Interim Performance Management System

Performance Appraisal Form

User Manual

Table of Contents

Introduction	**2**
The Performance Appraisal Cycle	**2**
Timeline	**3**
Process Overview	**4**
Approval Process	**5**
Sections of the Form	**6**
Where to Go for Additional Information	**15**

Introduction

The National Defense Authorization Act (NDAA) 2010 repealed the National Security Personnel System (NSPS) and required that all employees be transitioned from NSPS. The law also required that the Department of Defense (DoD) submit to Congress a proposal for an enterprise-wide performance management system. For the period until the DoD-wide performance management system is implemented, positions that transitioned from NSPS to the General Schedule (GS) are covered by the Department of the Navy (DON) Interim Performance Management System.

The Interim Performance Management System uses a two-level performance appraisal system ("Acceptable"/"Unacceptable") with the goal of involving employees in improving organizational effectiveness by:

a. Communicating mission and organizational goals and objectives;

b. Identifying employee, team and supervisory accountability as identified in critical elements on performance plans; and

c. Using appropriate measures of performance to recognize and reward employees for their accomplishments.

Throughout the 1 October to 30 September annual appraisal period, rating officials and employees document certain steps in the performance appraisal process, including their initial performance plan, progress reviews and an annual assessment. These steps in the performance appraisal process are documented on the Performance Appraisal Form. This manual is intended to guide users of the Performance Appraisal Form through the proper steps required to document the appraisal process.

The form is available at:

https://navalforms.daps.dla.mil/formsDir/_OPNAV_12430_6_7382.pdf

The Performance Appraisal Cycle

Performance management in the DON consists of multiple steps taken over the course of an annual appraisal period. The Planning phase involves setting expectations and goals for individual employees that fit with the mission and goals of the organization. Ensuring employee involvement in this phase helps them to understand what the mission of the organization is and how their specific goals contribute to overall mission completion. During this first phase, the **Performance Plan** is developed.

The Monitoring and Developing phase involves providing ongoing feedback – both formally and informally – on progress in reaching employee goals. During this phase, development needs are addressed by providing training and ways to develop skills, by giving new assignments or higher levels of responsibility, or by improving work methods. During this phase, the **Progress Review** is

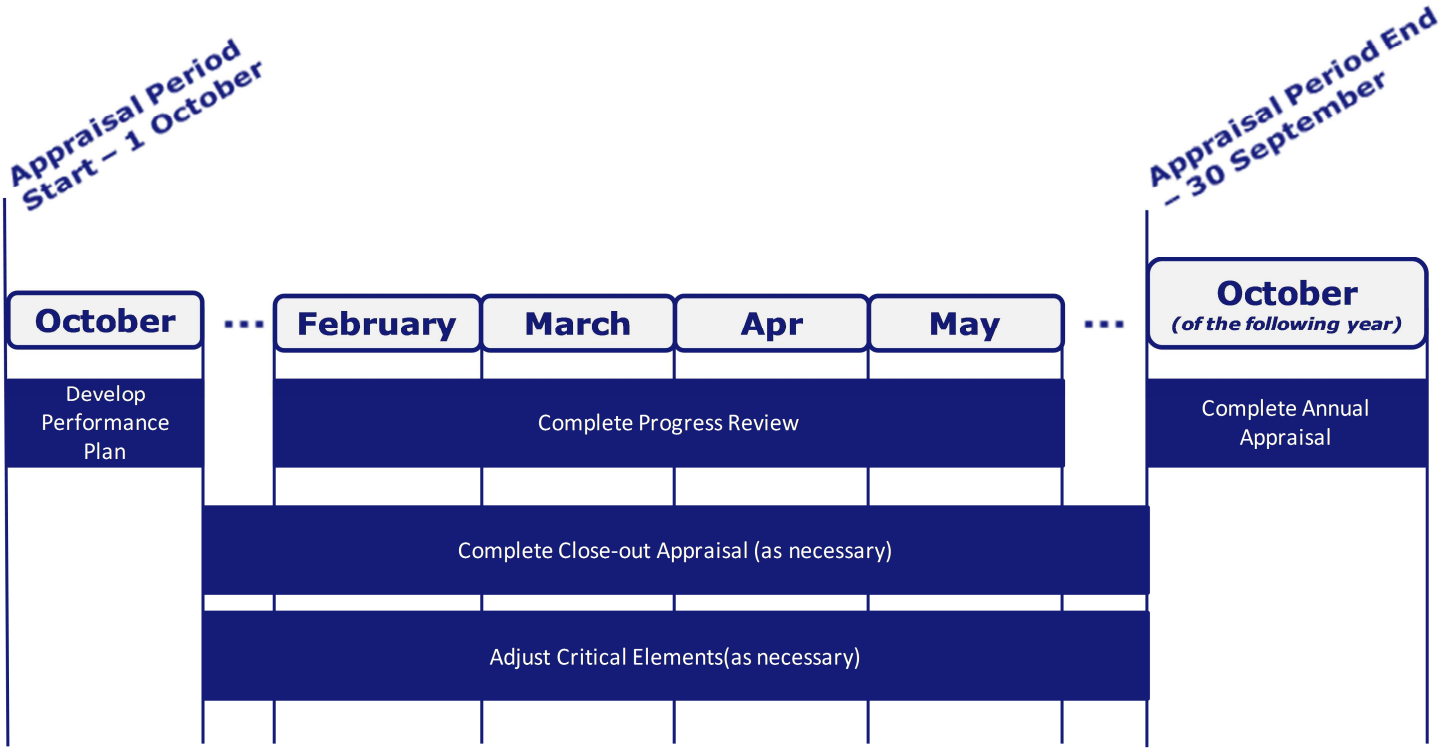
documented and necessary **Critical Element adjustments** are recorded. Some employees may also have **Close-out Assessments** documented during this phase as well.

The Rating phase involves summarizing employee performance. This process helps compare performance over time and provides a means for rewarding good performance. During this phase, the **Annual Assessment** is completed.

Finally, the Rewarding phase is the process for recognizing and rewarding employees for their contributions to the organization's mission. Since the Performance Appraisal Form is only for documenting and appraising performance and recorded a rating of record, recognition and rewards are not included on the Performance Appraisal Form.

Timeline

The DON Interim Performance Management System has a one-year appraisal period over which the phases described are completed. The appraisal period is from 1 October through 30 September of the following year. The following timeline shows an overview of what tasks should be completed at each month.



Process Overview

The following steps are a basic overview of how to use the form during the appraisal period. Required steps are in black; optional (as necessary) steps are in gray.

1. During the first thirty days of the appraisal period (normally 1 October to 30 October), the rating official develops a performance plan for each of his or her employees.

2. The rating official approves and signs the performance plan and forwards the plan to the senior rating official for approval and signature.

3. The rating official meets with the employee to discuss the performance plan and expectations for the upcoming appraisal period. The employee signs the performance plan to acknowledge receipt.

4. Around the mid-point of the appraisal period, the rating official schedules a progress review for each of his or her employees.

5. Employees prepare a self-assessment for the progress review and forward to the rating official.

6. The rating official prepares written assessments for each employee and then approves and signs the progress review.

7. The rating official meets with the employee to discuss the progress review and any adjustments in expectations for the remainder of the appraisal period. The employee signs the progress review to acknowledge receipt.

8. Should the critical elements need to be adjusted during the appraisal period, the rating official develops the adjusted critical elements, approves and signs the adjustments and forwards to the senior rating official for approval and signature.

9. The rating official meets with the employee to discuss the adjustments to the critical elements. The employee signs the performance plan to acknowledge receipt of the adjustments.

Note: Certain functionality in the form will not work without enabling JavaScript

In order to use certain functionality in the form (e.g., the navigation bar and digital signatures), users must enable JavaScript.

To do so, open the form in Adobe Acrobat or Reader. Select "Edit" and then "Preferences." Select the "JavaScript" category. Check the "Enable Acrobat JavaScript" button.

If users are unable to enable JavaScript, they will need to contact their organization's IT department for assistance.

10. Should a close-out appraisal be necessary during the appraisal period, the employee prepares a self-assessment for each critical element for the close-out appraisal and forwards to the rating official.

11. The rating official prepares written assessments of each critical element and selects a recommended individual element level for each and then approves and signs the close-out assessment and forwards it to the senior rating official for approval and signature.

12. The rating official meets with the employee to discuss the close-out assessment. The employee signs the close-out assessment to acknowledge receipt.

13. After the end of the appraisal period (normally 30 September), the rating official schedules annual assessment meetings for each of his or her employees.

14. The employee prepares a self-assessment for each critical element for the annual appraisal and forwards to the rating official.

15. The rating official prepares written assessments of each critical element and selects an individual element level for each. The rating official then selects a summary rating and then approves and signs the annual assessment and forwards it to the senior rating official for approval and signature.

16. The rating official meets with the employee to discuss the annual assessment. The employee signs the annual assessment to acknowledge receipt.

Remember: frequent performance feedback is extremely important in motivating employee performance. Rating officials should continue to provide informal feedback throughout the appraisal period and not just at the points required by the Performance Appraisal Form.

Approval Process

Organizations will develop their own processes for routing and approval of the Performance Appraisal Form. The form can be routed as a paper copy with wet signatures or the form can be routed using the Total Records and Information Management (TRIM) system or by email and be signed using the digital signature capabilities.

If the electronic version of the form is used, organizations can use Adobe's import/export functionality to reduce the file size. This functionality can also be used to import data from multiple forms into a spreadsheet (e.g., for use organization-wide). For additional information on these uses, contact the Forms Management Help Desk at opnav.donforms.dns51@navy.mil.

Sections of the Form

The following is a description of each section of the form that describes how to fill out each field.

Section 1 – Performance Plan

Part A – Administrative Data

PART A - ADMINISTRATIVE DATA		
1. APPRAISAL PERIOD:	a. START DATE:	b. END DATE:
2. EMPLOYEE NAME (*Last, First, Middle Initial*):		3. EMPLOYEE ID:
4. POSITION TITLE:		5. GENERAL SCHEDULE (GS) GRADE AND STEP:
6. ORGANIZATION:		

Field	Description
1a. Appraisal Period Start Date	Enter the date the employee's appraisal period began, normally 1 October. If the employee transferred to a new position during the appraisal period, this date would normally be the date they began in the position.
1b. Appraisal Period End Date	Enter the date the employee's appraisal period ends, normally 30 September. If the employee transfers to a new position or organization or experiences a change in rating official within the last 90 days of the appraisal period and a close-out is prepared, this date may be the last day they occupied the position or were supervised by the rating official.
2. Employee Name	Enter the employee's first, middle, and last name.
3. Employee ID	Enter the employee's employee ID.
4. Position Title	Enter the employee's position title. This may be updated throughout the appraisal period if necessary.
5. GS Grade and Step	Enter the employee's General Schedule (GS) grade and step. This may be updated throughout the appraisal period if necessary.
6. Organization	Enter the employee's organization. This may be updated throughout the appraisal period if necessary.

Part B – Performance Plan Documentation

PART B - PERFORMANCE PLAN DOCUMENTATION

1. POSITION DESCRIPTION CERTIFICATION
(to be completed by Rating Official)

☐ I certify that the employee's position description (PD) is current and accurate

2. PLAN DOCUMENTATION

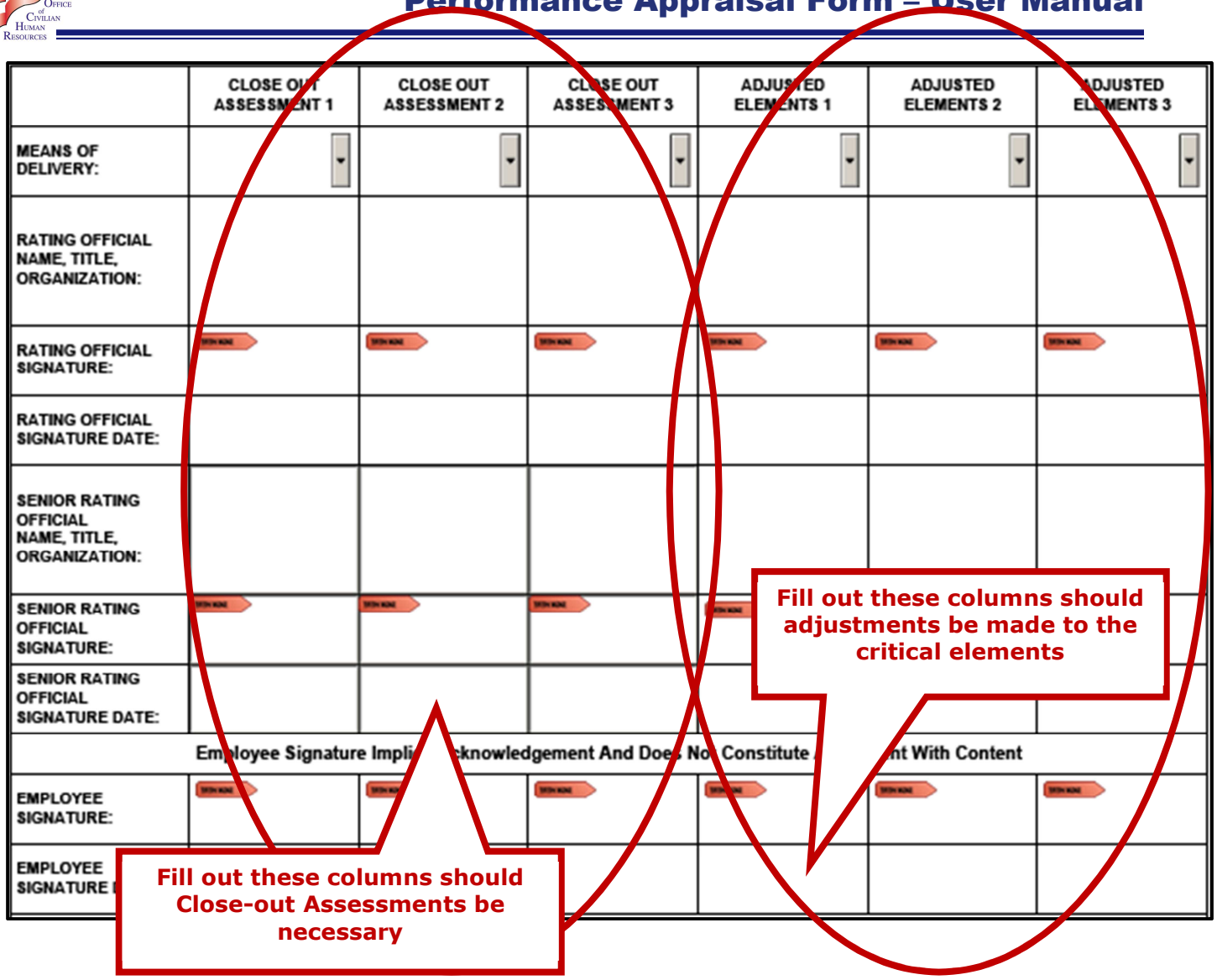
The following signature blocks document the required steps in the appraisal process. The Performance Plan column must be filled in upon initial development of the performance plan. Should any changes to the plan be made during the appraisal period, the Adjusted Elements column(s) on Page 2 will be filled in to reflect the information at the time of the change. The Progress Review column must be filled in upon completion of the required Progress Review. The Annual Assessment column must be filled in upon completion of the required Annual Assessment at the end of the appraisal period. Should a Close-out Assessment be required, the Close-out Assessment column(s) on Page 2 will be filled in to reflect the information at the time of the Close-out Assessment.

	PERFORMANCE PLAN	PROGRESS REVIEW	ANNUAL ASSESSMENT
MEANS OF DELIVERY:			
RATING OFFICIAL NAME, TITLE, ORGANIZATION:			
RATING OFFICIAL SIGNATURE:			
RATING OFFICIAL SIGNATURE DATE:			
SENIOR RATING OFFICIAL NAME, TITLE, ORGANIZATION:			
SENIOR RATING OFFICIAL SIGNATURE:			
SENIOR RATING OFFICIAL SIGNATURE DATE:			
Employee Signature Implies Acknowledgement and Does Not Constitute Agreement With Content			
EMPLOYEE SIGNATURE:			
EMPLOYEE SIGNATURE DATE:			

Fill out this column upon completion of the Performance Plan

Fill out this column upon completion of the Progress Review

Fill out this column upon completion of the Annual Assessment



Field	Description
1. Position Description Certification	The rating official must certify that the employee's position description (PD) is current and accurate at the beginning of the appraisal period and again should any change in position or duties occur. If the PD is inaccurate, the rating official must take action to correct it.
2. Plan Documentation	In this section, the steps in the appraisal period will be documented as approved. When each Part is completed, each row in the appropriate column must be filled out. If digital signatures are being used, note that in most cases, a digital signature by the Senior Rating Official will lock the

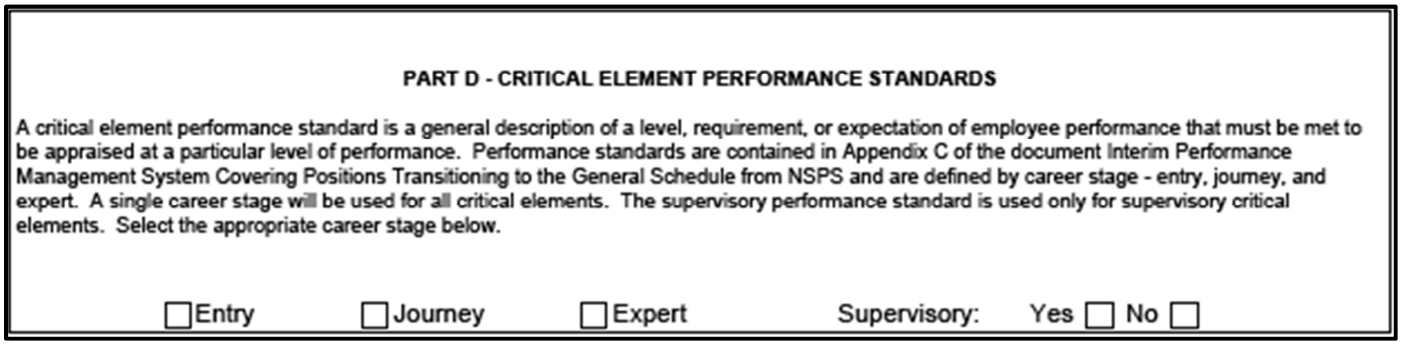
	Part for editing for security reasons.
Means of Delivery	Select the method with which the step in the appraisal period was conducted between the rating official and the employee. For example, if the rating official and employee sat down together to discuss the employee's progress review, then the rating official would select "face-to-face."
Rating Official Name, Title, Organization	Enter the rating official's name, title and organization.
Rating Official Signature	The rating official can sign either on a paper copy or by digital signature. Note that digital signatures will not function unless JavaScript is enabled.
Rating Official Signature Date	Enter the date the rating official signed.
Senior Rating Official Name, Title, Organization	Enter the senior rating official's name, title and organization.
Senior Rating Official Signature	The senior rating official can sign either on a paper copy or by digital signature. Note that if the senior rating official signs by digital signature, the part signed will automatically lock for editing for security reasons. Note that digital signatures will not function unless JavaScript is enabled.
Senior Rating Official Signature Date	Enter the date the rating official signed.
Employee Signature	The employee can sign either on a paper copy or by digital signature. Note that employee signature implies acknowledgement and does not constitute agreement with content. Note that digital signatures will not function unless JavaScript is enabled.
Employee Signature Date	Enter the date the employee signed.

Part C – Command Use

This section can be used to record additional information as required by individual organizations or when additional space is needed.

Part D – Critical Element Performance Standards

Performance Standards are defined by career stage – entry, journey, or expert. Appendix D of the Interim Performance Management System provides a crosswalk to assist supervisors in deciding at which stage an employee should be considered. Based on the supervisor's selection, the form automatically fills in the performance standards from the policy. Note that JavaScript must be enabled in order to use this functionality.



PART D - CRITICAL ELEMENT PERFORMANCE STANDARDS

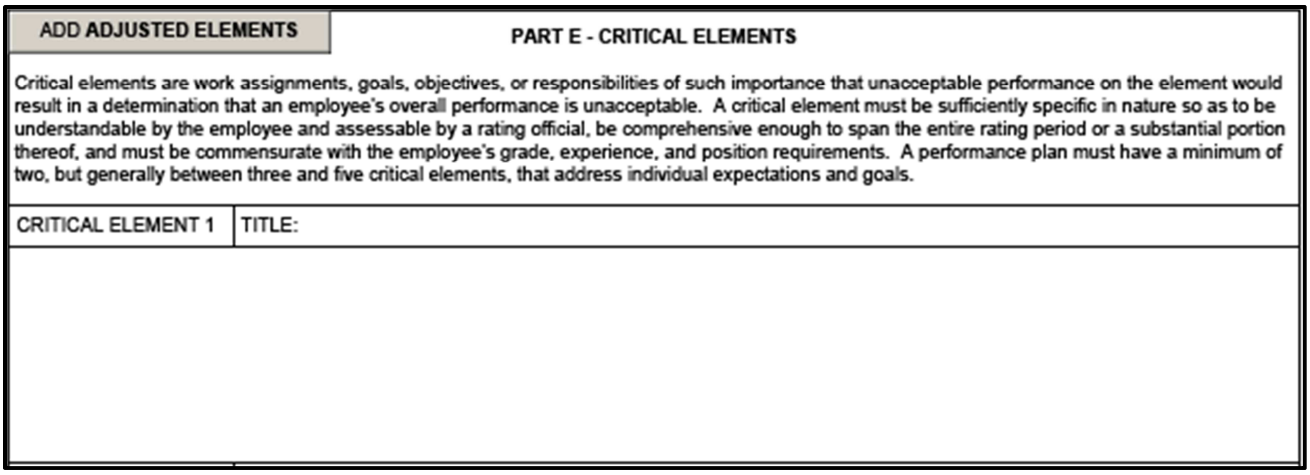
A critical element performance standard is a general description of a level, requirement, or expectation of employee performance that must be met to be appraised at a particular level of performance. Performance standards are contained in Appendix C of the document Interim Performance Management System Covering Positions Transitioning to the General Schedule from NSPS and are defined by career stage - entry, journey, and expert. A single career stage will be used for all critical elements. The supervisory performance standard is used only for supervisory critical elements. Select the appropriate career stage below.

☐ Entry ☐ Journey ☐ Expert Supervisory: Yes ☐ No ☐

Field	Description
Career Stage selection	Rating official selects the appropriate career stage to automatically populate the performance standards.
Supervisory selection	Rating official selects "yes" if the employee has supervisory duties and "no" if the employee does not have supervisory duties.

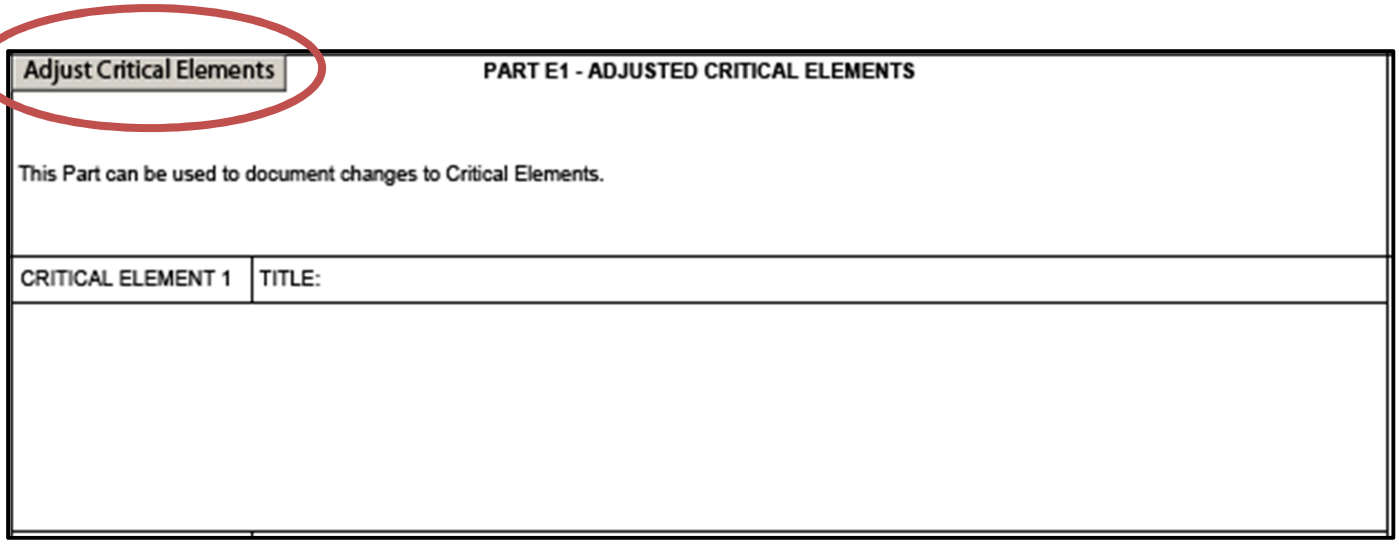
Part E – Critical Elements

In this part, the rating official records the employee's critical elements. Employees must have a minimum of two, but generally between three and five critical elements. There is no character limit to critical elements and the fields for critical elements will expand automatically if needed. After critical elements have been developed, the rating official, senior rating official and employee must sign and date the column for the Performance Plan in Part B.



Part E1/E2/E3 – Adjusted Critical Elements

If critical elements need to be adjusted during the year, the rating official selects the "Add Adjusted Elements" button in Part E to automatically add an additional critical element section. Rating officials can then make the adjustments to the critical elements. After critical elements have been adjusted, the rating official and employee must sign and date the column for Adjusted Critical Elements in Part B.



Part F – Progress Review

At least one progress review is required during the appraisal period. Progress Reviews should be informative and developmental in nature and focus on future performance expectations and progress toward critical elements thus far. Progress Reviews do not require

the assignment of a rating of record. The rating official will input an assessment into the appropriate field. The employee is strongly encouraged to complete a self-assessment in the appropriate field as well. After the Progress Review is complete, the rating official and employee must sign and date the column for Progress Review in Part B.

PART F - PROGRESS REVIEW

At least one progress review will be completed for each employee during the appraisal period. At this time, the employee will be informed of how they are progressing with regard to their critical elements. Progress reviews do not require the assignment of a rating of record.

CRITICAL ELEMENT 1	TITLE:
CRITICAL ELEMENT 2	TITLE:
CRITICAL ELEMENT 3	TITLE:
CRITICAL ELEMENT 4	TITLE:
CRITICAL ELEMENT 5	TITLE:

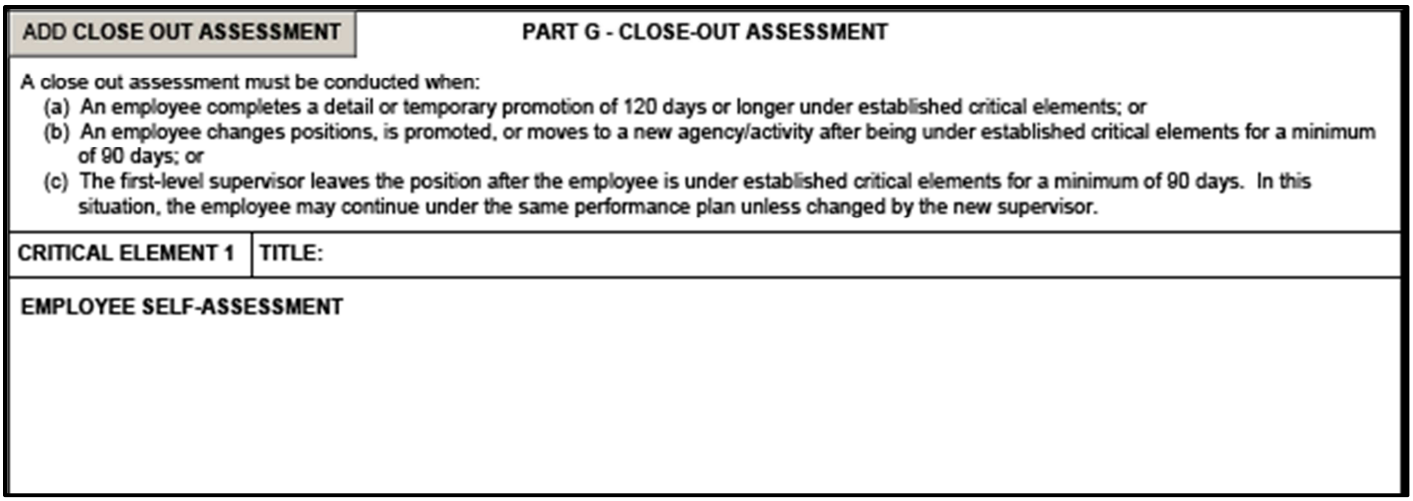
EMPLOYEE SELF-ASSESSMENT

Part G – Close-out Assessment

A Close-out Assessment is required in the following situations:

- An employee completes a detail or temporary promotion of more than 120 days under established critical elements. This requirement also applies to employees on loan from another activity or agency for more than 120 days.
- An employee changes positions, is promoted or moves to a new agency or activity after being under established critical elements for a minimum of 90 days.
- The rating official leaves the position after the employee is under established critical elements for a minimum of 90 days.

When a Close-out Assessment is necessary, employee will document a self-assessment for each critical element and then pass the form to the rating official, who will document an assessment of the employee's performance on each critical element and then recommend an Individual Element Level ("Unacceptable" or "Acceptable"). After the Close-out Assessment is complete, the rating official, senior rating official and employee must sign and date the column for Close-out Assessment in Part B.



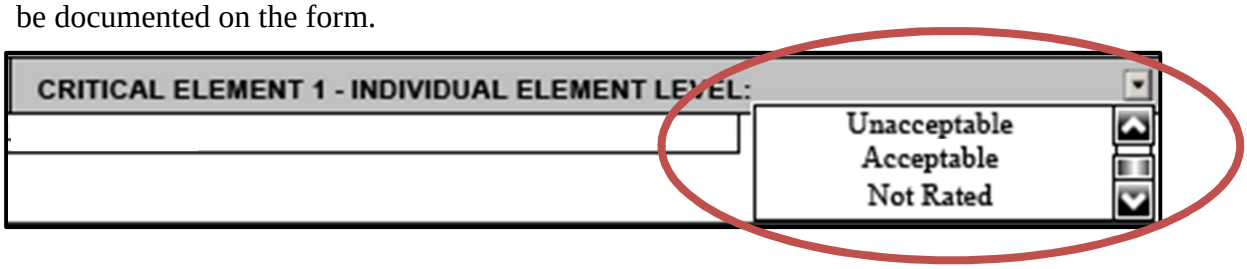
Part G1/G2/G3 – Additional Close-out Assessments

If additional Close-out Assessments are necessary during the appraisal period, the rating official selects the "Add Close-out Assessment" button in Part G to automatically add an additional Close-out Assessment section. Rating officials can then document an additional Close-out Assessment using the procedure outlined in Part G above. After the Close-out Assessment is complete, the rating official, senior rating official and employee must sign and date the column for the additional Close-out Assessment in Part B.

Part H – Annual Assessment

At the end of the appraisal period (normally 30 September), rating officials must document Annual Assessments for each of their employees. Employees are required to provide their rating officials with self-assessments for each of their critical elements and document these on the form. Rating officials then prepare written assessments of each critical element and document these on the form. Rating officials select an Individual Element Level ("Unacceptable" or "Acceptable") for each critical element.

After rating each individual critical element, the rating official completes Part I as described below. The rating official's recommended performance ratings are subject to review and approval by the senior rating official. Any changes made by the senior rating official must be documented on the form.



Section 2 – Rating of Record

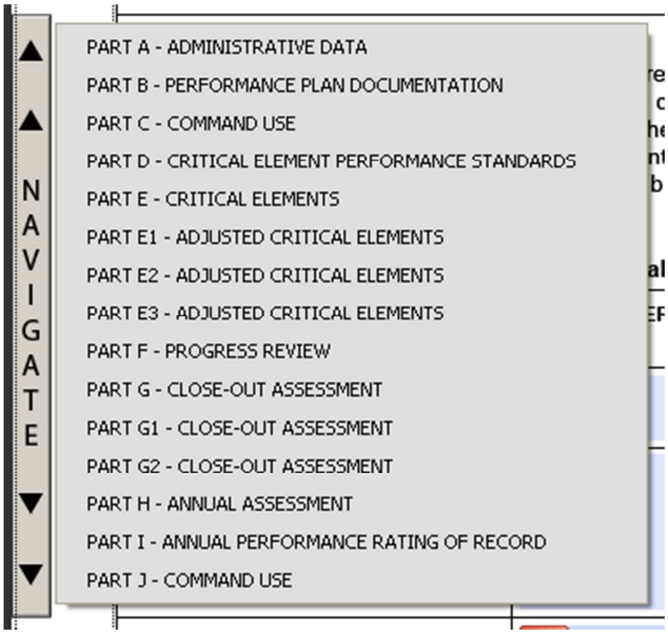
Part I – Annual performance Rating of Record

After Part H has been completed, the rating official completes this part by confirming each Individual Element Level and then selecting a Rating of Record. If any one critical element is rated "Unacceptable," then the Rating of Record is "Unacceptable." If all critical elements are rated "Acceptable," then the Rating of Record is "Acceptable." If the Rating of Record was based on a Close-out Rating, the rating official selects the "Rating of Record based on Close-out Appraisal" check box.

SECTION 2 - RATING OF RECORD		
PART I - ANNUAL PERFORMANCE RATING OF RECORD		
CRITICAL ELEMENT	CRITICAL ELEMENT TITLE	INDIVIDUAL ELEMENT LEVEL
1		
2		
3		
4		
5		
RATING OF RECORD *(If any one critical element is assigned "Unacceptable," then input "Unacceptable." Otherwise, input "Acceptable.")*		

Navigation Bar

To easily navigate around the Performance Appraisal Form, use the Navigation Bar located on the left side of every page.



Where to Go for Additional Information

For additional information, the following resources are available:

- For information about the Interim Performance Management System, see the DON Office of Civilian Human Resources Performance Management Resource Library at: http://www.public.navy.mil/donhr/Services/performancemanagement/Pages/ResourceLibrary.aspx
- For assistance with the Performance Appraisal Form, contact the DON Forms Management Office at opnav.donforms.dns51@navy.mil
- Contact your local HRO or HRSC
- Email DONhrFAQ@navy.mil