



DEPARTMENT OF THE NAVY
NAVAL SERVICE TRAINING COMMAND
2601A PAUL JONES ST
GREAT LAKES, ILLINOIS 60088-2845

CNSTCINST 12430.1
N1
20 Jun 06

COMNAVSEVTRACOM INSTRUCTION 12430.1

Subj: PERFORMANCE MANAGEMENT PROGRAM

Ref: (a) OPNAVINST 12430.3
(b) CNET PENSACOLA FL 081605Z Apr 98
(c) DON Human Resources Implementation Guidance, Guide No. 430-01

Encl: (1) Definitions
(2) Performance Appraisal Requirements
(3) Mandatory Performance Requirements
(4) Grievances and Appeals
(5) NSTC 12430/1 (6-06), Performance Review Program Form
(6) NAVSO 12430/10 (4-87), Three Level Critical Element Form

1. Purpose. This instruction establishes local policies and procedures which implement the Department of the Navy (DON) Performance Management Program as revised per references (a) and (b) and defined per reference (c).

2. Cancellation. NTCGLAKESINST 12430.3.

3. Policy. Reference (a) requires that all performance management programs used within DON be two-level summary rating programs which appraise an employee's performance as being at either the "Acceptable" or at the "Unacceptable" level. The use of non-critical elements is prohibited. The minimum appraisal period is 90 days. Procedures to recognize exceptional performance are addressed through a separate Naval Service Training Command (NSTC) Incentive Awards Program instruction.

4. Coverage. All appropriated fund employees of NSTC are covered by this program. Program definitions are provided per enclosure (1).

5. Relationship to Other Personnel Actions. NSTC follows Federal and DON standards and guidance for utilizing performance ratings in the following personnel actions:

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- a. Within-Grade Increases;
- b. Promotions;
- c. Probationary Periods;
- d. Removal, Demotion, and Reassignment;
- e. Reduction-in-Force (RIF); and
- f. Training and Development.

6. Responsibilities

- a. Commander, Naval Service Training Command will:

- (1) Establish a performance management program with an implementing instruction; and

- (2) Fulfill any requirement for collective bargaining prior to implementation.

- b. Chief of Staff (COS), Commanding Officers (CO); and Directors of activities will:

- (1) Ensure that supervisors in their organizational element follow the requirements in this instruction and have access to performance management program training;

- (2) Sign as second level supervisor for Unacceptable summary rating appraisals. Verify that all Human Resource Office (HRO) guidelines and requirements have been met prior to signature; and

- (3) Review and approve or disapprove reassignments or reductions in grade and make the decision on removal actions for employees who continue unacceptable performance after a reasonable opportunity to demonstrate acceptable performance.

- c. Supervisors will:

- (1) Develop a written performance plan for each covered employee based on work assignments and responsibilities covering the official appraisal period and ensure that all employees

under their cognizance have performance plans established per enclosures (2) and (3) guidelines and appraisal period, utilizing enclosures (5) and (6);

(2) Provide employees with a copy of their performance plans within 30 days of the beginning of the appraisal period;

(3) Conduct at least one documented progress review during the appraisal period;

(4) Prepare a rating of record for each employee;

(5) Contact HRO for assistance if at any time during the appraisal period an employee's performance is determined to be Unacceptable and follow all guidelines and requirements set forth by HRO. A rating of record of Unacceptable may not be assigned unless all HRO provided requirements have been met;

(6) Submit performance appraisal packages per guidelines set forth by the Performance Management Program Manager (N1); and

(7) Initiate reassignment, reduction in grade, or removal action for employees who continue unacceptable performance after a reasonable opportunity to demonstrate acceptable performance.

d. Covered employees should:

(1) Participate in a progress review(s);

(2) Provide input on their performance accomplishment at the end of the appraisal cycle and participate in the final appraisal discussion; and

(3) As requested, participate in the development of their performance plans. Employee grievance and appeal rights are provided per enclosure (6).

e. NSTC Performance Management Program Manager (N1) will:

(1) Review and update this instruction;

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(2) Set forth guidelines annually for activity performance appraisal submissions; and

(3) Via the NSTC Performance Management Program Coordinator (N1A), submit the activity performance appraisal packages and required accompanying hard copy or automated paperwork to the servicing HRO.

f. NSTC and activity Performance Management Program Coordinators will:

(1) Coordinate performance appraisal submissions and inform the COS, CO, and Directors, as applicable, of any problem areas;

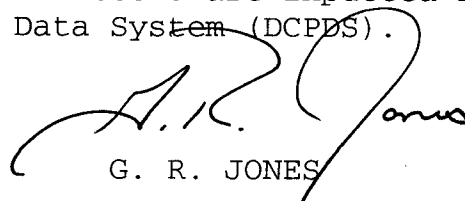
(2) Submit completed activity performance appraisal packages to NSTC N1A. For activities not located at Great Lakes, a confirmation list of appraisals received and ready to submit to HRO may, at the CO or Director's discretion, be sent to NSTC N1A instead of the actual appraisals which would be turned in directly to the local HRO. The original performance appraisals must be turned in to the local HRO; selecting this option would avoid mailing the appraisals to Great Lakes and then NSTC N1A mailing the appraisals back to the site's HRO. NSTC N1A would in either option create and send the spreadsheet or other paperwork required by the Human Resource Service Center to accompany the original performance appraisals;

(3) The Officer Development Performance Management Program Coordinator will coordinate appraisals for Naval Reserve Officer Training Corps (NROTC) and Department of Naval Science (DNS).

g. HROs will:

(1) Advise 6a. through 6f. personnel on program requirements and related performance management issues; and

(2) Ensure ratings of record are inputted into the Defense Civilian Personnel Data System (DCPDS).


G. R. JONES

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DEFINITIONS

1. Acceptable Performance. Performance of an employee which meets the established performance requirement(s) or standard(s), at a level above unacceptable, in all critical element(s) of an employee's position.
2. Appraisal. The process under which performance is reviewed and evaluated against the described performance standard(s).
3. Appraisal Period. The established period of time for which performance will be reviewed and a rating of record prepared. Examples include but are not limited to: 1 June through 31 May of the following year, 1 January through 31 December of the following year, or 1 October through 30 September of the following year.
4. Award. Recognition for individual or team achievement that contributes to meeting organizational goals or improving the efficiency, effectiveness, and economy of the Government or which is otherwise in the public interest.
5. 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.
6. Performance Rating. The result of a comparison between actual performance and the performance standard(s) for each critical element on which there has been an opportunity to perform for the minimum period, i.e., 90 days. A performance rating will include the assignment of a summary level.
7. 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.
8. Rating of Record. The performance rating prepared at the end of an appraisal period for performance over the entire period including the assignment of a summary. The rating of

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record is the official rating for pay, performance award, and retention purposes.

9. Summary Rating. The final result of the performance evaluation process. The summary rating is used to provide consistency in describing ratings of record. The two summary rating levels are: "Acceptable" (Level 3) and "Unacceptable" (Level 1).

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

PERFORMANCE APPRAISAL REQUIREMENTS

Per the Department of Defense (DOD) Performance Appraisal System, no employee may be concurrently covered by more than one performance appraisal program.

1. Appraisal Period

a. An annual appraisal period is required for rating of record purposes. The appraisal period for NSTC begins 1 June and ends 31 May of the following year.

b. To receive a rating of record, an employee must have served for a minimum appraisal 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 rating period will be extended beyond the activity's fixed ending date to ensure the minimum 90-day period.

2. Performance Plans

a. Each employee must have an approved written, performance plan based on work assignments and responsibilities. The plan will cover the official appraisal period.

b. Performance plans will be provided to employees within 30 days after the beginning of each appraisal period, permanent assignment to a new position, and of each detail or temporary promotion expected to last 120 days or longer. Performance plans include all critical elements and related performance standards.

c. Each performance plan must have at least one critical element which addresses individual performance. In addition, the performance plans will include the critical elements required for specific types of positions, such as safety, security, etc.

d. Two summary rating levels must be used for the final performance rating, with one level being Acceptable, and the other level being Unacceptable. Only Acceptable level performance standards will be established.

e. At the time performance standards are set, supervisors should certify on the performance appraisal, the currency and accuracy of the employee's position description.

3. Monitoring Performance

a. Progress Reviews

(1) A review of an employee's performance will be conducted and documented at least midway through the appraisal period.

(2) During progress reviews, first-level supervisors at a minimum will inform employees of their levels 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.

(3) Progress reviews do not require the assignment of a summary level, however, the first level supervisor and employee must sign and date the performance appraisal to indicate that the review was conducted.

4. Interim Appraisals. Interim appraisals should be conducted throughout the annual performance appraisal period, whenever needed. Interim appraisals are considered in determining the annual rating of record.

5. Training Appraisals. Training appraisals conducted under CPI 410 covering periods of at least 90 days should be considered in the annual performance rating process. Training appraisals do not serve as close-out ratings or as ratings of record.

6. Close-out Ratings. Close-out ratings must be conducted when:

a. An employee completes a detail or temporary promotion of 120 days or longer under established performance standards. This requirement also applies to employees on "loan" from another activity or agency for 120 days or longer.

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b. An employee changes positions, is promoted, or moves to a new agency or activity, after being under established performance standards a minimum of 90 days.

c. 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 unless changed by the new supervisor.

d. Close-out ratings may become the rating of record if the following criteria are met:

(1) There is insufficient time, i.e., 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

(2) The first level supervisor takes into consideration any other close-out ratings conducted during the appraisal period.

7. Ratings of Record

a. Within 30 days after the end of the appraisal period, a written rating of record will be given to each employee, unless the employee has not completed the 90-day minimum period of performance.

b. When a rating of record cannot be prepared at the time specified, the appraisal period will be extended to ensure the minimum 90-day period. A rating of record should be prepared as soon as practicable once the necessary conditions have been met.

c. The rating of record or performance rating for a disabled veteran will not be lowered because the veteran has been absent from work to seek medical treatment.

8. Summary Level Rating

a. A summary level rating must be assigned when a performance rating is prepared as part of a rating of record.

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b. Ratings are based on a comparison of performance against written standards. First-level supervisors will appraise performance elements as Acceptable, i.e., level 3 or Unacceptable, i.e., level 1. If all elements are appraised as Acceptable, the summary rating will be Acceptable. An Unacceptable summary rating level is assigned if, and only if, performance on one or more critical elements is appraised as Unacceptable.

9. Recording the results

a. The performance rating shall be signed and dated by the employee and immediate supervisor. The employee's signature does not necessarily constitute agreement with the rating; it merely signifies the employee has received it.

b. Each employee will be provided a copy of the rating of record within 90 days after the end of the annual appraisal cycle.

10. Additional Performance Requirements. Specific provisions of the law, regulation and DOD policy require certain matters to be considered in the performance evaluations of some employees. Appendix A provides current DoD Performance Evaluation Requirements.

11. Performance Plan Forms. An Acceptable/Unacceptable Summary Form and 3-step Critical Element form are provided as enclosures (5) and (6), respectively.

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MANDATORY PERFORMANCE REQUIREMENTS

1. Purpose. Specific provisions of law, regulation and DoD policy require certain matters to be considered in the performance evaluations of some employees. Except as provided below, this does not require the establishment of specific performance elements and standards addressing the individual's performance. Rating officials may just consider these requirements in the performance rating or provide narrative evaluations of progress in meeting these requirements (e.g., in a statement on an appraisal form reserved for remarks).

2. DoD Performance Evaluation Requirements

a. Equal Employment Opportunity (EEO)

(1) CRITERIA: Performance evaluations of supervisors, managers, and other personnel with EEO responsibility must have a critical element on EEO.

(2) ESTABLISHED BY: Paragraph E.2.f of DoD Directive 1440.1, "The DoD Equal Employment Opportunity (EEO) Program," May 21, 1987.

(3) STANDARD CRITICAL ELEMENT - Complies with EEO and affirmative action programs.

(4) FULLY SUCCESSFUL - Applies sound EEO and affirmative action principles to employee management. Considers minority groups in implementing personnel actions.

b. Audit Follow-Up

(1) CRITERIA: Performance evaluations of appropriate managers must reflect the degree of effectiveness in addressing audit findings and recommendations and implementing agreed-upon corrective actions required by Office of Management and Budget (OMB) Circular A-50, "Audit Follow-Up," September 29, 1982.

(2) ESTABLISHED BY: Established in paragraph 6K of SECNAVINST 5200.34D, "Management of Audit Decision and Follow-up Functions," December 18, 1991.

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(3) STANDARD CRITICAL ELEMENT: Audit/Inspection Findings and Recommendations.

(4) FULLY SUCCESSFUL: Ensures command approved findings and recommendations identified in internal or external audits, reviews and inspections are implemented within timeframes agreed to in reports documenting the events.

c. Internal Management Control

(1) CRITERIA: Performance evaluations of managers who have significant Internal Management Control (IMC) responsibilities must reflect the accountability for the success or failure of IMC practices.

(2) ESTABLISHED BY: Paragraph 1e, Enclosure (2) of SECNAVINST 5200.35D, "Department of the Navy Management Control Program," December 10, 1997.

(3) STANDARD CRITICAL ELEMENT: Internal Management Controls.

(4) FULLY SUCCESSFUL: Fosters a control conscious environment within (department/program/function); participates in and supports the formal management control program and establishes, maintains and reviews internal controls pursuant to the latest SECNAV, OPNAV and NETC instructions to provide reasonable assurance of:

(a) Efficient and effective utilization of resources (funds, personnel, information, equipment and facilities);

(b) Compliance with applicable laws and regulations;
and

(c) Achievement of mission objectives.

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GRIEVANCES AND APPEALS

1. Covered employees may raise issues relating to the performance appraisal process through either the administrative grievance procedure or, where applicable, a negotiated grievance procedure. Appealable issues may be submitted to the Merit Systems Protection Board(MSPB). Guidance on grievable and appealable matters is as follows:

a. Contents of the individual performance plan are neither grievable nor appealable.

b. Failure to inform employees of critical elements and standards within the required time frame is grievable.

c. Ratings on individual elements and summary level ratings are grievable.

d. Performance-based demotions and removals may be grieved through the appropriate negotiated grievance procedure or appealed to the MSPB, but not both.

e. Awards are not grievable under administrative grievance procedures.

Performance Review Program

I. Setting Performance Standards (Completed within 30 days after start of rating period.)

_____ Name		_____ Social Security Number		_____ UIC	
Employee's Position Description Accurate?		YES <input type="checkbox"/>	NO <input type="checkbox"/>		
_____ First Level Supervisor's signature		_____ Date	_____ Employee's signature		_____ Date

II. Progress Review (Completed halfway through rating period)

Date Conducted on: _____

_____ First Level Supervisor's signature		_____ Date	_____ Employee's signature		_____ Date
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III. End of Rating Period (Completed within 30 days after end of rating period.)

Type of Rating	Close Out <input type="checkbox"/>	Rating of Record <input type="checkbox"/>			
Rating Cycle	From: _____ Date	To: _____ Date			
Summary Rating	Acceptable <input type="checkbox"/>	Unacceptable <input type="checkbox"/>			
_____ First Level Supervisor's signature		_____ Date	_____ Employee's signature		_____ Date
_____ Second Level Supervisor's signature		_____ Date	(Required <i>only</i> if Summary Rating is <i>Unacceptable</i>)		

Comments may be attached to appraisal if desired.

Part II

LIST CRITICAL ELEMENTS AND STANDARDS	Individual Ratings		
Define Individual Critical Elements and Standards Element (1) Standard (F/S Level)	Above Fully Successful	Fully Successful	Below Fully Successful **
Critical Element 1			
Critical Element 2			
Critical Element 2			

** Any Critical Element marked "Below Fully Successful" requires an 'Unacceptable' Rating of Record. A Rating of Record of 'Unacceptable' may not be assigned unless ALL HRO provided requirements have been met.

Comments: