



DEPARTMENT OF THE NAVY

UNITED STATES NAVAL ACADEMY
121 BLAKE ROAD
ANNAPOLIS, MARYLAND 21402-5000

USNAINST 12430.5
24/HRD
1 May 1998

USNA INSTRUCTION 12430.5

From: Superintendent

Subj: PERFORMANCE MANAGEMENT PROGRAM

Ref: (a) Chapter 43 of Title 5, United States Code (NOTAL)
(b) Title 5, Code of Federal Regulations, Part 430, "Performance Management" (NOTAL)
(c) DOD 1400.25M, Subchapter 430, "Performance Management" (NOTAL)
(d) SECNAVINST 12430.4
(e) DON Implementation Guidance 430-01 of 1 Oct 97 (NOTAL)
(f) USNAINST 12451.4

Encl: (1) Performance Appraisal for Nonsupervisory Employees (USNA ENF 12430/1 (2-98))
(2) Performance Appraisal for Supervisory Employees (USNA ENF 12430/2 (2-98))

1. Purpose. To establish policy for evaluating the performance of civilian employees per references (a) through (e).
2. Cancellation. USNAINST 12430.1F
3. Background. References (d) and (e) changed Navy's performance management program to a two-level summary rating program, which appraises an employee's performance as being either at the "Acceptable" or at the "Unacceptable" level. This instruction provides clarification of how performance management will be conducted within the Naval Academy.
4. Scope. This instruction applies to all General Schedule and Federal Wage System employees with the exception of employees on appointments of less than 120 days.
5. Policy. Performance management is an integral part of any human resources program. The objective is to provide an opportunity for supervisor-employee dialogue to improve organizational effectiveness in accomplishing mission requirements and goals and to encourage employees to continuously improve, support team endeavors, develop professionally, and perform at their full potential.
6. Definitions
 - a. Acceptable Performance. Performance of an employee which meets the established performance standards at a level above unacceptable on all critical elements of the employee's position.
 - b. Appraisal Period. The established period of time for which performance will be reviewed and a rating of record prepared. The Naval Academy performance appraisal period will begin 1 July and will end 30 June. To receive a rating of record, an employee must have served for a minimum 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 beyond the cycle ending date to insure the minimum 90-day appraisal period is met.
 - c. 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.
 - d. Critical Element. A work assignment or responsibility of such importance that unacceptable performance on the element would result in a determination that the employee's overall performance is unacceptable. Non-critical elements will not be used in evaluating an employee's performance.

e. Progress Review. A review of the employee's performance which is conducted midway through the appraisal period. Progress reviews do not require the assignment of a summary level; however, the first-level supervisor and the employee must sign and date block 7 of enclosure (1) or enclosure (2) as appropriate to document the review. Open two-way communication focusing on mission requirements and goals, organizational effectiveness improvements, and developmental objectives is strongly encouraged.

f. Rating of Record. The performance rating prepared at the end of an appraisal period for performance over the entire appraisal period. The rating of record is the employee's official performance rating for pay and retention purposes.

g. Summary Rating. The overall rating assigned when conducting a close-out rating or rating of record. The two summary rating levels are: "Acceptable" and "Unacceptable." If an employee is rated "Unacceptable" on one or more elements, the summary rating will be "Unacceptable."

h. Unacceptable Performance. Performance of an employee which fails to meet established performance standards in one or more critical elements.

7. Action

a. Supervisors are expected to:

(1) Communicate with the employee regarding mission requirements, the performance elements and standards, and the employee's developmental needs.

(2) Establish and discuss performance standards with employees and provide them with an approved (signed and dated) copy of their performance plan 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.

(3) Provide assistance to employees in improving their performance if at any time during the appraisal period their performance is determined to be "Unacceptable" in one or more critical elements.

(4) Conduct a minimum of one progress review midway through the appraisal period.

(5) Prepare a close-out rating if either the employee or the immediate supervisor leaves the position prior to the completion of the appraisal period.

(6) Prepare a rating of record for each covered employee. This includes a rating for each element and the assignment of a summary level. Forward proposed ratings of "Unacceptable" to the second level supervisor for signatory approval. "Acceptable" ratings only require the immediate supervisor's signature.

b. Employees are expected to participate in employee-supervisory discussions of performance standard development, midyear performance evaluations, and end-of-the-year performance appraisals.

8. Implementation. The use of a standard performance management procedure and plan are intended to support a common performance management process. Both are intentionally streamlined and straightforward.

a. Setting Performance Standards

(1) The first-level supervisor will provide performance standards 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 is to meet with the employee to discuss and review mission requirements, the employee's developmental needs, and the performance elements and standards. The first-level supervisor will sign and date the Performance Appraisal Form, enclosure (1) or (2) as appropriate, and then request that the employee sign and date the form. A copy of the form is to be provided to the employee; the original is kept by the supervisor.

(2) The Performance Appraisal Plan will include all critical performance elements and related standards. Most nonsupervisory employees will have three elements: Execution of Duties, Adaptability, and Working Relationships (enclosure (1)). Most supervisors will have four elements: Management of Assigned Programs/Functions, Personnel Management, Safety, and Equal Employment Opportunity (enclosure (2)). Supervisors are reminded that the performance appraisal form is simply a documentation and communication tool. Performance management includes continuing open communication between the supervisor and the employee throughout the appraisal period.

(3) Specific provisions of law, regulation, and DOD policy require certain matters to be considered in the performance evaluations of some employees. Except as provided in Appendix A, this does not require the establishment of specific performance elements and standards addressing the individual's performance. Appendix A provides the additional DOD performance evaluation requirements along with the designated references for guidance. For employees whose positions require an additional critical performance element not already covered in the three generic performance elements, supervisors should contact their servicing personnel specialist for assistance in meeting these requirements.

(4) At the time the performance standards are set, supervisors must certify the currency and accuracy of the employee's position description on the Performance Appraisal Form. If the position description is not current, the supervisor must take action to revise the position description and forward it for appropriate action. Supervisors should communicate with employees about any revisions to ensure the changes are complete.

b. Monitoring and Rating Performance

(1) Feedback. Supervisors are encouraged to solicit feedback from as many applicable sources as appropriate, e.g., customers.

(2) Progress Review. The first-level supervisor must, at a minimum, conduct a documented review of an employee's performance midway through the appraisal period. Employees will be informed of their success in meeting the standards of their critical elements. 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.

(3) Unacceptable Performance. If at any time during the appraisal period, an employee's performance is determined to be "Unacceptable" in one or more critical element(s), the supervisor must communicate the shortcoming and the expectation to the employee in writing. The Human Resources Department (HRD) should be notified as soon as possible for guidance on the procedural requirements to do this.

(4) 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 or if an employee changes positions, is promoted, or moves to a new agency/activity, after being under established standards a minimum of 90 days. The supervisor should check "CLOSE-OUT RATING" on the Performance 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. Signatures indicate only that the review has been accomplished. Close-out ratings must also be conducted 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.

(5) Ratings of Record. Normally 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 Performance Appraisal Form, assign a summary rating, and sign and date the appraisal form. Supervisors are encouraged to use the "Comments" sections of the Performance Appraisal Form to acknowledge special accomplishments. Written comments and a summary rating of "Unacceptable" are required if an employee is rated "Unacceptable" on any of the critical elements. The immediate supervisor must forward the rating of record to the second-level supervisor for signatory approval if a rating of "Unacceptable" is assigned. Review of "Acceptable" ratings is at the discretion of the cognizant Cost Center Head or Commanding Officer. Following required reviews, the employee should sign and date the form. Signatures indicate only that the review has been accomplished. A copy of the completed form is given to the employee, a copy is kept by the supervisor, and the original is forwarded to the HRD, Stop 20b.

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(a) If, at the end of the appraisal period, the employee has not completed the 90-day minimum period of performance under the current performance standards, but has received a close-out rating during the same appraisal period, the close-out rating may become the rating of record. The check for "CLOSE-OUT RATING" should be crossed out and "RATING OF RECORD" should be checked on the form. The new supervisor must initial the form. If the employee has not received a close-out rating during the same appraisal period, the appraisal period shall be extended to ensure the minimum 90 day requirement is met.

(b) The end of the appraisal period also marks the beginning of the new performance management cycle. This is the appropriate time to discuss and sign the next appraisal period's Performance Appraisal Plan/Form.

9. Relationship to other Personnel Actions

a. Within-Grade Increases. Federal Wage System and General Schedule employees will receive within-grade increases when eligible provided their performance equates to an "Acceptable" rating of record. A special rating is prepared when an employee has a current annual rating of "Acceptable" but has been experiencing performance deficiencies for the past 90 days and is "Unacceptable" on one or more critical elements.

b. Promotions. To be promoted, an employee must be performing at the "Acceptable" level on all critical elements.

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 and Equal Employment Opportunity elements 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 4 years determines the retention standing for RIF purposes.

e. Awards. Throughout the appraisal period, awards should be used to acknowledge and motivate employees by recognizing and rewarding significant individual, team, or organizational achievements and contributions. A wide variety of award options are available: special act awards, time-off awards, honorary awards, informal recognition awards, on-the-spot awards, etc. Information on procedures and requirements governing awards is contained in reference (f) or may be obtained by contacting a personnel specialist in the HRD.

10. Grievances and Appeals. Employees who are not covered by a bargaining unit may raise issues relating to the performance appraisal process through the administrative grievance procedure. Employees who are covered by a bargaining unit may grieve through the negotiated grievance procedure. Appealable issues may be appealed to the Merit Systems Protection Board. Guidance concerning matters which may be grieved is as follows:

a. The critical elements and performance standards in the Performance Appraisal Plan may not be grieved or appealed.

b. Failure to inform employees of their performance critical elements and standards within the required time frame (e.g., within 30 days of the beginning of the rating period) is grievable.

c. Ratings on individual critical elements and summary ratings may be grieved.

11. Forms. Performance Appraisal Forms are available in HRD.

12. Effective Date. The policy contained in this instruction is effective 1 July 1998.


JO DEE C. JACOB
Deputy for Operations

Distribution:

AA



**UNITED STATES NAVAL ACADEMY
PERFORMANCE APPRAISAL
FOR NONSUPERVISORY EMPLOYEES**

PART 1

1. PERIOD COVERED FROM: TO:		2. <input type="checkbox"/> CLOSE-OUT RATING <input type="checkbox"/> RATING OF RECORD	
3. NAME (Last, First, Middle Initial)		4. SSN	
5. POSITION TITLE/SERIES/GRADE		6. ORGANIZATION	

7. RECORD OF REVIEWS AND FINAL APPRAISAL
(Signature indicates that this step of the process has been completed. Must be signed and dated)

	PERFORMANCE PLAN	PROGRESS REVIEW	FINAL APPRAISAL
IMMEDIATE SUPERVISOR			
EMPLOYEE			

SIGNATURE OF SECOND LEVEL SUPERVISOR (Mandatory for "Unacceptable" Ratings) DATE

8. RATING OF RECORD OR CLOSE-OUT RATING

ACCEPTABLE UNACCEPTABLE

9. EMPLOYEE'S POSITION DESCRIPTION IS CURRENT AND ACCURATE?
 YES NO

10. SUPERVISOR'S COMMENTS

CRITICAL ELEMENTS AND STANDARDS FOR NONSUPERVISORY EMPLOYEES

1. Execution of Duties:

Completes assigned tasks accurately and in a timely manner. Readily accepts and performs the work to be accomplished. Uses applicable knowledge and skills to produce products or provides services of good quality. Demonstrates proper attention to detail. Exercises sound judgement. Follows through on commitments to customers. Produces the expected quantity of work.

Comments (Optional but encouraged if "Acceptable" rating assigned; required if "Unacceptable" rating assigned) :

Rating (X): _____ Acceptable _____ Unacceptable

2. Adaptability:

Adapts to change (situations and people). Remains flexible and open to new or different ideas, work processes, or requirements. Stays current with new developments, changing priorities, or requirements.

Comments (Optional but encouraged if "Acceptable" rating assigned; required if "Unacceptable" rating assigned):

Rating (X): _____ Acceptable _____ Unacceptable

3. Working Relationships:

Establishes and maintains cooperative and effective internal and external working relationships. Helps others to get the job done. Is respectful of others. Keeps the supervisor, customers, and co-workers informed. Participates in resolving conflicts.

Comments (Optional but encouraged if "Acceptable" rating assigned; required if "Unacceptable" rating assigned) :

Rating (X): _____ Acceptable _____ Unacceptable

SIGNIFICANT PERFORMANCE APPRAISAL ACTIONS

<p>Within 30 days of the beginning of the rating period</p>	<p>Review and Issue Critical Elements and Performance Standards Within 30 days of the beginning of the rating period, supervisor must meet face-to-face with the employee to discuss work expectations and organizational mission requirements. The elements and standards should be reviewed and related to the employee's assigned work. At the conclusion of this meeting, the supervisor and employee must sign and date block 7 on the Performance Appraisal Form.</p> <p>Distribution: ◇ A copy is given to the employee. ◇ The original is kept by the supervisor.</p>
<p>Midcycle</p>	<p>Complete Progress Review Supervisor and employee meet to discuss the employee's accomplishments, update priorities, define new work expectations, and address key areas for improvement. The supervisor and employee both sign and date block 7 of the form.</p>
<p>Within 30 days of the end of the rating period</p>	<p>Issue Rating of Record Supervisor rates the employee's performance on each element and assigns a summary rating. To receive an overall summary rating of <u>Acceptable</u>, the employee must meet the Acceptable level on all of the critical elements. If the employee is rated Unacceptable on one or more element, the summary rating will be <u>Unacceptable</u>. The second-level supervisor's signature is required if the final rating is Unacceptable. The supervisor and employee both sign and date block 7 of the Performance Appraisal Form.</p> <p>Distribution: ◇ A copy is given to the employee. ◇ A copy is kept by the supervisor. ◇ The original is forwarded to the Human Resources Department, Stop 20b.</p>
<p><i>Privacy Act Notice: Use of a social security number is authorized by Executive Order 9397. The social security number is used to ensure that the correct rating is entered into the computer record and that this form is properly filed. This information may be shared with other Federal agencies in order to administer or audit the performance management program.</i></p>	



**UNITED STATES NAVAL ACADEMY
PERFORMANCE APPRAISAL
FOR SUPERVISORY EMPLOYEES**

PART 1

1. PERIOD COVERED FROM: TO:		2. <input type="checkbox"/> CLOSE-OUT RATING <input type="checkbox"/> RATING OF RECORD	
3. NAME (Last, First, Middle Initial)		4. SSN	
5. POSITION TITLE/SERIES/GRADE		6. ORGANIZATION	

7. RECORD OF REVIEWS AND FINAL APPRAISAL
(Signature indicates that this step of the process has been completed. Must be signed and dated)

	PERFORMANCE PLAN	PROGRESS REVIEW	FINAL APPRAISAL
IMMEDIATE SUPERVISOR			
EMPLOYEE			

SIGNATURE OF SECOND LEVEL SUPERVISOR (Mandatory for "Unacceptable" Ratings) DATE

8. RATING OF RECORD OR CLOSE-OUT RATING

ACCEPTABLE UNACCEPTABLE

9. EMPLOYEE'S POSITION DESCRIPTION IS CURRENT AND ACCURATE?
 YES NO

10. SUPERVISOR'S COMMENTS

**CRITICAL ELEMENTS AND STANDARDS
FOR SUPERVISORY EMPLOYEES**

1. Management of Assigned Programs/Functions:

Meets established goals and milestones within available resources. Exhibits the knowledge, skills, and abilities required to obtain desired results. Effectively and efficiently secures, allocates, and manages mission essential resources. Develops efficient procedures and systems. Sets program objectives and establishes priorities that reflect mission and organizational needs. Uses monitoring and evaluation techniques which ensure that services and/or work products are of good quality, timely, and responsive to customer and USNA needs. Keeps the Chain of Command informed of significant program initiatives, developments, and status. Implements a system of internal controls which insures program integrity and prevents fraud, waste, and abuse.

Comments (Optional but encouraged if "Acceptable" rating assigned; required if "Unacceptable" rating assigned) :

Rating (X): _____ Acceptable _____ Unacceptable

2. Personnel Management:

Establishes a customer-focused environment and strives to ensure customer satisfaction. Encourages and motivates employees. Communicates roles and responsibilities and delegates work fairly and efficiently. Maintains an enjoyable, positive, and challenging work environment. Communicates clear and consistent performance expectations. Develops employees through coaching, counseling, and proper training. Gives technical advice as required and reviews work promptly. Recognizes and rewards individual and team contributions in an equitable and timely manner. Documents performance problems and handles them with authority and tact.

Comments (Optional but encouraged if "Acceptable" rating assigned; required if "Unacceptable" rating assigned):

Rating (X): _____ Acceptable _____ Unacceptable

3. Safety:

Promotes a violence free, healthy, and respectful work environment. Ensures workplace is safe, clean, and free of hazards. Adheres to organizational safety program instructions and requirements.

Comments (Optional but encouraged if "Acceptable" rating assigned; required if "Unacceptable" rating assigned)

Rating (X): _____ Acceptable _____ Unacceptable

4. EEO:

Takes a proactive approach in ensuring a work environment free of discrimination and sexual harassment. Stops discriminatory behavior and sexual harassment among employees. Cooperates in resolving discrimination complaints. Supports EEO program goals and objectives.

Comments (Optional but encouraged if "Acceptable" rating assigned; required if "Unacceptable" rating assigned) :

Rating (X): _____ Acceptable _____ Unacceptable

SIGNIFICANT PERFORMANCE APPRAISAL ACTIONS

Within 30 days of the beginning of the rating period	Review and Issue Critical Elements and Performance Standards Within 30 days of the beginning of the rating period, supervisor must meet face-to-face with the employee to discuss work expectations and organizational mission requirements. The elements and standards should be reviewed and related to the employee's assigned work. At the conclusion of this meeting, the supervisor and employee must sign and date block 7 on the Performance Appraisal Form. Distribution: ◇ A copy is given to the employee. ◇ The original is kept by the supervisor.
Midcycle	Complete Progress Review Supervisor and employee meet to discuss the employee's accomplishments, update priorities, define new work expectations, and address key areas for improvement. The supervisor and employee both sign and date block 7 of the form.
Within 30 days of the end of the rating period	Issue Rating of Record Supervisor rates the employee's performance on each element and assigns a summary rating. To receive an overall summary rating of <u>Acceptable</u> , the employee must meet the Acceptable level on all of the critical elements. If the employee is rated Unacceptable on one or more element, the summary rating will be <u>Unacceptable</u> . The second-level supervisor's signature is required if the final rating is Unacceptable. The supervisor and employee both sign and date block 7 of the Performance Appraisal Form. Distribution: ◇ A copy is given to the employee. ◇ A copy is kept by the supervisor. ◇ The original is forwarded to the Human Resources Department, Stop 20b.
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