



DEPARTMENT OF THE NAVY
FLEET AVIATION SPECIALIZED OPERATIONAL
TRAINING GROUP PACIFIC FLEET

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NAS NORTH ISLAND
SAN DIEGO, CALIFORNIA 92135-7068

FASOTRAGRUPACINST 12430.1B
N1

30 OCT 1998

FASOTRAGRUPAC INSTRUCTION 12430.1B

Subj: PERFORMANCE MANAGEMENT PROGRAM

Ref: (a) SECNAVINST 12430.4
(b) DON Guide No. 430-01
(c) NASNIINST 12430.2C
(d) FASOTRAGRUPACINST 12451.1

Encl: (1) HRO Form 430.01 (Rev 10/97)

1. Purpose. To publish command procedures for evaluating performance of civilian employees as directed by reference (a) and as set forth in references (b) and (c). This is a major revision and should be read in its entirety.

2. Cancellation. FASOTRAGRUPACINST ~~12340.1A~~ 12430.1A

3. Coverage. Provisions of this program apply to all FASOTRAGRUPAC civilian employees except for employees on appointments of less than 120 days.

4. Policy. Performance management is an integral part of any human resources program. It improves organizational effectiveness in accomplishing command mission requirements and goals and encourages employees to continuously improve, support team endeavors, develop professionally, and perform at their full potential.

5. Definitions.

a. Performance Plan. The written performance elements and standards that set forth expected performance of an individual employee.

b. Appraisal Period. The established period of time for which performance will be reviewed and rating of record prepared. To receive a rating of record, an employee must have served a minimum appraisal period of 90 days under an approved performance plan, in the same position and under the same first-level supervisor/rating official. If necessary, the employee's appraisal period will be extended to insure the minimum 90 day period.

c. 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



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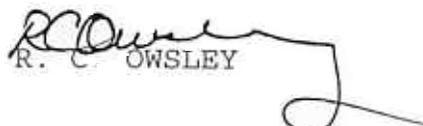
FASOTRAGRUPACINST 12430.1B CH-1
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01 DEC 1998

FASOTRAGRUPAC INSTRUCTION 12430.1B CHANGE TRANSMITTAL 1

Subj: PERFORMANCE MANAGEMENT PROGRAM

1. Purpose. To promulgate change 1 to the basic instruction
2. Action. Correct the following paragraph on page 1 to read:
 2. Cancellation. FASOTRAGRUPACINST 12430.1A.


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Distribution:
FASOTRAGRUPACINST 5216.2V

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performance is unacceptable. (Note: Non-critical elements will not be used in evaluating an employee's performance.)

d. Close-out Rating. An appraisal conducted when an employee or first-level supervisor/rating official 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.

e. Progress Review. Communication with the employee about performance compared to the performance standards of critical elements. Normally conducted midway through the appraisal period.

f. Summary Rating. The overall rating assigned when conducting a close-out rating or a rating of record. The two summary rating levels are: Level 3 - Acceptable and Level 1 - Unacceptable.

g. 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 official rating for pay, performance-related awards, and retention purposes.

6. Establishing Performance Plans and Evaluating Performance

a. Appraisal Period - All employees shall be appraised against established performance standards on an annual basis. The rating is a current record of performance at the close of the 12-month rating period (1 July - 30 June) and is due by 31 July each year to the Administrative Office, Code N142.

b. Performance Plans

(1) The first-level supervisor/rating official will provide performance plans 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 individual objectives, and his/her performance element(s). The first-level supervisor/rating official will sign and date the form indicating that the plan was established. The employee should then sign and date the form. A copy of the plan is to be provided to the employee, one copy is forwarded to Code N142, and the original is maintained by the first-level supervisor/rating official.

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(2) Performance plans will include all critical elements and related performance standards, if applicable. For most non-supervisory employees, their plan will consist of one element: "Execution of Duties." For most supervisory and managerial employees, their plan will consist of two elements: "Personnel Management/Equal Employment Opportunity" and "Organizational Support."

(3) Specific provisions of law, regulation and DOD policy require certain matters such as safety and internal management control to be considered in the performance evaluations of some employees. Appendix A lists the additional performance evaluation requirements.

(4) At the time performance standards are set, first-level supervisor/rating official must certify on the appraisal form (POSITION DESCRIPTION CERTIFICATION block) by their initials, the currency and accuracy of the employee's position description.

c. Monitoring Performance

(1) Progress Reviews. The first-level supervisor/rating official must, at a minimum, conduct a documented review of an employee's performance midway through the appraisal. This review will be conducted between 15 December and 31 January each year. Employees will be informed 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. The supervisor and employee will discuss employee's accomplishments, update priorities and define new assignments and expectations. Progress reviews do not require the assignment of a summary rating level. The first-level supervisor/rating official and the employee will sign and date the form indicating that the review was conducted.

(2) 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, he/she must be removed, reassigned, or reduced in grade, but only after the employee has been duly counseled verbally or in writing and has had an opportunity to demonstrate acceptable performance. A rating of record of "Unacceptable" must be reviewed and approved by the reviewing official (Department Head, Officer in Charge, Executive Officer, or Commanding Officer). Before assigning an "Unacceptable" rating of record, contact the Administrative Office, Code N142, for assistance.

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d. Rating Performance.

(1) 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 first-level supervisor/rating official should check the "CLOSE-OUT RATING" block on the appraisal form, assign a summary rating, then sign and date indicating the close-out rating was conducted. The employee should then sign and date indicating the close-out rating was conducted. (Note: If the first-level supervisor/rating official leaves the position after the employee is under established performance standards for a minimum of 90 days a close-out rating will be conducted). Forward copy of appraisal to Code N142 no later than 10 days after close-out.

(2) Ratings of Record. Within 30 days after the end of the appraisal period, written rating of record will be given to each employee. The first-level supervisor/rating official should check the "RATING OF RECORD" block on the appraisal form, assign a summary rating, sign and date the form indicating that the rating of record was conducted. The employee should then sign and date the form. A copy of the completed form is given to the employee, a copy is maintained by the first-level supervisor/rating official, a copy is maintained by Code N142, and the original is forwarded to the local Human Resources Office.

(3) If, at the end of the appraisal period, the employee has not completed the 90-day minimum period of performance under the current performance plan, 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" will be crossed out and "RATING OF RECORD" will be checked on the appraisal form (the supervisor will initial changes). 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.

(4) Written Comments. Unless otherwise indicated in Appendix A, written comments on enclosure (1), Performance Appraisal form (HRO Form 430.01), are optional.

e. Signatures. Signatures indicate that each step of the appraisal has been completed. Employee signature does not necessarily constitute agreement with this plan or the rating; it merely signifies that the employee is aware of the plan and/or the rating.

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8. Relationship to other Personnel Actions

a. Within-Grade Increases. Federal Wage System (FWS) and General Schedule (GS) employees receive within-grade increases when eligible and their performance equates to an "Acceptable" rating of record.

b. Promotions. Performance appraisals will be used as a basis for determining eligibility for career-ladder promotions and in merit promotion evaluations as appropriate.

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/Equal Employment Opportunity element 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 four years determines the retention standing for RIF purposes. (CPI 351 which outlines the procedures and requirements governing RIF is maintained at the Human Resources Service Centers (HRSC)).

9. Performance Recognition. Awards and Quality Step Increases will be considered in accordance with reference (d).

10. Grievance and Appeals. Covered employees may raise issues relating to the performance appraisal process through the administrative grievance procedure, or where applicable, a negotiated grievance procedure. Appealable issues may be appealed to the Merit Systems Protection Board (MSBP).

11. Forms. Performance Appraisal forms (HRO Form 430.01 (Rev. 10/97)) are available from FASOTRAGRUPAC Civilian Personnel, Code N142. A copy of the form is provided as enclosure (1).


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APPENDIX A

ADDITIONAL PERFORMANCE REQUIREMENTS

As stated in paragraph 6b(3) of this instruction, specific provisions of law, regulation, and DOD policy require certain matters to be considered in the performance evaluations of some employees. Unless otherwise indicated, rating officials may just consider these requirements in the performance rating or provide narrative evaluations in the "Written Comments" portion of the appraisal form.

a. Audit Follow-up. Performance evaluations of appropriate managers must reflect a degree of effectiveness in addressing audit findings and recommendations and implementing agreed-upon corrective actions as required by the Office of Management and Budget (OMB) Circular A-50, "Audit Follow-up," September 29, 1982. This requirement applied 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. Managing and Protecting Classified Information. Performance evaluations of all employees whose duties involve access to classified information shall include a written comment by rating officials pertaining to an employee's discharge of security responsibilities. The performance of civilian employees who are original classification authorities, security managers, or security specialists, or are significantly involved in the creation or handling of classified information, must be evaluated under element "#1 - Execution of Duties" for non-supervisory employees or under element "#2 - Organizational Support" for supervisors/managers. These requirements are established in paragraph 9-102(d) of DOD 5200-R, "Personnel Security Program," January 1987 and section 5.6(c)(7) of Executive Order 12958, "Classified National Security Information," April 17, 1995.

c. Internal Management Control. Performance evaluations of management 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. DOD Directive 5101.39, "Internal Management Control Program," April 14, 1987.

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d. Acquisitions. Persons serving in an acquisition position in the same acquisition career field shall 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.

WRITTEN COMMENTS

Mandatory only for certain occupations - see Instruction.

SIGNIFICANT PERFORMANCE APPRAISAL ACTIONS

Within 30 days of the beginning of the rating period

Review and Issue Performance Elements

Within 30 days of the beginning of the rating period, supervisor meets with each employee to discuss and review mission requirements, the employee's individual objectives, and the performance element(s). Supervisor and employee both sign and date the form.

Distribution:

- A copy is given to the employee.
- The original is kept by the supervisor

Mid-cycle

Complete Progress Review

Supervisor and employee meet to discuss the employee's accomplishments, update priorities, and define new assignments and expectations. Supervisor and employee both sign and date 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. Supervisor and employee both sign and date the form.

Distribution:

- A copy is given to the employee.
- A copy is kept by the supervisor.
- The original is forwarded to the HRO.