critical elements is "Fair" or "Poor." The supervisor and the employee will sign and date the performance appraisal form to indicate that the review was conducted.

c. Submit annual performance appraisals in writing, using enclosure (1), to the Civilian Faculty Performance Board within 60 days after the end of the reporting period. Provide a signed and dated copy to the faculty member.

d. Complete Section IV (EEO), V (Internal Controls), and VI (OS&H) for supervisory faculty members.

e. Assist faculty members in improving unacceptable performance which equates to a "Fair" or "Poor" rating on one or more critical elements. Supervisors should contact the Human Resources Department (HRD) if a faculty (R
member falls below an acceptable level of performance. HRD will develop the required performance improvement plan and assist with any required follow-up action.

f. Use performance ratings to support decisions to grant awards, recommend and grant merit step increases, reassign, promote, train, retain, or remove.

6. Grievances. Reference (b) outlines the U.S. Naval Academy administrative (R
grievance system. Performance-related grievances will be handled as follows:

a. Authority. The Academic Dean and Provost renders final decisions on all grievances involving performance except for those filed by employees rated by the Academic Dean and Provost. The Superintendent renders final decisions on grievances from employees rated by the Academic Dean and Provost. The Commandant renders final decisions on grievances from employees rated by the Head of the Physical Education Department.

b. Filing of a Grievance. A faculty member who wishes to grieve his or her final performance rating must submit the grievance in writing to the Chair of the Civilian Faculty Performance Board within 15 calendar days from the date the faculty member is informed of his/her rating. For the grievance to be accepted, the faculty member must:

(1) File it in a timely manner.

(2) Provide a clear statement of the issues.

(3) Indicate the specific, personal relief requested.

c. Processing the Grievance. Upon receipt of the grievance, the Board will examine the facts, as appropriate, to make sure sufficient information is available upon which to recommend a final decision. Fact-finding may take the form of a review of the record or interviews or both. The method is solely at the discretion of the Board. The Board will recommend a decision on each case to the Academic Dean and Provost, Commandant, or the Superintendent, as appropriate, for final decision. The Board will communicate the final written decision to the grievant within 90 days of the date the grievance was filed with the Board Chair. The decision of the Academic Dean and Provost, Commandant or Superintendent is final and may not be appealed.

d. Rights of the Grievant. The Grievant has the right to

(1) Receive a fair handling of the grievance.

(2) Present the grievance free from restraint, interference, coercion, discrimination, or reprisal.

(3) Employ representation except where a designated representative presents a conflict of interest or position.

(4) Have a reasonable amount of time to present the grievance.

e. Rights of the Grievant's Representative. The grievant's representative will:

(1) Be free from restraint, interference, coercion, discrimination, or reprisal in presenting the grievance.

(2) Have a reasonable amount of time to present the grievance.

JO DEE C. JACOB
Deputy for Operations

Distribution:
A-I

PERFORMANCE RATING REPORT
Civilian Faculty Member

UNITED STATES NAVAL ACADEMY

NAME	ACADEMIC RANK	TYPE OF REPORT PROGRESS ☐ PROMOTION ☐ ANNUAL ☐ OTHER ☐
DIVISION/DEPARTMENT	YEARS OF SERVICE	RATING PERIOD ACADEMIC YEAR _____

COLLATERAL DUTIES:

ELEMENTS/DUTIES SET* (Employee, Supervisor, Reviewer initial at outset of rating period)	EMPLOYEE	DATE	SUPERVISOR	DATE	REVIEWER	DATE

*Critical elements will include a primary emphasis on teaching excellence and a combination of scholarship and service commensurate with the rank and duties of the rated instructor.

CRITICAL ELEMENTS	SUCCESSFUL							MARG		UNSAT	N/A
I. **Teaching**	A	B	C	D	E	F	G	H	I	J	
a. Accurate, up-to-date, knowledge of material											
b. Quality of class preparation											
c. Ability to impart knowledge and evoke response											
d. Achievement of course objectives											
e. Vitality of classroom presentation											
f. Openness to student ideas and inquiries											
g. Availability to students											
h. Returns graded assignments in a timely manner											

	OUTSTANDING	EXCELLENT	GOOD	FAIR	POOR
SUMMARY OF TEACHING					

	SUCCESSFUL							MARG		UNSAT	N/A
II. **Scholarship**	A	B	C	D	E	F	G	H	I	J	
a. Strives to remain current in field											
b. Progress in on-going scholarship											
c. Reception of work within scholarly community											
d. Involvement in professional societies											

	OUTSTANDING	EXCELLENT	GOOD	FAIR	POOR
SUMMARY OF SCHOLARSHIP					

	SUCCESSFUL							MARG		UNSAT	N/A
III. **Service**	A	B	C	D	E	F	G	H	I	J	
a. Willingness to accept administrative tasks											
b. Effectiveness in completing administrative tasks											
c. Support of USNA mission and human goals											
d. Cooperation with others											
e. Initiative, creativeness, constructive planning											

	OUTSTANDING	EXCELLENT	GOOD	FAIR	POOR
SUMMARY OF SERVICE					

	PASS	FAIL
OVERALL SUMMARY RATING		

Note: The overall summary rating for supervisors must take critical elements IV, V, and VI into consideration.

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REMARKS: This space must not be left blank. Remarks should be as specific as possible and be organized in five paragraphs, covering the following topics: (1) Teaching and classroom work, including working support of instruction; (2) Scholarship, including research and laboratory projects, written products and support of/sponsorship of midshipmen research; (3) Service in support of USNA mission; e.g., substantive work on committees at every level, support of midshipmen activities; (4) Personal qualities, including cooperation with colleagues and support of the USNA mission; and (5) Pay step status, if known, (recommended/awarded) for this performance year.

Progress Review	EMPLOYEE	DATE	SUPERVISOR	DATE
Annual Performance Appraisal	EMPLOYEE	DATE	SUPERVISOR	DATE
	REVIEWER	DATE	BOARD REVIEWED	

The supervisory performance rating must include elements of performance regarding Equal Employment Opportunity (EEO), Internal Controls (IC), and Occupational Safety and Health (OS&H)

For the following, consider the supervisor in comparison with others with equivalent duties.

CRITICAL ELEMENTS:	SUCCESSFUL							MARG		UNSAT	N/A
IV. **Equal Employment Opportunity**	A	B	C	D	E	F	G	H	I	J	
a. Supports EEO guidelines regarding selection and promotion											
b. Supports EEO in treatment of employees											
c. Supports EEO in training and counseling											

	OUTSTANDING	EXCELLENT	GOOD	FAIR	POOR
SUMMARY OF EEO					

	SUCCESSFUL							MARG		UNSAT	N/A
V. **Internal Controls**	A	B	C	D	E	F	G	H	I	J	
a. Complies with applicable laws											
b. Safeguards against waste and abuse											
c. Maintains accountability over assets											
d. Efficiently manages resources											

	OUTSTANDING	EXCELLENT	GOOD	FAIR	POOR
SUMMARY OF IC					

	SUCCESSFUL							MARG		UNSAT	N/A
VI. **Occupational Safety and Health**	A	B	C	D	E	F	G	H	I	J	
a. Supports OS&H Program											
b. *Maintains safe working environment and support*											

	OUTSTANDING	EXCELLENT	GOOD	FAIR	POOR
SUMMARY OF OS&H					

REMARKS: This space must not be left blank. Remarks should be organized into three paragraphs evaluating (1) EEO, (2) IC, and (3) OS&H.