



DEPARTMENT OF THE NAVY
COMMANDER NAVY RESERVE FORCE
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COMNAVRESFORINST 12430.5A
N00CP
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COMNAVRESFOR INSTRUCTION 12430.5A

From: Commander, Navy Reserve Force

Subj: DEFENSE PERFORMANCE MANAGEMENT AND APPRAISAL PROGRAM

Ref: (a) 5 U.S.C. 9902
(b) 5 CFR 430.205
(c) DoD Directive 1400.25 V431
(d) DON Civilian Human Resources Manual, Subchapters 410, 430, 432.1, and 451
(e) DON Interim Guidance on DPMAP
(f) COMNAVRESFORINST 12410.7
(g) COMNAVRESFORINST 12511.1A

1. Purpose. To establish Commander, Navy Reserve Force (COMNAVRESFOR) policy and guidance on the roles and responsibilities for implementing the Defense Performance Management and Appraisal Program (DPMAP). References (a) through (e), prescribe procedures, delegate authority, establish and assign responsibility for performance management within the Department of Defense (DoD).
2. Cancellation. COMNAVRESFORINST 12430.5
3. Background. In April 2016, the DoD began phased implementation of DPMAP, a program designed to provide a comprehensive performance management system for all of DoD as directed by congress following the disestablishment of the National Security Personnel System. DPMAP aims to create a fair, credible, and transparent performance appraisal process throughout the Department, and calls for institutionalizing a culture of high performance through greater employee and supervisor communication and accountability, increased employee engagement, and added transparency in these processes.
4. Coverage. DPMAP applies to all COMNAVRESFOR positions and employees covered by the general schedule (GS) and the federal wage system (FWS). The provisions of this instruction do not supersede requirements of the collective bargaining agreements
5. Collective Bargaining Agreements (CBA). Provisions of an existing CBA, memorandum of understanding (MOU), and or memorandum of agreement (MOA) applicable to bargaining unit employees supersede the policies and procedures outlined herein unless to do so would violate any applicable government-wide law, rule, or regulation.
6. DPMAP. DPMAP focuses on improving overall performance management and encouraging on-going, continuous supervisor and employee involvement. It is important that both employees and supervisors take a proactive, collaborative role in the performance planning process and communicate regularly throughout the DPMAP performance cycle. DPMAP fosters a cultural

and attitudinal change in performance management. The program is not about the “365th day”, it is about clear guidance and continuous, on-going feedback.

7. Performance Plan/Progress Review/Rating of Record Requirements Responsibilities

a. Rating Official (RO). The RO is responsible for informing the employee of the duties of his or her position, establishing performance standards, providing feedback, appraising performance and assigning a rating of record. Normally, this is the employee’s immediate supervisor.

b. Higher Level Reviewer (HLR). A senior level management official in the chain of command, normally the employee’s second level supervisor. In cases where the RO is the highest management official within a command or specific geographic location of an organization, the RO may also serve as the HLR.

c. Trusted Agents. Individuals designated as trusted agents may act on behalf of the RO or HLR for purposes of documenting performance management events and decisions. Assignment of a trusted agent does not relieve the RO or HLR from their performance management responsibilities. The RO or HLR must officially designate the trusted agent in writing.

d. Rating Levels. DPMAP is a 3 level system. Employees covered by this system will receive an annual rating of record of either “level 5 = Outstanding”, “level 3 = Fully Successful”, or “level 1 = Unacceptable.” The annual rating of record will be based on the employees’ accomplishments toward meeting the performance elements and standards outlined in the performance plan.

e. Appraisal Cycle. The rating cycle for DPMAP begins 1 April and ends 31 March of the following year.

f. Mandatory Performance Discussions. There are three mandatory formally documented discussions required under DPMAP. The initial performance plan meeting, one progress review and the rating of record discussion. Discussions should be face-to-face if practical, but may occur by FlankSpeed, telephone, or other available means. Additional performance discussions are highly encouraged throughout the appraisal cycle with a focus on enhanced employee engagement.

g. Finalized Rating. A rating of record is final when it is signed by the RO and by the HLR.

h. Effective Date of Appraisal. The rating of record will be effective 1 June, following the end of the performance cycle on 31 March.

i. DoD Core Values. In order to develop common awareness of and reinforce a high-performance culture, DoD core values will be discussed with employees at the beginning of the appraisal cycle and will be annotated on all performance plans. The DoD core values, which form the foundation of the DoD performance culture, are: leadership, professionalism, and

technical knowledge through dedication to duty, integrity, ethics, honor, courage, and loyalty. In addition to the DoD core values that will be annotated on performance plans and discussed with employees, supervisors may include organizational values and mission statements or goals which apply to the employee's performance elements.

j. Mission Statements. The following statements will be included on all employee performance plans, as applicable:

(1) COMNAVRESFOR. To preserve strategic depth and deliver relevant operational capability to rapidly increase the agility and lethality of the Navy's total force.

(2) Commander, Naval Air Force Reserve (COMNAVAIRFORES). To maintain the COMNAVAIRFORES in a state of readiness to meet the fleet response plan, fight overseas contingency operations and support the Naval Aviation Enterprise throughout the entire spectrum of peace to war.

k. Performance Elements

(1) Performance elements describe what work is to be performed by the employee. All performance elements must be clearly aligned with organization goals. For ratings of record, each ratable element will be assigned a performance element rating.

(2) Employees should have at least three critical elements that must have associated standards written at the "fully successful" level. It is recommended that employees have an odd number of performance elements.

(3) Per reference (c), supervisors must have at least as many supervisory elements as non-supervisory elements. Within COMNAVRESFOR and subordinate organizations, the two supervisory elements are mandatory. In addition, it is recommended that supervisors have at least one non-supervisory element. If more than two non-supervisory elements are added, additional supervisory elements must also be added to ensure at least the same amount of supervisory as non-supervisory elements.

(4) Supervision. Performs all supervisory duties to include: Leads an aligned, engaged, and high performing team. Creates a positive, safe work environment that allows employee to excel. Attracts and retains a high-caliber workforce and acts in a responsible and timely manner on all steps in the recruitment and hiring process. Provides opportunities for orientation and tools for enabling employees to successfully perform during the probationary period and beyond. Identifies current and future position requirements to ensure recruitment is appropriately focused and is timely. Completes all performance management tasks in a timely manner including clearly communicating performance expectations throughout the appraisal period, holding employees accountable, making meaningful distinctions in performance and rewarding excellent performance, promoting employee development and training, and promptly addressing performance and conduct issues.

(5) **Leadership.** Provides leadership in defining program organizational requirements and melding applicable programs and operations within the overall command organization. Effectively develops and champions innovative ideas to improve the organization and create an environment that fosters innovation. Identifies and removes unnecessary bureaucratic barriers. Ensures compliance with applicable laws, regulations and policies including merit system principles and prohibited personnel practices. Ensures that equal employment opportunity principles are adhered to throughout the organization and promptly addresses allegations of discrimination, harassment, and retaliation. Supports the Whistleblower Protection Program by responding constructively to employees who make protected disclosures under 5 U.S.C. 2302(b)(8); taking responsible actions to resolve disclosures; and fostering an environment in which employees feel comfortable making such disclosures to supervisors or other appropriate authorities. Upholds high standards of integrity and ethical behavior. Acts as a good steward of public funds. Maintains a safe work environment and promptly address allegations of noncompliance.

1. **Protection of Classified Information.** Any employee or supervisor who handles classified information will include the following standard element as part of their performance plan.

(1) **Protection of Classified Information.** Applies internal control measures to protect organizational integrity and prevent unauthorized use or misappropriation of sensitive or classified information. This includes proper receipt, distribution, storage, safeguarding, and destruction of classified material as required by SECNAV M-5510.36A, Department of the Navy (DON) Information Security Program.

m. **Performance Standards.** Performance standards describe how the requirements and expectations provided in the performance elements are to be evaluated. The standard must be written at the “fully successful” level for each performance element. Standards must be in writing and include specific, measurable, achievable, relevant, and timely (SMART) criteria. SMART standards objectively express how well an employee must perform his or her job to achieve performance at the “Fully Successful” level by provided standards that are:

(1) **Specific.** Goals are sufficiently detailed in describing what needs to be accomplished.

(2) **Measurable.** The accomplishment of the performance element is clear and can be quantified or substantiated using object criteria.

(3) **Achievable.** Goals are realistic, yet challenging and can be accomplished with the resources, personnel and time available.

(4) **Relevant.** The critical element aligns with or links to organizational mission and success.

(5) **Timely.** Goals will be completed within a realistic timeframe.

8. Developing and Communicating Performance Expectations. Written plans must be developed and approved by the RO and HLR, clearly communicated to employees and acknowledged by employees.

a. Within 30 days of the beginning of each appraisal or when a new employee reports onboard, supervisors and employees should discuss performance goals for the next performance cycle. Supervisors must allow employees an opportunity to provide input into their performance elements and standards. While employees have the opportunity to provide input into their performance plans, supervisors must develop and approve the performance elements and standards.

b. The date of the meeting or communication will be documented in the MyPerformance appraisal tool and acknowledged by the employee.

c. Newly assigned supervisors should review the performance plans and initiate a performance discussion with the employees within 30 days of their onboard date.

d. Per reference (f), an individual development plan (IDP), must be developed, and approved by the employee, and supervisor when performance plans are established.

e. Per reference (g), the RO must certify to the accuracy of the employee's position description when the performance plan is established and will be noted on the performance plan form by placing the following statement, "As the Rating Official, I hereby certify the position description is accurate.", within Part C of the Performance Appraisal Form – DoD Core Values and Organizational Goals directly after the Mission Statement.

f. To certify the Position Description (PD) is accurate, the RO must:

(1) Verify that the PD number matches the PD number on the employee's latest Notification of Personnel Action, SF50.

(2) Verify that the major duties and responsibilities match the performance elements and standards.

(3) Verify that any conditions of employment within the PD are met throughout the performance cycle and annotated during the progress review and rating of record.

g. The RO must contact COMNAVRESFOR Civilian Human Resources Position Classification Team (N00CP) for assistance whenever the PD is determined not to be accurate.

Please Note: This is the mission statement tab of the DPMAP My Performance Tool.

9. Modifying the Plan During the Appraisal Cycle. A performance plan is a flexible, living document, and should be reviewed, and discussed throughout the appraisal cycle. Plans may be modified as organizational goals, priorities, or employee responsibilities change. All approved

modifications must be discussed, communicated, and acknowledged by the employee in the MyPerformance appraisal tool.

Please Note: Required supervisory elements may not be changed during the appraisal cycle unless the employee no longer supervises civilians. If there are changes to an element or standard within 90 calendar days of the end of the appraisal cycle, the supervisor may:

- a. Revise the element or standard at the beginning of the next appraisal cycle.
- b. Update the plan. If the employee does not have an opportunity to perform the new element(s) for at least 90 calendar days, the element would be not-rated.
- c. Extend the appraisal cycle by the amount of time necessary to allow 90 calendar days of observed performance under the revised element or standard. Extending the appraisal cycle will affect the start date of the employee's subsequent appraisal cycle; however the subsequent appraisal cycle should still end 31 March of the following calendar year.

10. Monitoring Performance. Monitoring performance consists of ongoing assessment of performance compared to the stated expectations and ongoing feedback to employees on their progress toward reaching their goals at the "fully successful" or "outstanding" levels.

- a. Continuous Monitoring of Performance. By monitoring performance throughout the appraisal cycle, supervisors can provide timely feedback on meeting the "fully successful" level or achieving the "outstanding" level. Supervisors must identify unacceptable performance during the appraisal cycle in order to provide assistance to improve performance, rather than waiting until the end of the cycle when a rating of record is assigned. Additionally, supervisors should identify any need for training or other developmental opportunities for the employee in order to enhance their knowledge, skills or abilities related to their job performance in his or her current position.

- b. Performance Discussions. The supervisor and employee will discuss the employee's work performance and its link to organizational effectiveness. The discussions may consist of verbal, face to face, meetings or impromptu recognitions. Supervisors or employees may initiate performance discussion at any time during the appraisal cycle.

11. Progress Reviews. Progress reviews may only be initiated by the supervisor. Progress reviews must be documented in the MyPerformance appraisal tool. Employees must have at least one documented progress review, providing additional progress reviews throughout the appraisal cycle is encouraged. Employees and the RO must provide a progress review at the half way point of the performance cycle. Employees are not given a performance narrative or performance rating on progress reviews. The supervisor and employee should engage in meaningful communications throughout the appraisal cycle to review and convey. The HLR is not required to acknowledge the progress review.

- a. Organizational goals and priorities.

- b. Performance elements and standards, including ensuring the performance plan accurately reflects the work being evaluated.
- c. Supervisor expectations.
- d. Employee's accomplishments and contributions.
- e. Employee's level of performance, including any areas that need improvement.
- f. Barriers to success.
- g. Employee's developmental needs and career goals.

12. Evaluating Performance. The supervisor will evaluate employee performance by assessing performance against the elements and standards in the employee's approved performance plan, and assigning a rating of record based on work performed during the appraisal cycle. A written rating of record must be provided at the end of the appraisal cycle for each employee who has been under an approved performance plan for 90 calendar days during the cycle.

- a. Performance appraisals will be documented in MyPerformance appraisal tool.
- b. Employee can provide written input about their performance accomplishments for supervisors to consider in evaluating each performance element and overall performance accomplishments.
- c. It is highly recommended, although not mandatory for employees to provide input at the end of the appraisal cycle. However, the absence of employee input does not relieve the supervisor of the responsibility for writing a narrative statement, assessing the employee's performance standards, and contributions during the appraisal cycle.

13. Performance Narrative. Supervisors will write a performance narrative that succinctly addresses the employee's performance measured against the performance standards for the appraisal cycle.

- a. Performance narratives justify how an employee's ratings are determined and provide support for recognition and rewards (or any administrative or adverse action, if necessary).
- b. Performance narratives are required for each element rated "outstanding," "fully successful," and "unacceptable." Performance narratives provide a means of recognizing all levels of accomplishments and contributions to mission success.

14. Performance Rating Levels. The performance rating assigned should reflect the level of the employee's performance as compared to the standards established. The samples below do not apply to all work situations and must be tailored to each particular situation.

a. Level 5 – Outstanding. The narrative must specifically address how performance significantly exceeds the fully successful standard.

- (1) Produces exceptional results or exceeds expectations well beyond specified outcomes.
- (2) Sets targeted metrics high and far exceeds them (quality, budget, quantity).
- (3) Handles roadblocks or issues exceptionally well and makes a long term difference in doing so.
- (4) Is widely seen as an expert, valued role model, or mentor for this work.
- (5) Exhibits the highest standards of professionalism.

b. Level 3 – Fully Successful. The narrative must address how the performance meets expected results.

- (1) Effectively produces the specified outcomes, and sometimes exceeds them.
- (2) Consistently achieves targeted metrics.
- (3) Proactively informs supervisor of potential issues or roadblocks and offers suggestions to address or prevent them.
- (4) Achieves goals with appropriate level of supervision.

c. Level 1 – Unacceptable. The narrative must specifically address how performance does not meet the fully successful standard. Examples must be provided.

- (1) Does not meet expectations for quality of work; fails to meet many of the required results for the goal.
- (2) Is unreliable; makes poor decisions; misses targeted metrics (e.g., commitments, deadlines, quality).
- (3) Lacks or fails to use skills required for the job.
- (4) Requires much more supervision than expected for an employee at this level.

d. Not Rated. If an employee does not have an opportunity to perform work associated with a performance element for a minimum of 90 calendar days during the appraisal cycle, no performance element rating will be assigned for that performance element. An unratable performance element cannot be used as a factor in deriving a rating of record.

15. Rating Employee Performance. The supervisor will assign an individual performance element rating of 5, 3, or 1 to each critical element. All performance element ratings are averaged to calculate the rating of record, which reflects the employee's overall job performance during the appraisal cycle based on the rating criteria outlined below.

a. Level 5 - Outstanding

(1) The average score of all critical element performance ratings is 4.3 or greater, with no critical element being rated a '1' (unacceptable), resulting in a rating of record that is a "5."

b. Level 3 – Fully Successful

(1) The average score of all critical element performance ratings is less than 4.3, with no critical element being rated a '1' (unacceptable), resulting in a rating of record that is a "3."

c. Level 1 – Unacceptable

(1) Any critical element rated as '1.'

d. A rating of record of "unacceptable" (level 1) must be reviewed and approved by the HLR. Prior to assigning a rating of unacceptable, an employee must be provided an opportunity to improve, otherwise known as performance improvement plan (PIP), and was unsuccessful in reaching an acceptable level of performance. Supervisors must contact COMNAVRESFOR civilian human resources (CHR), N00CP whenever an employee's performance is unacceptable.

e. If an employee does not have an opportunity to perform work associated with a performance element for 90 calendar days during the appraisal cycle, no performance element rating will be assigned for that performance element. An unratable performance element cannot be used as a factor in deriving a rating of record.

f. Employees may seek reconsideration of issues related to the performance appraisal process through the administrative grievance system or negotiated grievance procedures. Employees may not challenge contents (e.g., performance elements or standards) of an employee's performance plan and decisions to grant or not grant a performance award or quality step increase (QSI) through the administrative grievance system or through a negotiated grievance procedure.

16. Recognizing and Rewarding Performance. Supervisors recognize and reward performance by providing incentives to and recognition of employees for individual and team achievement and for their contributions to the organization's mission. Supervisors can strengthen the performance culture and influence employee engagement by using recognition throughout the appraisal cycle. It is important to recognize performance and achievements as they occur, preferably as close as possible to the act(s) being recognized.

- a. When a supervisor publicly recognizes employee or team efforts, he or she communicates the types of activities and accomplishments the organization values in a meaningful way. Recognition and reward programs are valuable tools to increase employee performance, morale, and commitment to support the organization's mission.
- b. Recognition and rewards are not entitlements. Achievements or contributions should be related to organizational mission and goals and to exceeding expectations.
- c. Rewards should be an integral part of performance management.
- d. The annual award budget is a percentage of civilian pay based on the aggregate salaries of all employees at the end of the previous fiscal year.
- e. The rating official may recommend an employee for a performance based cash award, time-off award or a combination of both. An employee may be recommended to receive a quality step increase (QSI) if all the requirements are met (see paragraph 16). A QSI cannot be combined with a performance based cash award and/or time off award.

17. Linkage of Performance Management to Other Personnel Actions. Employee performance may impact other personnel actions, and DPMAP links the following employee personnel actions to performance appraisals for employee.

- a. Promotion. To be eligible for a promotion under a merit promotion plan pursuant to Section 335.103 of Title 5, CFR, an employee must meet minimum qualification standards and other promotion criteria. Due weight will be given to performance appraisals and incentive awards. To be eligible for a career ladder promotion under a merit promotion plan pursuant to Section 335.104 of Title 5, CFR, an employee must be performing at the "fully successful" level, or higher. However, the fact that employees are rated "fully successful" or higher at the time they are eligible for promotion does not mean promotions are automatic.
- b. Within-Grade Increase (WGI). A WGI or periodic step increase is an increase in an employee's rate of basic pay from one step of the grade of his or her position to the next higher step of that grade pursuant to Sections 531.404 and 532.417 of Title 5, CFR and 5335 of Title 5, U.S.C.

(1) As part of ongoing communication with employees, the supervisor will discuss an upcoming WGI with the employee and may document the date of this conversation in the section designated for progress reviews in the MyPerformance Appraisal Tool.

(2) The decision to grant or deny a WGI is based on the employee's most recent rating of record issued within the WGI waiting period. To receive a WGI, the employee must be performing at the "fully successful" level or higher with a rating of record of "3" or higher. When a WGI decision is not consistent with the employee's most recent rating of record, a more current rating of record must be prepared. When considering denying a WGI, supervisors should

contact the civilian COMNAVRESFOR CHR, N00CP for further information and assistance in following the requirements in Sections 531.409 and 531.411 of Title 5, CFR.

(3) In order to properly determine whether a WGI is warranted, supervisors must know when their employees' WGI are due. Due dates are available in DCPDS MyBiz; COMNAVRESFOR CHR, N00CP may be contacted for assistance. N00CP will send an email 60 days prior to the proposed effective date of the WGI to the Rating Official on record for concurrence.

c. QSI. The purpose of a QSI is to recognize excellence in performance by granting an accelerated step increase. A QSI is a permanent salary increase for general schedule employees only, and careful consideration should be given before granting a QSI. QSIs must be limited to those cases where exceptional performance has extended over a significant period of time and is expected to continue into the future. To be eligible for a QSI, an employee must:

- (1) Currently be paid below step 10 of his or her grade.
- (2) Have a most recent rating of record of level 5 ("outstanding").
- (3) Have demonstrated sustained performance of high quality for a significant period of time.
- (4) Have not received a QSI (or QSI-equivalent under a personnel system other than the general schedule) within the preceding 52 consecutive calendar weeks.
- (5) A QSI cannot be combined with a performance based cash award and/or time off award.

d. Reassignment, Reduction in Grade, or Removal Based on Unacceptable Performance. Consistent with the requirements in Section 432.105 of Title 5, CFR, employees who fail to demonstrate performance at the "fully successful" level following a PIP may be reduced in grade or removed from federal service. The employee may also be subject to reassignment at the commands discretion.

18. Specially-Situated Employees. There are a number of special circumstances that may affect an employee's eligibility for a performance rating.

a. Employees on Detail or Matrixed Employees. When an employee is detailed or matrixed, it remains the responsibility of the supervisor of record to seek input from the detail or matrix supervisor for use in developing the performance plan, conducting progress reviews, and completing the rating of record.

b. Employees Performing Union Representational Responsibilities. When an employee is engaged in union representational responsibilities, the time spent performing union representation does not constitute work of the agency and does not count toward the minimum

period of performance of 90 calendar days under an approved performance plan. If an employee performs agency work to meet the 90-calendar day requirement under an approved performance plan, that employee is eligible to receive a rating of record.

c. Employees Absent for Military Service. Employees who are absent for military service will be rated provided they have performed work under an approved performance plan for a minimum of 90 calendar days. If employees performing military service do not meet the 90 calendar day requirement supervisors will assign their most recent rating of record as the new rating of record for the appraisal cycle.

d. Employees on Leave Without Pay or Extended Paid Leave. If an employee is absent during the appraisal cycle because he or she was on leave without pay or extended paid leave (including disabled veterans seeking medical treatment), the employee is eligible to receive a rating of record if he or she has performed work under an approved performance plan for a minimum of 90 calendar days. However, if an employee does not meet the 90 calendar day requirement, then he or she is not eligible to receive a rating of record.

e. Employees on Long-Term Full-Time Training. Employees attending a program of long-term full-time training greater than 90 calendar days may have a performance plan developed related to the training. The plan could include elements related to the achievement of specific training objectives. In this situation, supervisors may wish to contact the respective training activity for assistance and recommended input to the performance plan.

f. Employees Who Transfer or Supervisors Who Leave During the Appraisal Cycle. The length of time an employee serves under an approved performance plan determines what is required when an employee or supervisor leaves the organization.

(1) If a supervisor leaves the organization, a performance narrative statement is required when an employee has performed under an approved performance plan for 90 calendar days and there are more than 90 calendar days left in the appraisal cycle. This narrative statement will be considered by the incoming supervisor. A closeout rating is not required.

(2) A rating of record is required when an employee has performed under an approved performance plan for 90 calendar days and the employee or supervisor leaves the organization with fewer than 90 calendar days remaining in the appraisal cycle. If circumstances preclude the departing supervisor from carrying out this responsibility, the higher level management official may serve as the rating official.

19. Identifying and Improving Unacceptable Performance. Supervisors who communicate their expectations and provide constructive, timely, and meaningful feedback to their employees on a regular basis about performance may more readily identify and reduce instances of performance deficiencies and prevent issues from becoming serious performance problems.

a. Addressing Performance Issues Early. At any point during the appraisal cycle, when a supervisor detects a decline in performance, early intervention is imperative. Assistance should

be provided to the employees early on, whenever there is a need for improvement or any time there is a decline in performance. The supervisor should take the following actions, as appropriate:

(1) Clearly communicate to the employee that current performance fails to meet the performance standards described in the performance plan; provide clear guidance as to what is needed in order for the employee to improve; and provide specific examples of what and how work has not met expectations, as well as examples of work that would meet expectations.

(2) Offer appropriate assistance.

(3) Provide ideas of where the employee may go to obtain additional assistance or training, if applicable.

(4) Provide closer supervision and feedback. This might include more frequent reporting, special assignments, or on-the-job training.

(5) If performance issues persist, use a more formal approach to help employees improve and seek assistance from COMNAVRESFOR CHR, N00CP.

b. Addressing Unacceptable Performance. If the employee's performance declines to less than "fully successful" in one or more performance elements and efforts to assist the employee to improve is unsuccessful, the supervisor must contact the COMNAVRESFOR CHR, N00CP employee relations advisor to initiate a PIP. Based on specific documentation provided by the supervisor, the employee relations advisor will draft a PIP letter for the supervisor to issue to the employee.

(1) The PIP letter will identify:

(a) Element(s) in which performance is "unacceptable" and a description of the unacceptable performance.

(b) What standards the employee must attain in order to demonstrate "fully successful" performance.

(c) The time allowed for the opportunity to improve. The time allowed must be reasonable and commensurate with the duties and responsibilities of the position, typically 30-90 calendar days.

(d) Statement of the consequences of failure to raise performance to the "fully successful" level during the opportunity period.

(2) If the employee fails to demonstrate performance at the "fully successful" level despite the PIP, the employee may be subject to corrective action up to removal from federal

service, pursuant to Section 432.105 of Title 5, CFR. The employee may also be subject to reassignment at the command's discretion.

20. Probationary and Trial Periods. Employee performance may impact the successful completion of an employee's initial probationary or trial period and the new supervisor's probationary period, which are an extension of the hiring or selection process to determine the employee's qualifications and/or fitness for continued employment.

a. During the probationary or trial period, employee's should receive closer supervision. The supervisor evaluates the employee's work performance and conduct and provides performance feedback, guidance, training, and counseling to assist with any necessary adjustment to the organization. The supervisor or employee may initiate feedback discussions at any time during the probationary or trial period.

b. Unacceptable performance or conduct during the probationary or trial period is serious and can result in removal from federal service prior to the end of the probationary or trial period. Contact the CHR, N00CP as soon as the employee's performance deficiencies or conduct issues arise. N00CP Recruitment staff will be sending emails to the supervisor of record 60 days prior the end of the probationary period to ensure the employee will be retained and a Request for Personnel Action (RPA) is process to change the employee tenure from being a Probationary employee.

21. Probation for New Supervisors and Managers. New supervisors and managers must complete one year supervisory or managerial probationary period upon their first assignment to a permanent supervisory or managerial position in the competitive service.

22. DPMAP Training. DPMAP training is mandatory for all employees covered by DPMAP and for all supervisors, including military/active duty supervisors of civilian employees who are covered by DMPAP. All employees and supervisor should complete the DPMAP training within 30 days of their entrance onto duty or becoming a supervisor of civilians. DPMAP training is available via Joint Knowledge Online (JKO), please contact the COMNAVRESFOR CHR, N00CP for the link to launch and take the lessons online.

23. Performance Award Recommendations. The primary means of recognizing and rewarding performance are performance based awards, to include cash, time off and QSI. A QSI is an earlier than normal WGI, resulting in a permanent salary increase. ROs will provide justification documenting the employee has performed at a truly exceptional level to justify a permanent salary increase. Careful consideration should be given before recommending a QSI, since it has a lasting effect.

a. Employees with a rating of record of "outstanding" and "fully successful" may be recommended for a performance based award. Awards are not mandatory or guaranteed.

- b. Award recommendations will be based on an assessment of the contributions and accomplishments made in each critical element against the performance standards. This assessment will result in an award recommendation score of level 3 or 5.
- c. RO's will consider other recognition received by employees during the rating period when determining award amounts. This includes recent promotions, WGIs and other monetary awards paid during the performance year.
- d. The average score of the award recommendation for each critical element will be the basis for eligibility of the level of recognition received.
- e. Funding level for all awards is based on the aggregate base salaries at the end of the fiscal year. The percentage will be determined when award guidance is provided by DON.
- f. Employees who receive an average score of five may be recommended for a QSI provided the employee:
 - (1) Has demonstrated sustained performance of high quality, significantly above that expected at the "acceptable" level.
 - (2) Is currently below step 10 of his/her grade.
 - (3) Has not received a QSI, or other form of comparable recognition for performance, beyond the norm from other systems in the preceding 52 weeks.
 - (4) Cannot be combined with performance based cash or time off award.
- g. Award amounts must be approved by the Performance Awards Review Board (PARB) prior to employee notification.

24. Grievances and Appeals. Employees may raise issues relating to the performance appraisal process through the administrative grievance system (AGS) for non-bargaining unit employees and through the negotiated grievance procedure (NGP) for bargaining unit employees. The following issues are within the realm of grievance procedures:

- a. Failure to inform employees of critical elements and standards within the required time frame.
- b. Individual elements and summary level ratings. Performance based demotions and removals may be grieved through the AGS or NGP, or appealed to Merit Systems Protection Board (MSPB), but not both. The substance of an employee's critical elements and determinations concerning awards or QSIs are not within the realm of grievance procedures.

25. Responsibilities

a. Commander, Navy Reserve Forces Command (COMNAVRESFORCOM) and Navy Region Reserve Component Command (RCC) commanders will:

(1) Establish PARBs to approve types and amounts of awards recommended by HLR. The COMNAVRESFORCOM PARB will cover employees from the COMNAVRESFOR Headquarters Unit Identification Codes (UICs) 00071, 00072, 3447B, 47454, as well as, Navy Reserve Professional Development Center UIC 30256 and Navy Air Logistics Office UIC 68814. The RCC PARBs will cover employees from subordinate commands and any COMNAVAIRFORES commands within their areas of responsibility.

(2) Serve as, or designate a chair for the PARB.

(3) Develop/adopt business rules per COMNAVRESFOR PARB business rules.

(4) Provide oversight.

(5) Appoint and designate PARB members.

(6) Furnish a summary report of the board's award decisions to COMNAVRESFOR CHR, N00CP. Report will include, at a minimum, the award distribution, by recommendation levels 3 and 5 and type of award (cash, time off and/or QSI), the number of grievances received/resolved, employees under a PIP or official disciplinary action and list of PARB members.

(7) Make final decision on award types and amounts.

b. PARB. Membership will consist of a minimum of three senior level officials, one of which have a financial background and can serve as an advisor on budgetary and financial matters. Should a PARB review award recommendations of COMNAVAIRFORES employees; the COMNAVAIRFORES chief of staff will designate a senior air official as a member of the board. The board will:

(1) Designate a PARB administrator.

(2) Review award recommendations for consistency, appropriateness and adherence to the merit system principles.

(3) Ensure fairness and good business decisions across the region or area of responsibility.

(4) Ensure awards accurately reflect and recognize performance and/or contributions to the command's mission.

(5) Approve, disapprove or modify award recommendations. Modifications may be made to the recommended score and/or the percentage amount awarded to the employee.

(6) Provide justifications for changes in award recommendations and ensure files are maintained documenting changes.

c. COMNAVRESFOR Director, CHR (N00CP): The COMNAVRESFOR Director CHR will serve as the focal point for the COMNAVRESFOR DPMAP and will:

(1) Provide and interpret DON Policies on DPMAP.

(2) Provide PARB policy and guidance.

(3) Develop COMNAVRESFOR PARB business rules.

(4) Provide human resource guidance and assistance to each PARB, as needed.

(5) Monitor PARB results/trends.

d. PARB Administrator will:

(1) Prepare necessary documentation to facilitate board deliberations. Such documentation may include electronic or paper copies of rating of record, reward recommendation, and assessments from the employee, RO and HLR; copies of the critical elements performance standards, list of promotions and awards occurring during the cycle, etc.

(2) Advise the board concerning DoD, DON and local business rules governing performance and award management.

(3) Schedule conference rooms and ensure availability of electronic equipment necessary for Board deliberations.

(4) Receive, store and secure appraisal information for the Board's use.

(5) Track award changes made by the board for notifying ROs.

(6) Prepare documentation process performance based awards are processed timely.

e. HLR will:

(1) Review and approve performance plans, unacceptable, recommended ratings of record, awards and recognition.

(2) Ensure consistency and fairness within the span of control.

(3) Hold ROs accountable for the proper and timely execution of performance management responsibilities.

f. RO will:

(1) Foster a collaborative work environment to sustain organization effectiveness and a high performing workforce.

(2) Consider employee input in the development of the performance plans.

(3) Develop performance plans based on duties and responsibilities that are linked to organizational mission and goals.

(4) Communicate performance expectations and outcomes to employees.

(5) Establish and provide employees a copy of their written performance plan within 30 days of the beginning of the rating period; permanent assignment to a new position; and for each detail, temporary assignment or promotion expected to last more than 120 days. Performance plans are based on the employee's work assignments, objectives and responsibilities during the official appraisal period.

(6) Monitor employee performance and modify the performance plan when necessary (e.g. changes in mission, organizational goals and priorities/responsibilities).

(7) Document and provide feedback to employee for progress reviews.

(8) Address performance deficiencies as early as possible in the rating cycle to ensure sufficient opportunity for employees to improve their performance prior to the end of the cycle.

(9) Complete a narrative assessment of each employee's performance within 30 days, after the end of the performance cycle. This includes preparing a rating of record with a narrative justification for all elements rating levels (i.e., "fully successful").

(10) Maintain position hierarchy, reviews MyBiz+ for managers and supervisors suspense's/pending actions folder and takes timely action on personnel notices and actions.

(11) Execute the performance management process within the established guidelines and timelines.

(12) Document identified developmental needs and appropriated opportunities to meet the needs in IDPs for civilian employees under their cognizance per reference (f).

g. Employees will:

(1) Participate and provide input into the development of the performance plan and revisions to the performance plan.

(2) Gain an understanding of supervisor's expectations and request clarification if necessary.

(3) Manage individual performance to attain performance elements and standards identified in the performance plan; bring to the supervisor's attention circumstances that may impact accomplishment of performance expectations and request feedback when needed.

(4) Prepare for and participate in performance discussions.

(5) Complete and provide to the RO a narrative assessment of accomplishments, contributions and results within 15 days after the end of the rating period (strongly encouraged).

(6) Initiate discussion and engage with supervisor to improve workplace effectiveness and/or personal performance.

(7) Review MyBiz for accuracy.

(8) Collaborate with assigned supervisor regarding matters pertaining to their IDP per reference (f).

26. Retention of Performance Records. Commands will maintain performance management records for a period of 4 years.

27. Action. Commands, activities and individuals with performance management responsibilities must take necessary actions to implement the provisions outlined in this instruction, references (a) through (g).

28. Records Management. Records created as a result of this instruction, regardless of media and format, must be managed per SECNAV Manual 5210.1 of January 2012.

29. Review and Effective Date. Per OPNAVISNT 5215.17A, COMNAVRESFORCOM will review this instruction annually on the anniversary of its effective date to ensure applicability, currency, and consistency with Federal, DoD, SECNAV, and Navy policy and statutory authority using OPNAV 5215/40 Review of Instruction. This instruction will automatically expire 5 years after effective date unless reissued or canceled prior to the 5 year anniversary date, or an extension is granted.


R. B. JOHNSON
Executive director

Releasability and Distribution:

This instruction is cleared for public release and is available electronically only via COMNAVRESFORCOM Web site, <https://www.navyreserve.navy.mil/Resources/Official-RESFOR-Guidance/Instructions/>