



DEPARTMENT OF THE NAVY
NAVY RECRUITING COMMAND
5722 INTEGRITY DR.
MILLINGTON, TN 38054-5057

COMNAVCRUITCOMINST 12430.4
N12
2 Aug 2011

COMNAVCRUITCOM INSTRUCTION 12430.4

From: Commander, Navy Recruiting Command

Subj: PERFORMANCE MANAGEMENT PROGRAM FOR CIVILIAN BARGAINING
UNIT EMPLOYEES

Ref: (a) DoD Instruction 1400.25
(b) DON CHRM, Subchapter 430.1
(c) DON Guide No. 430-02
(d) COMNAVCRUITCOMINST 1650.1

Encl: (1) Sample Navy Recruiting Command Performance Management
Plan, NAVCRUIT 12430/1 (3-2011)
(2) Glossary of Definitions

1. Purpose. To establish policy for evaluating performance of Navy Recruiting Command (NAVCRUITCOM) Civilian Bargaining Unit (CBU) employees.

2. Scope. This instruction applies only to NAVCRUITCOM CBU employees. It does not apply to employees covered by the Department of Navy (DON) Interim Performance Management System (IPMS), employees on appointments of less than 120 days, or those excluded from coverage by other applicable laws or regulations.

3. Background. Performance Management is an integral part of any human resources program. The objective of performance management is to promote supervisor-employee dialogue, increase organizational effectiveness, support team endeavors, and continuously encourage employees to improve professionally to perform at their full potential.

4. Policy. Per references (a) through (c), the DON will use a two-level summary rating performance management program to appraise employee performance. The procedures outlined in this instruction will be used to implement the performance management program for NAVCRUITCOM CBU employees. Enclosures (1) and (2) will be utilized to develop an employee's performance plan, during the progress review, and when an overall summary performance rating is assigned.

5. Action

a. First Level Supervisors will:

(1) Establish and discuss performance standards with employees within 30 days after the beginning of each appraisal period, and/or each detail or temporary promotion expected to last 120 days or longer.

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

(3) Provide assistance to employees to improve 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 rating of record for each covered employee. This includes assigning a rating for each critical element and a summary rating.

(6) Recommend employees for awards throughout the appraisal period when warranted. Procedures are outlined in Chapter 6, of reference (d).

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

b. Employees are expected to maintain acceptable performance and encouraged to actively participate in employee-supervisory discussions concerning performance plan development, progress reviews, and annual ratings of record.

6. Implementation

a. Setting Performance Standards

(1) Supervisors and employees will comply with paragraph 5 above. The supervisor and employee will sign and date enclosure (1). A signed copy will be provided to the employee and the Civilian Human Resources Liaison Division (N12); the original is kept by the supervisor.

(2) Enclosure (1) will include all critical elements and related standards. Elements 8a and 8b are mandatory. Supervisors may use the Written Comments/Accomplishments section of enclosure (1) to further clarify or define critical elements and performance standards or by whatever means practical (e.g., memorandum, verbal communication, email). Supervisors are reminded that enclosure (1) is simply a communication and documentation tool. Performance management includes continuous open communication (e.g., ongoing focused discussions of mission, goals, objectives, and expectations) between the supervisor and the employee throughout the appraisal period.

(3) When performance standards are set, supervisors will certify in Block 6 of enclosure (1) the employee's Position Description (PD) is current and accurate. If the PD is not current, supervisors will revise the PD and forward it to appropriate authority for approval. Supervisors should communicate with employees about any revisions to ensure changes are complete.

b. Monitoring and Rating Performance

(1) Feedback. Supervisors should solicit feedback of the employee's performance from as many sources as appropriate (e.g., customers, team leaders).

(2) Progress Review. At a minimum, the supervisor will conduct a documented review of each employee's performance midway through the appraisal period. Employees will be informed of their progress toward meeting performance standards of their critical elements. To the maximum extent possible, progress reviews will be informative and developmental in nature and 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 assignment of ratings. The supervisor and employee will sign and date the form. The employee's signature does not indicate agreement; it merely signifies the review was conducted.

(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 elements, the supervisor will communicate the performance deficiency and expectations to the employee in writing. N12 and/or the labor relations representative at the Navy Region Midwest, Human Resources Office (HRO), Millington Field Office must be contacted for

2 Aug 2011

guidance on the procedural requirements. The employee's Higher Level Reviewer (HLR) should also be advised of any issues.

(4) Close-Out Rating. A close-out rating will be conducted when an employee completes a detail or temporary promotion of 120 days or longer under established performance standards, changes positions, is promoted, or moves to a new agency/activity after being under established standards a minimum of 90 days.

(a) The supervisor will check the "Close-Out Rating" box on enclosure (1), assign individual element and summary ratings, and sign and date the form under "Final Appraisal Issued" indicating the close-out rating was conducted.

(b) The employee should also sign and date the form. The employee's signature does not indicate agreement with the rating; it merely signifies the employee received it.

(c) A close-out rating will also be conducted when a first level supervisor leaves a position after the employee has been under established performance standards for a minimum of 90 days. A copy of the completed form will be provided to the employee. If the supervisor leaves, the supervisor should give the original form to his/her successor or the HLR.

(5) Rating of Record. A rating of record will be given to each employee within 30 days after the end of the appraisal period. The supervisor should check the "Rating of Record" block on enclosure (1) and assign individual element and summary ratings.

(a) Supervisors may use the Written Comments/Accomplishments section of enclosure (1) to acknowledge special accomplishments. The supervisor will sign and date the form under "Final Appraisal Issued" indicating the rating of record was conducted.

(b) The employee should also sign and date the form. Again, the employee's signature does not indicate agreement with the rating; it merely signifies the employee received it. A copy of the completed form will be provided to the employee, a copy kept by the supervisor, and the original forwarded to N12 to have the rating recorded.

(c) An unacceptable summary rating cannot be assigned unless an employee has completed a Performance

2 Aug 2011

Improvement Plan and an opportunity to improve. The HLR's signature is required in block 10 only when the supervisor assigns an unacceptable rating.

(d) If at the end of the appraisal period the employee has not completed the required 90-day minimum performance under the current established 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 on enclosure (1) for "Close-Out Rating" should be crossed out and "Rating of Record" checked. The current supervisor must initial and date this change. If the employee has not received a close-out rating during the same appraisal period, the appraisal period may be extended to ensure the minimum 90-day requirement is met.

7. Relationship to Other Personnel Actions

a. Within-Grade Increases (WGI). Employees will receive within-grade increases when eligible, provided their performance equates to an "acceptable" rating of record.

b. Promotions. An employee must be performing at the "acceptable" level on all critical elements to be eligible for a promotion.

c. Probationary Period. Evaluation of an employee's performance, as well as other considerations such as conduct and reliability, shall serve as a basis for the decision to retain or remove an employee from Federal service during a probationary period.

d. Reduction-in-Force (RIF). During a RIF, employees are placed on a retention register on the basis of their employment tenure, veteran's preference, length of service, and performance ratings. The three most recent ratings of record received in the last four years are factors in determining retention standing for RIF purposes.

e. Awards. Awards should be used throughout the appraisal period to acknowledge and motivate employees by recognizing and rewarding significant individual, team, or organizational achievements and contributions. A wide variety of options are available (e.g., On-the-Spot, Special Act, Time-Off, Honorary, and Informal Recognition). Procedures are outlined in Chapter 6 of reference (d).

2 Aug 2011

f. Quality Step Increases (QSI). The purpose of a QSI is to provide an appropriate incentive and recognition for excellence in performance by granting a faster than normal step increase. Careful consideration should be given before recommending a QSI. To be eligible, an employee must:

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

(2) Have received a rating of record of acceptable;

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

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

(5) Demonstrate a basis for reasonable expectation the high quality performance will continue in the future.

8. Grievances. Employees may raise issues relating to the performance appraisal process through the negotiated grievance procedure.

9. Forms. NAVCRUIT 12430/1 (Rev. 3-2011), Navy Recruiting Command Performance Management Plan, is available for download at <http://www.cnrc.navy.mil/publications/forms.htm>.

/s/

R. L. GRAF

Distribution:

Electronic only, via

<http://www.cnrc.navy.mil/publications/directives.htm>

GLOSSARY

Definitions

Acceptable Performance. Performance of an employee which meets the established performance requirement(s) or standards at a level above "unacceptable" in all critical element(s) of an employee's position.

Appraisal Period. The established period of time for which performance will be reviewed and a rating of record prepared. The appraisal period for covered NAVCRUITCOM employees begins 1 October and ends 30 September. 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 may be extended beyond 31 March to ensure the minimum 90-day requirement is met.

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

Critical Element. A work assignment or responsibility of such importance that unacceptable performance in the element would result in a determination the employee's overall performance is unacceptable.

Higher Level Reviewer (HLR). An employee's second-level supervisor.

Non-Critical Element. Non-critical elements are not used in the Navy.

Performance Plan. All of the written or otherwise recorded critical elements that set forth expected performance. A plan must include all critical elements and their performance standards.

Performance Standard. The management-approved expression of performance threshold(s), requirement(s), or expectation(s) that must be met to be appraised at a particular level of

2 Aug 2011

performance. A performance standard may include, but is not limited to, quality, quantity, timeliness, and manner of performance.

Progress Review. One or more required conversations with an employee about performance of critical elements measured against applicable performance standards.

Rating of Record. The performance rating prepared after the end of an appraisal period that covers performance over the entire appraisal period. The rating of record is the employee's official performance rating for pay, performance-related awards, and retention purposes.

Summary Rating. The overall rating of record derived after assigning ratings to individual critical elements. The two summary rating levels are: "acceptable" and "unacceptable."

Unacceptable Performance. Performance of an employee which fails to meet the established performance standard at the acceptable level.