



DEPARTMENT OF THE NAVY
NAVAL TRAINING CENTER
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NTCGLAKESINST 12430.2B
T01M
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NTC GREAT LAKES (COMPLEX) INSTRUCTION 12430.2B

From: Commander, Naval Training Center, Great Lakes

Subj: PERFORMANCE MANAGEMENT PROGRAM

Ref: (a) SECNAVINST 12430.4
(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) Additional Performance Requirements
(4) Performance Review Program Form
(5) Three Level Critical Element Form
(6) Grievances and Appeals

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

2. Cancellation: NTCGLAKESINST 12430.2A.

3. Policy. Reference (a) requires that all performance management programs used within the Department of the Navy (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 will be addressed through a separate NTC Awards Program instruction.

4. Coverage. All appropriated fund employees of the Naval Training Center are covered by this program. Program definitions are provided in enclosure (1).

5. Relationship to Other Personnel Actions. The Naval Training Center follows Federal and DON standards and guidance for using performance ratings in the following personnel actions: Within-Grade Increases; Promotions; Probationary Periods; Removal,

Demotion, Reassignment; Reduction-in-Force (RIF); and Training and Development.

6. Responsibilities.

a. Commander, Naval Training Center will:

(1) Establish a performance management program with an implementing instruction.

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

b. Commanding Officers will:

(1) Implement this instruction for their respective performance management programs or promulgate their own instruction in accordance with the guidelines set forth in this instruction.

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

c. Chiefs of Staff will:

(1) Ensure that the assistant chiefs of staff and special assistants in their organizational element follow the requirements in this instruction and have access to performance management program training.

(2) Review and approve/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.

d. Assistant Chiefs of Staff/Special Assistants will:

(1) Ensure that all employees under their cognizance have performance plans established in accordance with enclosures (2) and (3) guidelines and rating periods.

(2) Submit performance appraisal packages in accordance with the guidelines set forth by the Performance Management Coordinator.

(3) Ensure managers and first line supervisors in their organizational element are aware of the requirements in this instruction and have access to performance management program training.

(4) Ensure all Human Resource Office (HRO) guidelines and requirements have been met prior to approving an unacceptable rating.

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

e. Managers and First Line Supervisors will:

(1) Develop a written performance plan for each covered employee based on work assignments and responsibilities covering the official appraisal period. Performance plans will follow the guidelines and use the forms in enclosures (2) through (5).

(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 the 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.

f. 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.

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(3) Participate in the development of their performance plans. Employee grievance and appeal rights are provided in enclosure (6).

g. Performance Management Program Coordinator will:

(1) Review and update this instruction.

(2) Set forth guidelines annually for command performance appraisal submissions.

(3) Track performance appraisal submissions and inform the appropriate Chief of Staff of any problem areas.

(4) Submit the command performance appraisal package to HRO.

h. Human Resources Office-Pensacola, Great Lakes Service Center will:

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

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



EDWARD E. HUNTER

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DEFINITIONS

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.

Appraisal. The process under which performance is reviewed and evaluated against the described performance standard(s).

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 same year, or 1 October through 30 September of the following year.

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.

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.

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.

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.

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

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).

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

Performance Appraisal Requirements

In accordance with the DOD Performance Appraisal System, no employee may be concurrently covered by more than one performance appraisal program.

Appraisal Period

(1) An annual appraisal period is required for rating of record purposes. Activities are responsible for designating the beginning and ending dates of the appraisal period.

(2) 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.

Performance Plans

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

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

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

(4) 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.

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

Monitoring Performance

(1) Progress Reviews

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

(b) During progress reviews, first-level supervisors at a minimum will inform employees 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.

(c) 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.

(2) 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.

(3) 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.

(4) 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/agency for 120 days or longer.

(b) An employee changes positions, is promoted, or moves to a new agency/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., less than 90 days, to establish a new performance plan and rate the covered employee in their assigned position before the end of the appraisal period.

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

(5) 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.

(6) Summary Level Rating

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

(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.

(7) 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.

(8) 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. Enclosure (4) provides these additional current DoD Performance Evaluation Requirements.

(9) Performance Plan Forms. A three-part Performance Review Program form and a three-step Critical Elements and Standards form are provided as enclosures (5) and (6) respectively.

ADDITIONAL 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. Audit Follow-Up. Performance evaluations of appropriate managers must reflect the 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 applies to audits conducted by the General Accounting Office (GAO) and the DoD Inspector General. This requirement is established in paragraph E.3.g. of DoD Directive 7650.3, "Follow-Up on General Accounting Office, DoD Inspector General, Internal Audit, and Internal Review Reports," September 5, 1989.

b. Protecting Classified Information. Performance evaluations of all employees whose duties involve access to classified information must include a comment by rating officials pertaining to an employee's discharge of security responsibilities. This requirement is established in paragraph 9-102(d) of DoD 5200.2-R, "Personnel Security Program," January 1987.

c. Internal Management Control. Performance evaluations of managers who have significant Internal Management Control (IMC) responsibilities must reflect the accountability for the success or failure of IMC practices. This requirement is established in paragraph E.3.d of DoD Directive 5101.39, "Internal Management Control Program," April 14, 1987.

d. Equal Employment Opportunity (EEO). Performance evaluations of supervisors, managers, and other personnel with EEO responsibility must have a critical element on EEO. This requirement is established in paragraph E.2.f of DoD Directive 1440.1, "The DoD Equal Employment Opportunity (EEO) Program," May 21, 1987.

e. Inventory Management. Performance evaluations of individuals employed at Inventory Control Points must give

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appropriate consideration to efforts made by these individuals to eliminate wasteful practices and achieve cost savings in the acquisition and management of inventory items. This requirement is established in section 2458 of Title 10, United States Code.

f. Acquisitions. Persons serving in acquisition positions in the same acquisition career field must be provided an opportunity for review and inclusion of any comments on any appraisal of the performance of a person serving in an acquisition position. This requirement is established in paragraph D.19 of DoD Directive 5000.52, "Defense Acquisition Education, Training, and Career Development Program," October 25, 1991.

g. Regulatory Reinvention. Performance measurements of persons who are frontline regulators, i.e., those who have authority to order a corrective action or levy a fine on a business or other government entity, must focus on results, not process and punishment. Therefore, such measures should not be based on process (e.g., number of visits to a business or government entity) or punishment (e.g., number of violations found, number of fines levied on a business or government entity). This requirement is established by a Presidential Memorandum for heads of Federal departments and agencies, "Regulatory Reinvention Initiative," March 4, 1995.

h. Classified Information Management. The performance ratings of civilian employees who are original classification authorities, security managers or security specialists, or significantly involved in the creation or handling of classified information must include the management of classified information as a critical element or item to be evaluated. This requirement is established in section 5.6.(c)(7) of Executive Order 12958, "Classified National Security Information," April 17, 1995.

i. Safety. Responsible DoD officials at each management level, including first-level supervisors, must, to the extent of their authority, comply with the DoD Occupational Safety and Health Program guidance and regulations. Performance evaluations of those employees must reflect personal accountability in this respect, consistent with the duties of the position, with appropriate recognition of superior performance, and, conversely, 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.

j. Increased Competition and Cost Savings in Contracts. Performance evaluations of officials involved in contracting and acquisition must give appropriate recognition to efforts to increase competition and achieve cost savings. This requirement is established in section 2317 of Title 10, United States Code.

Performance Review Program

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

1. Name	2. SSN	3. UIC
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Employee's Position Description Accurate? Yes No

First Level Supervisor's signature Date Employee's signature Date

II. Progress Review (Completed halfway through rating period)

Conducted on: _____
Date

First Level Supervisor's signature Date Employee's signature Date

III. End of Rating Period (Completed within 30 days after end of rating period)

Type of Rating: Close Out Rating of Record

Period covered: From: _____ To: _____
Date Date

Summary Rating

Acceptable Unacceptable

First Level Supervisor's signature Date Employee's signature Date

Second Level Supervisor's signature (Required *only* if summary rating is *unacceptable*.)

Second Level Supervisor's signature Date

PART II

LIST CRITICAL ELEMENTS AND STANDARDS	INDIVIDUAL RATINGS		
<p>EXAMPLE FORMAT: Define Individual Critical Elements and Standards</p> <p>A. Element (1) Standard (F / S Level) (2) Optional Standard (EFS, MS)*</p> <p>*May be required by major commands/activities.</p>	ABOVE FULLY SUCCESSFUL	FULLY SUCCESSFUL	BELOW FULLY SUCCESSFUL

Grievances and Appeals

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/appealable matters as per HRO Pensacola Performance Review Program Guidance, May 1998:

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.