

COMSCINST <b>12430.5C</b>	COG CODE <b>N12</b>	DATE <b>18 MAR 1998</b>
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**DEPARTMENT OF THE NAVY**  
COMMANDER MILITARY SEALIFT COMMAND  
WASHINGTON NAVY YARD  
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WASHINGTON DC 20398-5540

COMSCINST 12430.5C  
N1  
18 March 1998

COMSC INSTRUCTION 12430.5C

Subj: MILITARY SEALIFT COMMAND PERFORMANCE MANAGEMENT PROGRAM

Ref: (a) 5 CFR Parts 430, 432, 531  
(b) DOD 1400.25-M, Subch 430  
(c) SECNAVINST 12430.4  
(d) DON Implementation Guidance #430-01  
(e) CPI 410  
(f) DRAFT DON Implementation Guidance #451-1  
(g) COMSCINST 5200.3E

Encl: (1) Performance and Related Personnel Actions  
(2) MSC 12430/18 (3-98), Performance Plan and Appraisal Form  
(3) Additional Performance Requirements

1. Purpose. To establish and implement the Military Sealift Command (MSC) Performance Management Program in accordance with the policies and requirements of references (a), (b), (c) and the implementing guidance of reference (d). This is a complete revision and should be read in its entirety.

2. Cancellation. COMSCINST 12430.5B.

3. Coverage. This instruction covers all appropriated fund civilian employees of MSC, except: Senior Executive Service (SES) members; Civil Service Mariner (CIVMAR) personnel; employees outside the United States paid in accordance with local national prevailing wage rates for the area in which employed; employees on temporary appointments of less than 1 year, who agree to serve without a performance evaluation, and who will not be considered for reappointment or for an increase in pay based, in whole or in part on performance; and, employees occupying excepted service positions for which employment is not reasonably expected to exceed the minimum period established for performance in a consecutive 12-month period.

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#### 4. Background

a. The implementation and administration of performance management (appraisal) and recognition (awards) systems resulting from the Civil Service Reform Act of 1978 have been fraught with problems and have included several revisions. Recently, however, regulations on performance management and performance awards were significantly revised and published. These revised regulations permitted the use of two levels (acceptable/unacceptable) for assessing performance on individual elements and the summary rating on appraisals, deleted the higher level review requirement (reviewing officials) for performance plans and for summary rating levels above unacceptable, and delinked appraisals and awards, to name a few. The Department of Navy (DON) has adopted the two level rating structure for use by all its commands and activities.

b. Because of the separation of the direct link between appraisals and awards, there are no longer “performance awards” granted only at the end of the annual appraisal cycle. Instead, there are provisions for performance recognition that may be granted to employees who attain high levels of performance for individual, team or organizational achievements or contributions. This performance-based recognition may be used at the end the annual appraisal cycle to recognize performance excellence. In addition, managers are encouraged to recognize high-performers at any time during the rating cycle using Special Act, On-the-Spot and Time-Off awards.

5. Policy and Program Objectives. In accordance with references (b) through (d), MSC’s Performance Management Program will be used to involve employees, as individuals and members of a group, in improving organizational effectiveness. To achieve this objective, the MSC Performance Management Program will be used to integrate management processes that:

- a. Communicate and clarify mission and organization goals and objectives.
- b. Identify employee, team and managerial accountability for the accomplishment of goals and objectives.
- c. Involve employees in improving organizational effectiveness and in assessing employee, team and organizational effectiveness and performance.
- d. Use appropriate measures of performance to recognize and reward employees and use the results of performance appraisals as a basis for appropriate personnel actions.
- e. Involve employees and their representatives in program development and implementation.

f. Encourage employees to take responsibility to continuously improve, support team endeavors, develop professionally, incorporate MSC Core Values in all efforts, and perform at their full potential.

6. MSC Performance Management Program. Consistent with the policy and implementing guidance of references (c) and (d), a two-level performance management program will be used. To ensure consistency in application and in furtherance of MSC's Program Management Structure, the performance rating period/cycle will commence 1 May each year and end 30 April the following year. The two-level appraisal program and transition to the 1 May to 30 April performance rating period will be implemented upon close-out of the current cycle. Applicable exclusive representatives must be notified prior to implementation and any bargaining obligations must be satisfied. No provisions of the policies and procedures in this instruction shall be applied in such a way as to affect any administrative proceeding related to any personnel action that is pending prior to implementation of this program.

7. Definitions

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

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

c. Appraisal Period. The established period of time for which performance will be reviewed and a rating of record prepared. Appraisal period is also referred to as appraisal cycle, performance appraisal period/cycle, and performance period/cycle. MSC's appraisal period is 1 May through 30 April each year. However, the period may begin or end at a different time for individual employees, if the employee is promoted, reassigned, demoted, or appointed during the appraisal year. The minimum appraisal period is 90 calendar days.

d. Award. A tool to acknowledge, motivate, recognize and reward 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.

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e. Close-out Rating. An appraisal conducted when an employee or first level supervisor leaves a position after the employee has been under established performance standards for 90 days or more but before the end of the appraisal cycle. Close-out ratings will be documented and used in deriving the rating of record and in some cases, may become the rating of record.

f. 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. Critical elements may include but are not limited to objectives, program goals, and other means of expressing expected performance. Consistent with references (c) and (d) within DON, all elements are critical; non-critical elements are not used.

g. Interim Appraisal. Any progress review or training appraisal conducted throughout the annual performance appraisal period.

h. Performance. Accomplishment of work assignments or responsibilities.

i. Performance Plan. All of the documented elements that describe the expected performance of an individual employee. A plan must include all critical elements and their related performance standards. Each performance plan must have at least one critical element which addresses individual performance. In addition, performance plans must include critical elements required for specific types of positions, such as safety, security, acquisition, etc. MSC 12430/18 prescribes three critical elements and standards common for all covered positions. Rating officials must add at least one additional critical element and standards addressing individual performance and any additional critical elements and standards for certain specific types of positions.

j. 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 of 90 days. A performance rating will include the assignment of a summary level rating.

k. Performance Standard. The management-approved expression of the performance threshold(s), requirement(s), or expectations(s) that must be met to be appraised at a particular level of performance. The performance standard may include, but is not limited to, quality, quantity, timeliness and manner of performance.

l. Progress Review. Communicating with the employee about performance compared to the performance standards of critical elements.

- m. Rater/Rating Official. The first level supervisor.
- n. Rating of Record. The performance rating prepared at the end of an appraisal period for performance over the entire period and the assignment of a summary rating level. The rating of record is the official rating for pay, performance award and retention purposes.
- o. Reviewer/Reviewing Official. The second level supervisor.
- p. Summary Rating. The final result of the performance evaluation process. The summary rating is used to provide consistency in describing ratings of record. Ratings are based on a comparison of performance against written standards.
- q. Training Appraisal. An appraisal conducted as part of a formal training program, lasting more than 90 calendar days, and conducted under reference (e).
- r. Unacceptable Performance. Performance of an employee which fails to meet established performance standards in one or more critical elements.

## 8. Responsibilities

- a. Commander, Military Sealift Command (COMSC) is responsible for ensuring that the MSC Performance Management Program complies with law, regulation, OPM, DOD and DON policy.
- b. The Maritime Forces and Manpower Management Directorate (N1), will:
  - (1) Provide basic policies and procedures consistent with references (b), (c) and (d) for the MSC Performance Management Program.
  - (2) Provide guidance and assistance for implementing, managing and administering the program as may be required.
  - (3) Provide personnel liaison services for MSC Headquarters organizations serviced by the Human Resources Office-Washington (HRO-W).
- c. COMSC Comptroller will provide budget authorizations and allocations for awards, and update these, as necessary. In accordance with reference (f), the minimum funding level for awards is 1.5 percent of aggregate base salaries of covered employees, calculated based on the number of covered employees as of 1 October.

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d. Program Managers, Directors, Functional Directorates, Special Assistants, Area Commanders and comparable organizational heads will:

(1) Implement, manage and administer the performance management program, including performance recognition budget authorizations and allocations, for their organizations consistent with the policies, procedures and requirements of this instruction.

(2) Establish written, internal administrative procedures for managing and administering the performance management program and awards within their organizations.

e. Reviewing Officials/Second Level Supervisors will:

(1) Review and approve "Unacceptable" ratings of record.

(2) Consult with the appropriate personnel advisor of the servicing civilian personnel/human resources office prior to issuing an "Unacceptable" rating of record.

(3) Discuss with the Rating Official and the employee any differences of opinion about an "Unacceptable" rating of record and adjusting rating, if necessary.

f. Rating Officials/First Level Supervisors will:

(1) Develop and communicate performance plans consistent with work assignments and responsibilities and provide clarification to employees about performance expectations.

(2) Encourage employee participation and ensure that covered employees are involved in the development of performance plans.

(3) Provide employees with a copy of their performance plans within 30 days of the beginning of the appraisal cycle or within 30 days of employees entry into covered positions through personnel actions such as promotion, reassignment and/or transfer, for example.

(4) Conduct one or more documented progress reviews during the appraisal period. Progress reviews should be informative and developmental in nature with discussion between the employee and first level supervisor (rating official) as well as discussions between first and second level supervisor (reviewing official). A progress review is required midway through the performance cycle.

(5) Prepare and issue a rating of record, which will include a rating for each critical element and the assignment of a summary level rating, to each covered employee.

(6) Provide assistance to employees in improving their performance.

(7) Recommend awards.

g. Employees will:

(1) Participate in the development of their performance plan.

(2) Manage their performance to achieve results and communicate to their rating officials accomplishments and/or factors that may be affecting their performance.

(3) Participate in progress reviews.

(4) Provide input on their performance accomplishments at the end of the appraisal cycle and participate in the final appraisal discussion.

(5) Take action to improve aspects of performance identified as needing improvement.

#### 9. MSC's Performance Appraisal Requirements

a. Appraisal Period. The annual performance appraisal period throughout MSC is 1 May through 30 April. To be eligible for a summary rating level and rating of record, an employee must have served for a minimum appraisal period of 90 calendar days under an approved performance plan in the same position and under the same first level supervisor (rating official). When the minimum 90-day period cannot be met, the employee's rating period will be extended beyond 30 April to ensure the minimum rating period.

#### b. Performance Plans

(1) At the beginning of the rating period, the first level supervisor (rating official) will meet with each employee to discuss the three common critical elements and standards that are applicable to all employees. The common critical elements are on the MSC 12430/18, enclosure (2). They will also address and establish other critical elements and standards, including at least one critical element and standard addressing individual performance that is in addition to the three common critical elements/standards that the employee is expected to accomplish during the rating period.

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(2) Specific provisions of law, regulation, and DOD policy, require that certain matters (safety, security, etc.) be considered in the performance evaluations of some employees. Except as provided in enclosure (3), this does not require the establishment of specific performance elements and standards addressing the individual's performance. Rating officials only need to consider these requirements in the performance evaluation and rating and/or provide narrative evaluations of progress in accomplishing these requirements (i.e., include in Narrative Comments on Final Appraisal/Rating of Record, MSC 12430/18).

(3) Elements should be expressed in terms of objectives, goals, or results to be achieved. Employees should be encouraged to participate in the development of their performance elements and standards. At a minimum, performance standards for each critical element will be established at the "Acceptable" level. Each employee must have an approved, written performance plan based on work assignments and responsibilities. At the time performance standards are set, the rating official should certify on the performance appraisal the currency and accuracy of the employee's position description, (Item 8 of MSC 12430/18). If the position description needs updating, the rating official must initiate such action.

(4) The rating official and employee will sign and date the performance plan. The employee's signature indicates that the performance plan has been discussed with the employee. It does not certify that the employee concurs with the plan. If the employee refuses to sign the performance plan, the rating official will note on the form that the plan has been discussed with the employee. The original performance plan will be retained by the rating official for use in monitoring performance throughout the appraisal period. The rating official is responsible for providing each employee with his/her approved, written performance plan within 30 days after the beginning of each appraisal period.

c. Monitoring Performance. During the appraisal period, the first level supervisor will continuously monitor employees' performance and hold progress reviews to discuss significant aspects of performance with employees, make necessary adjustments to elements and performance standards, and provide advice and assistance as necessary to keep employees on target with job requirements.

(1) Progress Reviews. At a minimum, one progress review will be conducted midway through each employee's appraisal period. The assignment of a summary rating level is not required during the progress review; however, the first level supervisor and employee must sign and date the performance appraisal form to indicate that the review was conducted.

(2) Interim Appraisals. Interim appraisals should be conducted throughout the annual performance appraisal period, as necessary. Interim appraisals are considered in determining the rating of record.

(3) Training Appraisal. Training appraisals conducted under the provisions of reference (e) 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 in the situations outlined below.

(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 the plan is changed by the new supervisor.

Typically, when a close-out rating is accomplished, it is transmitted to the new rating official (a copy is provided to the employee) who must consider it when a rating of record is assigned at the end of the appraisal period. A close-out rating is not a rating of record, but may become the rating of record if there is insufficient time (90 days) to establish a new performance plan and rate the covered employee in his/her assigned position before the end of the appraisal period and the rating official takes into consideration any other close-out, interim ratings conducted during the appraisal period.

d. Ratings of Record

(1) Normally within 30 days following the end of the appraisal period the first level supervisor will consider the employee's performance during the rating period, including any training appraisals and/or close-out ratings received, and assign a rating of "Acceptable" or "Unacceptable" for each critical element and an overall Summary Level Rating of "Acceptable" or "Unacceptable" (MSC 12430/18, Part I, Item 7). To receive a Summary Level Rating of "Acceptable," the employee must receive a rating of

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“Acceptable” on all critical elements. In the event an employee does not have an opportunity to perform a critical element, no rating should be assign for that element, and the words “Not Rated” should be written on appraisal form. These situations will be rare, as adjustments to the performance element and standards are to be made at the mid-cycle progress review.

(2) For employees assigned a Summary Level Rating of “Acceptable,” the rating official is encouraged to include narrative comments on the appraisal form, MSC 12430/18. The rating official will complete the appraisal form (and obtain any higher level review/approval that may be required). Second Level Supervisor (Reviewing Official) review of “Acceptable” ratings of record is optional, unless otherwise required in the procedures established by the responsible Program Manager, Director, Special Assistant, Area Commander or comparable organizational head.

(3) Following completion of the rating of record (and any required approvals/reviews), the rating official will discuss the appraisal, rating and any developmental needs with the employee. Also, at this time, the rating official will obtain the employee’s signature and date on the appraisal to indicate the rating has been discussed. If the employee declines to sign the appraisal, the rating official will so note on the form. The rating official will then provide a copy of the appraisal/rating of record to the employee and ensure the original is transmitted (in accordance with established administrative procedures) to the servicing civilian personnel/human resources office for appropriate recording/filing action. Normally, employees should receive their performance appraisals within 30 days after the end of the appraisal period.

(4) When a rating of record cannot be prepared at the end of the rating period because the employee has not completed the 90-day minimum period of performance the appraisal period will be extended to ensure the minimum period. A rating of record should be prepared as soon as practicable once the 90-day minimum period has been completed.

(5) 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 (5 CFR 430.207(f)).

(6) An “Unacceptable” summary rating level is assigned if, and only if, performance on one or more critical elements is appraised as “Unacceptable.” Certain other requirements (see paragraph 10) must also be met before an Unacceptable rating of record is issued including, but not limited to, review and approval by the reviewing official (second level supervisor) which is mandatory for an “Unacceptable” summary rating level and the issuance of a notice of unacceptable performance.

10. “Unacceptable” Performance

a. If at any time during the appraisal period the rating official determines the employee’s performance is “Unacceptable” in one or more critical elements, the rating official must contact the personnel advisor in the servicing civilian personnel/human resources office for advice, guidance and assistance in proceeding and issuance of the notice of unacceptable performance. The employee is to be issued a written notice of unacceptable performance which must include:

(1) The critical element(s) determined to be unacceptable.

(2) The performance requirement(s) and “Acceptable” standard that must be attained to demonstrate acceptable performance.

(3) A reasonable opportunity to demonstrate acceptable performance.

(4) Assistance in improving performance. Such assistance may include, but is not limited to, formal training, on-the-job training, counseling, close supervision or other appropriate measures.

(5) Notice to the employee that unless performance in the critical element(s) improves to and is sustained at the acceptable level, he/she will be reduced in grade or removed.

b. A rating of record of “Unacceptable” may not be assigned until the above requirement has been met. If, at the conclusion of the “opportunity” period, the employee’s performance continues to be “Unacceptable,” the rating official, with advice and assistance from the personnel advisor, must initiate reassignment, reduction in grade, or removal action.

11. Transfer of Ratings. When an employee’s Official Personnel Folder (OPF) is sent to another servicing office personnel office/human resources office or the National Personnel Records Center, all ratings of record completed in the previous 4-year period, as well as the performance plan on which the most recent rating was based, are to be included in the OPF. When deriving the next rating of record, transferred ratings covering an employee’s performance within the current appraisal period should be given consideration.

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12. Performance Recognition. Although there are provisions for performance-based recognition in reference (d), the former “performance award” directly linked to the end of the annual appraisal cycle has been eliminated. Instead, and consistent with references (d) and (f), performance-based awards to encourage and recognize high-performers may be granted at the end of the cycle, but supervisors and managers are encouraged to recognize high-performers throughout the appraisal cycle using Special Act, On-the-Spot and Time-Off awards, which are included in reference (g).

a. Award Guidelines. Performance-based cash awards may be determined using a percentage of basic pay, but that rate of pay cannot include any locality-based comparability or interim geographic adjustment. Awards granted as a percentage of basic pay may not exceed 10 percent of the annual rate of base pay. Awards recommended that exceed 10 percent, must be reviewed and approved in accordance with the provisions of reference (g).

b. Awards. Monetary awards may be granted to employees who attain high levels of performance for individual, team, or organizational achievements or contributions. Performance may be recognized based on an “Acceptable” rating of record issued at the end of the performance period; however, managers and supervisors are encouraged to recognize high-performers at any time during the rating cycle using Special Act, On-the-Spot and Time-Off awards, see reference (g).

c. Quality Step Increases (QSI). The purpose of Quality Step Increases is to provide appropriate incentives and recognition for excellence in performance by granting faster than normal step increases; therefore, careful consideration should be given before recommending a QSI. An employee is eligible for only one quality step increase within any 52-week period. To be eligible for a QSI, General Schedule (GS) employees must meet the following criteria, required by 5 CFR 531.504(b)(2):

(1) Received a rating of record of “Acceptable;”

(2) Demonstrated sustained performance of high quality significantly above that expected at the “Acceptable” level (i.e., exceeded the “Acceptable” criteria depicting unusually good or excellent quality or high quantity of work provided ahead of schedule and with less than normal supervision); and

(3) Made a significant contribution to the organization’s mission; and in addition, there must be an expectation that the high quality performance will continue in the future.

A properly completed SF-52, Request for Personnel Action, is to accompany each award and/or QSI.

13. Relationship to Other Personnel Actions. Other personnel actions that are affected by performance are summarized in enclosure (1).

14. 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 follows; guidance may also be obtained from your personnel advisor or your servicing civilian personnel/human resources office.

a. The substance or content of elements or standards are neither grievable nor appealable. Awards are not grievable under administrative grievance procedures.

b. Failure to inform employees of critical elements and standards within the required time frame is grievable. Ratings on individual elements and summary level ratings are grievable.

c. Performance-based demotions and removals are appealable to the MSPB, if the employee is otherwise eligible to appeal. Employees in bargaining units may file a grievance, in accordance with the procedures and time limits of the negotiated grievance procedures, if applicable, or appeal to the MSPB, but not both.

15. Action. All personnel will ensure compliance with instructions and fully support its implementation within their respective directorates.

16. Privacy Act. Employee Performance File System (OPM/GOVT-2) provides for the maintenance of civilian employee appraisals and supporting documents in appropriate supervisor/manager's office. In accordance with the Privacy Act, supervisors and managers shall properly safeguard appraisals and related documented in a secured space with access limited to those personnel whose official duties require access.

17. Forms. An electronic version (template) of MSC 12430/18 is available on the MSC Headquarters Local Area Network (LAN). To access, from the Word for Windows menu, click on "File," "New" and 12430-18. Other addressees may obtain an electronic version by forwarding a request to [cheryl.miller@smtpgw.msc.navy.mil](mailto:cheryl.miller@smtpgw.msc.navy.mil) or [nancy.barr@smtpgw.msc.navy.mil](mailto:nancy.barr@smtpgw.msc.navy.mil).

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Distribution:

COMSCINST 5000.19

List I (Case A, B, C)

- SNDL 41B (MSC Area Commands)
- 41C (MSC NFAF East/West)
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- 41E (MSC APMC)
- 41J (OICMILDEPTs)
- 41L (COMPSRONs)
- 41M (MSC TAGOS Project Office and Detachment)

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## PERFORMANCE AND RELATED PERSONNEL ACTIONS

Personnel decisions are made on the basis of merit, with appropriate consideration of employee performance. Judgments about performance must be fair and equitable and cannot be based on non-merit factors such as race, color, national origin, religion, sex, age, mental or physical disability, or other non-merit reasons. The use of performance appraisals in making various personnel decisions follows:

a. **Within-Grade Increase (WGI)**. Federal Wage System (FWS) employees receive within-grade increases, when eligible by time, if their performance is satisfactory. Satisfactory performance equates to an “Acceptable” rating of record. Covered GS employees receive within-grade increases, when eligible by time, if their performance is at an acceptable level of competence (ALOC). Acceptable level of competence equates to an “Acceptable” rating of record. When a WGI (FWS and GS) decision is not consistent with the employee’s most recent rating of record, a more current rating of record must be prepared. The rating of record used as the basis for an acceptable level of competence determination for a WGI must have been assigned no earlier than the most recently completed appraisal period. An employee who has a current rating of record of “Unacceptable” will not be granted a WGI until performance improves and an “Acceptable” rating of record is subsequently issued. Supervisors must contact the personnel advisor of the appropriate servicing civilian personnel/human resources office for advice, assistance, and guidance prior to denial of a WGI.

b. **Promotion**. The rating of record should be used in merit promotion evaluations and by selecting officials to the extent it is relevant to the position to be filled. Performance appraisals are used in determining eligibility for career-ladder promotions. To be promoted, an employee must have a current rating of record of “Acceptable” in addition to other career ladder considerations.

c. **Probationary Period**. Evaluation of the performance of an employee who is serving an initial probationary period, as well as other considerations, should serve as a basis for the decision to retain or remove the employee from the Federal service. For those serving a supervisory/managerial probationary period, evaluation of their performance of supervisory or managerial elements of the position serves as the basis for the decision to retain or remove the employee from the supervisory or managerial position.

d. **Removal, Demotion and Reassignment**. An employee whose performance is “Unacceptable” must be removed, reassigned, or reduced in grade, but only after certain other requirements are met and procedures followed including, providing the employee an opportunity to demonstrate acceptable performance.

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e. **Reduction-in-Force (RIF)**. Performance ratings may affect an employee's retention standing in a reduction-in-force. The rating of record for RIF purposes is the annual rating conducted at the end of the appraisal period and special ratings conducted to support within-grade determines. No rating may be assigned for the purpose of affecting an employee's RIF retention standing. The three most recent ratings of record received in the last 4 years are factors in determining retention standing for RIF purposes.

f. **Training and Development**. The performance plan, progress reviews and summary rating provide a basis and an opportunity to determine whether an employee's performance could be improved/enhanced by training or other developmental activities. Therefore, the rating official may use the rating of record as a basis for discussing the employee's developmental needs. Performance appraisals conducted as part of the employee's individual training plan or other specialized training plan should be considered in the annual performance rating process. Such appraisals are interim appraisals and do not serve as the rating of record.

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**MSC PERFORMANCE PLAN AND APPRAISAL FORM**

1. NAME: (Last, First, Middle Initial)	2. SOCIAL SECURITY NUMBER:
3. POSITION TITLE/SERIES/GRADE:	4. ORGANIZATION & CODE:
5. RATING PERIOD: From:	To:

**6. RECORD OF REVIEWS AND FINAL APPRAISAL**

	Performance Plan Established, Issued and Discussed with Employee		Midyear Progress Review		Additional Review		Final Appraisal Rating of Record	
	Signature	Date	Signature	Date	Signature	Date	Signature	Date
RATER 1st Level Supvr								
REVIEWER 2nd Level Supvr (Optional, Unless Rated "U")								
EMPLOYEE								

**7. RATING OF RECORD**

ACCEPTABLE: All critical elements rated at least acceptable       UNACCEPTABLE: At least one critical element rated unacceptable

8. EMPLOYEE'S POSITION DESCRIPTION IS CURRENT AND ACCURATE       YES       NO

**NARRATIVE COMMENTS ON FINAL APPRAISAL/RATING OF RECORD**

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**PART II  
THREE MANDATORY CRITICAL ELEMENTS AND STANDARDS APPLICABLE TO ALL COVERED POSITIONS**

	ACCEPTABLE	UNACCEPTABLE
<p><b>1. ORGANIZATIONAL SUPPORT AND COMMUNICATION.</b> Understands and supports organizational goals, policies, and priorities. Complies with administrative policies, regulations and procedures in performing job operations; prevents fraud, waste, and abuse; adheres to procedures on safety, equipment and similar matters. Works effectively with other internal and external organizations, as needed. Communicates orally and/or in writing when needed to coordinate work and keep supervisor and co-workers informed of work-related issues, their developments, and their status.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p><b>2. EXECUTION OF DUTIES.</b> Accepts work assignments, properly follows instructions, uses technical knowledge, applies skills and plans, organizes and works effectively and efficiently to produce products and/or services of good quality in a timely and responsive manner. Anticipates and analyzes problems and determines solutions that include improvement of work processes. Promotes teamwork: works well with others and takes responsibility as either a team leader or team member as required.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p><b>3. CUSTOMER SERVICE.</b> Provides courteous and responsive customer support. Maintains rapport with customers, developing work relationships as required. Projects a positive, supportive and professional image to customers. Anticipates customer needs and responds with the necessary guidance and/or timely, quality products, within legal authorities and regulatory parameters.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<b>PART III</b>		
<b>INDIVIDUAL CRITICAL ELEMENT(S) AND STANDARD(S) (At least ONE is mandatory)</b>		
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

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**PART IV  
OTHER CRITICAL ELEMENTS AND STANDARDS (CHECK IF APPLICABLE)**

	ACCEPTABLE	UNACCEPTABLE
1. <input type="checkbox"/> <b>SUPERVISION AND HUMAN RESOURCES MANAGEMENT (Mandatory for Supervisors).</b> Delegates work in a fair and effective manner and commensurate with qualifications and grade levels of employees; monitors work in progress. Motivates employees. Acts as a liaison between staff and higher management. Gives timely technical advice to subordinates. Ensures staff is properly trained. Sets individual employee work objectives that are realistic and responsive to Command and organization's goals, priorities, and requirements, appraises performance and manages performance through appropriate rewards and corrective action. Updates position descriptions. Initiates timely personnel actions. Supports and implements management decisions.	<input type="checkbox"/>	<input type="checkbox"/>
2. <input type="checkbox"/> <b>MANAGERIAL RESPONSIBILITIES (Mandatory for Managers, e.g., PM, SA, FD Heads, etc.).</b> Develops plans and objectives that are responsive to command/organizational goals and requirements. Develops procedures and guidelines to review program quality and responsiveness. Monitors and evaluates program to ensure organizational requirements and objectives are being met.	<input type="checkbox"/>	<input type="checkbox"/>
3. <input type="checkbox"/> <b>EQUAL EMPLOYMENT OPPORTUNITY (Mandatory for Supervisors and Managers)</b> Applies principles of equal employment opportunity. Participates in the achievement of EEO goals and objectives. Participates and encourages staff participation in EEO special emphasis events (workload permitting). Monitors the work environment to ensure that it is free of discrimination. Promptly investigates allegations of discrimination and takes appropriate corrective action if allegations are founded. Selects individuals for recruitment, promotion, training, and work assignments without regard to non-merit factors.	<input type="checkbox"/>	<input type="checkbox"/>
4. <input type="checkbox"/> <b>INTERNAL MANAGEMENT CONTROL.</b> Implements a comprehensive system of management controls that provide reasonable assurance that programs are operating as intended. Continuously monitors and evaluates the adequacy of this system of management controls.	<input type="checkbox"/>	<input type="checkbox"/>
5.	<input type="checkbox"/>	<input type="checkbox"/>
6.	<input type="checkbox"/>	<input type="checkbox"/>
7.	<input type="checkbox"/>	<input type="checkbox"/>

## ADDITIONAL PERFORMANCE REQUIREMENTS

1. As provided in paragraph 9 of this instruction, specific provisions of law, regulation and DOD policy require that certain matters be considered in the performance evaluations of some or all 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 narrative comments, Section IV of MSC 12430/18). Typically, when the responsibilities constitute a major regular and recurring requirement of an employee's position, a corresponding critical element and performance standard are to be included in the employee's performance plan.

### 2. DOD Performance Evaluation Requirements

a. **Audit Follow-Up.** Performance evaluations of appropriate managers must reflect the degree of effectiveness in addressing audit findings, 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 DODD 7650.3 of 5 Sep 89.

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 DOD 5200.2-R of Jan 87.

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 DODD 5101.39 of 14 Apr 87. A **critical element** and performance standard has been included on MSC 12430/18 for use, if applicable. Indicate the incorporation of this element and standard by placing an "X" in the box to the left of the critical element, Part IV, MSC 12430/18.

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 DODD 1440.1 of 21 May 87. A critical element and standard has been included on MSC 12430/18 for use, if applicable. Indicate the incorporation of this element and standard by placing an "X" in the box to the left of the element.

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

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 DODD 5000.52 of 25 Oct 91.

g. **Regulatory Reinvention.** Performance measurements of persons who are front-line 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 establishment by a Presidential Memorandum of 4 Mar 95.

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 EO 12958 of 17 Apr 95.

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 DODI 6055.1 of 26 Oct 84.

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, USC.