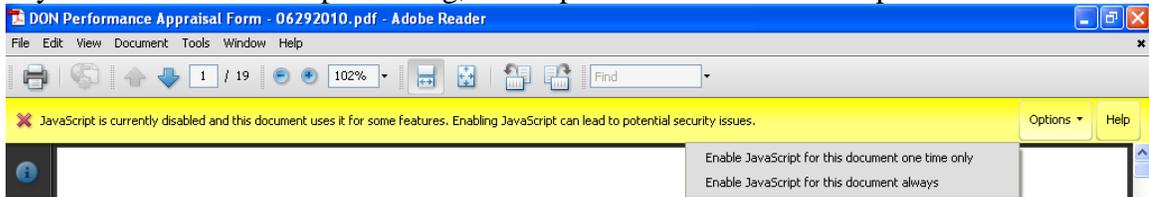


Setting a Performance Plan Utilizing the Interim Performance Appraisal Form

As part of the transition out of NSPS, the Department of Navy has established a system to ensure employees continue to be rewarded for their performance throughout the year. To facilitate this process, supervisors should establish performance plans for all of their employees within 30 days of the start of the appraisal cycle. These plans are to be completed and tracked utilizing the Interim Performance Appraisal Form.

1. Open a blank appraisal form, a copy of the form may be downloaded from:
<https://g2.cnic.navy.mil/files/app/person/1300717639/file/4144da77-e363-470c-88b7-8196fb0100b0>
2. If you receive a JavaScript warning, click options and select either option



3. Complete all of Part A – Administrative Data. For appraisal dates in the transition year, transitioning employees should generally have an appraisal period from 18 July 2010 until 30 September 2011 as shown below.

SECTION 1 - PERFORMANCE PLAN			
PART A - ADMINISTRATIVE DATA			
1. APPRAISAL PERIOD:	a. START DATE	Jul 18, 2010	b. END DATE
			Sep 30, 2011
2. EMPLOYEE NAME (<i>Last, First, Middle Initial</i>)		3. SOCIAL SECURITY NUMBER (<i>Last 4 digits</i>)	
		XXX-XX-	
4. POSITION TITLE		5. GENERAL SCHEDULE (GS) GRADE AND STEP	
6. ORGANIZATION			

4. For Part B – Critical Element Performance Standards, supervisors will need to copy and paste the applicable standard (or standards if the employee is also a supervisor) from Appendix C of the Interim Performance Management Policy (included as part of [Attachment A](#)) into Part B. Supervisors should utilize the [Appendix D](#), Career Stage Crosswalk, to the maximum extent possible to determine the appropriate career stage for their employee. Supervisors should also have the Supervisory performance standard copied into Part B, this standard would only apply to the supervisory critical element. For example, a Journey employee who was not a supervisor, Part B would look like this:

PART B - 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 <i>Interim Performance Management System Covering Positions Transitioning to the General Schedule from NSPS</i> 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. Copy and paste the appropriate performance standard(s), including the career stage, into the field below.	
Career Stage: Journey Element Level: Acceptable • Completed the stated critical element by achieving results that met applicable standards, policies, procedures, and guidelines. • In achieving critical elements and work assignments, adhered to work/project schedules; organized or prioritized own tasks to complete assignments; adjusted own work priorities to achieve desired results. • Demonstrated ability to work well with others.	
Career Stage: Journey Element Level: Unacceptable • Failed to achieve all or part of the stated critical element; or • Failed to provide products that were sound, accurate, thorough and documented, and regularly failed to meet applicable authorities, standards, policies, procedures and guidelines; or • Failed to plan, organize, prioritize, and schedule own work activities to deliver the critical element in a timely and effective manner; relied on others to frequently assist with or redo work assignments; or • Demonstrated poor cooperation or inability to work with others.	

5. Fill out Part C – Critical Elements with up to 5 “objectives” for your employees. The key requirement of a critical element is that it must be so important to the successful completion of an employee’s job that unacceptable performance on any critical element would be cause to rank the employee’s overall performance as unacceptable. Supervisors should also be mindful of the specific statutory requirements for certain occupational categories (e.g., auditors, acquisitions personnel, or those who handle classified materials), these requirements are laid out in Appendix B of the IPMS policy. Supervisors should utilize the supervisor critical element available in [Attachment B](#).
6. Finally, in Section D:
 - a. Rating Officials must certify that the employee’s position description is an accurate description of the employee’s duties and responsibilities (if it is not, the supervisor should talk to their HRO to initiate a corrective personnel action)

PART D - PERFORMANCE PLAN DOCUMENTATION	
The following signature blocks must be signed within 30 days from the start of the appraisal period, entrance on duty of a new employee, or upon formal change to this plan.	
1. POSITION DESCRIPTION CERTIFICATION (to be completed by Rating Official)	
I certify that the employee’s position description (PD) is current and accurate. <input checked="" type="checkbox"/>	

- b. The Rating Official should then fill out blocks 3a, 3c, and 3d.

3.a. PRINTED NAME OF RATING OFFICIAL (Last, First, Middle Initial)		b. SIGNATURE	
			
c. TITLE AND ORGANIZATION			d. DATE

- c. Once completed the RO should click the red arrow (block 3b) and then click “Sign” in the pop up box that appears to electronically sign the form.
7. Once signed, the RO should save the document and e-mail it to the Senior Rating Official for review.
8. If the SRO agrees with the proposed performance plan he should fill out blocks 4a, 4c, and 4d, and then sign the document as in step 6b for rating officials. If the SRO disagrees he should return the document to the RO for corrections.
9. Once the RO and SRO have approved the document the RO should notify the employee of their plan, the date of this should be documented in Block 2 (and method if other than face-to-face or telephone).

2. MEANS OF DELIVERY (Enter date under method used)	a. FACE-TO-FACE	b. TELEPHONE	c. OTHER (Explain):

10. Finally an electronic copy of the document should be sent to the employee for them to sign. Their signature is only an acknowledgement that they have been notified of their

plan, it does not signify agreement with its contents.

5 a. SIGNATURE OF EMPLOYEE <i>(Receipt acknowledged. Signature does not indicate agreement or disagreement.)</i>	b. DATE
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11. Once signed the employee should forward a copy of the newly signed document back to the RO. The employee, RO, and SRO should all maintain both paper and electronic copies of the performance plan. All changes to the performance plan throughout the year should follow these steps. No changes may be made to a performance plan within 90 days of the end of a performance cycle.

APPENDIX C

Critical Element Performance Standards

1. A performance standard is an expression of the performance threshold(s), requirement(s), or expectation(s) that must be met to be appraised at a particular level of performance. When determining an individual element level (“Unacceptable” or “Acceptable”), the rating official will compare the actual performance on each critical element to the appropriate performance standards below.

2. The performance standards are defined for three different stages in the advancement pattern of a position or career – entry, journey and expert. A single career stage will be used for each employee that addresses all critical elements within the employee’s performance plan. Additionally, the supervisory performance standards are used to determine the individual element level for the supervisory critical element.

(a) Normally, the grade and progression pattern of the occupation will determine the career stage. Rating officials must use their judgment in determining which term best describes the nature of the work for the position occupied.

(b) The following descriptions of each career stage are meant as a guide for supervisors and management officials to use in determining which career stage applies to a position.

Entry – A position for an employee who is new to or who needs to learn a particular type of work. Position requires close guidance and supervision.

Journey – A position requiring sufficient experience performing a particular type of work with less supervision than an entry-level position. Generally, the full performance level of a career ladder position.

Expert – A position requiring strong breadth and depth of experience in a particular type of work or career field. Position requires little supervision.

(c) A crosswalk to assist in determining career stage by occupational group and grade is provided in Appendix D; however, rating officials may determine that a particular position is at a different career stage than that shown in the crosswalk.

3. The performance standards listed below are the sole source against which critical elements can be assessed. To ensure consistency across the DON, the performance standards may not be augmented or altered.

Attachment A, IPMS Policy Appendices

Career Stage: Entry

Element Level: Acceptable

With guidance and assistance:

Accomplished the stated critical element, achieving desired results that were sound, accurate, thorough or documented; met applicable authorities, standards, policies, procedures and guidelines.

Planned, organized, prioritized and scheduled own work activities to deliver the critical element in a timely and effective manner.

Demonstrated ability to work well with others.

Career Stage: Entry

Element Level: Unacceptable

Though guidance was provided:

Failed to achieve all or part of the stated critical element by failing to provide products or services that were sound, accurate, thorough, documented and/or failed to meet applicable authorities, standards, policies, procedures or guidelines; or

Failed to plan, organize, prioritize and schedule own work activities to deliver the critical element in a timely and effective manner; relied on others to redo or complete work assignments; or

Demonstrated poor cooperation or inability to work with others.

Career Stage: Journey

Element Level: Acceptable

Completed the stated critical element by achieving results that met applicable standards, policies, procedures, and guidelines.

In achieving critical elements and work assignments, adhered to work/project schedules; organized or prioritized own tasks to complete assignments; adjusted own work priorities to achieve desired results.

Demonstrated ability to work well with others.

Career Stage: Journey

Element Level: Unacceptable

Failed to achieve all or part of the stated critical element; or

Failed to provide products that were sound, accurate, thorough and documented, and regularly failed to meet applicable authorities, standards, policies, procedures and guidelines; or

Failed to plan, organize, prioritize, and schedule own work activities to deliver the critical element in a timely and effective manner; relied on others to frequently assist with or redo work assignments; or

Demonstrated poor cooperation or inability to work with others.

Career Stage: Expert

Element Level: Acceptable

Delivered on each critical element with broad and significant impact that was in alignment with the mission and objectives of the organization as well as applicable authorities, standards, policies, procedures and guidelines anticipating and overcoming significant obstacles.

Established priorities and coordinated work across projects, programs or people, balancing work demands and anticipating and overcoming obstacles to achieve a timely and positive outcome.

Demonstrated high standards of professional conduct and represented the organization or work unit effectively.

Attachment A, IPMS Policy Appendices

Career Stage: Expert

Element Level: Unacceptable

Failed to achieve all or part of the stated critical element; or
Failed in the accomplishment of priorities and coordination of work across projects, programs or people; consistently failed to balance work demands resulting in an untimely and unproductive product or event; or

Demonstrated poor cooperation or inability to work with others.

Career Stage: Supervisory

Element Level: Acceptable

Achieved expected results by effectively carrying out established supervisory responsibilities.

Demonstrated adequate EEO and Affirmative Action awareness in areas of supervision and leadership.

Supported use of Alternative Dispute Resolution to resolve conduct and performance concerns at the lowest level and early timeframe to ensure the workplace provided a harmonious climate.

Instituted measures to foster productivity and safety.

Provided timely performance feedback at a minimum of two times during the performance cycle; took appropriate corrective action to address instances of inappropriate conduct and/or unacceptable performance.

Career Stage: Supervisory

Element Level: Unacceptable

Failed in the accomplishment of priorities and coordination across projects, programs, and people; consistently failed to balance work demands of employees resulting in untimely or unproductive products or events; or

Failed to demonstrate adequate EEO and Affirmative Action awareness in areas of supervision and leadership; or

Failed to support the use of Alternative Dispute Resolution to resolve conduct and performance concerns to ensure the workplace provides a harmonious climate; or

Failed to provide timely performance feedback as required during the rating cycle or to take appropriate corrective action to address instances of inappropriate conduct and/or unacceptable performance.

APPENDIX D

Career Stages Crosswalk

The performance standards in Appendix C are defined for three different stages in the advancement pattern of a position or career – entry, journey and expert. The following crosswalk is provided to assist rating officials in determining career stage. The crosswalk is a guide; rating officials may determine that a particular position is at a different career stage than that shown in the crosswalk as appropriate. Definitions of the types of work follow.

For **professional work** and **administrative work**, the following is generally applicable:

Level	Grades
Entry (Typically based on education alone)	GS-05 GS-07 GS-09*
Journey (Typically requires a combination of education and experience)	GS-09* GS-11 GS-12
Expert (Primarily based on experience)	GS-13 and above

**May be considered either entry or journey depending on the position and career progression.*

For **technician work**, the following is generally applicable:

Level	Grades
Entry	GS-04 GS-05
Journey	GS-06 GS-07 GS-08 GS-09*
Expert	GS-09* GS-10 GS-11 GS-12

**May be considered either journey or expert depending on the position and career progression.*

For **clerical work**, the following is generally applicable:

Level	Grades
Entry	GS-03 GS-04
Journey	GS-05 GS-06 GS-07*
Expert	GS-08 GS-09 GS-10

**May be considered an expert for those series that normally are not graded above the GS-07 level.*

Professional work – Requires knowledge in a field of science or learning characteristically acquired through education or training equivalent to a bachelor's or higher degree with major study in or pertinent to the specialized field, as distinguished from general education. Professional occupational series follow a two-grade interval pattern and are identified as professional in the series definitions. Examples include Psychologists (0180), Computer Scientists (1550), and Computer Engineers (0854).

Administrative work – Involves the exercise of analytical ability, judgment, discretion, and personal responsibility, and the application of a substantial body of knowledge of principles, concepts, and practices applicable to one or more fields of administration or management. While these positions do not require specialized education, they do involve the type of skills (analytical, research, writing, judgment) typically gained through a college level education, or through progressively responsible experience. Administrative occupational series follow a two-grade interval pattern. Examples include Human Resources Specialist (0201), Management and Program Analyst (0343), and Technical Writer (1083).

Technician work – Typically associated with and supportive of a professional or administrative field. It involves extensive practical knowledge, gained through experience and/or specific training less than that represented by college graduation. Technician employees carry out tasks, methods, procedures, and/or computations that are laid out either in published or oral instructions and covered by established precedents or guidelines. Technician work, however, typically follows a one-grade interval pattern and does not require the application of knowledge and skills equivalent to those required for two-grade interval work. Examples include Safety Technician (0019), Medical Technician (0645), and Dental Assistant (0681).

Clerical work – Involves structured work in support of office, business, or fiscal operations. Clerical work is performed in accordance with established policies, procedures, or techniques; and requires training, experience, or working knowledge-related to the tasks to be performed. Clerical occupational series follow a one-grade interval pattern. Examples include Correspondence Clerk (0309), Legal Assistant (0986), and Equipment Operator (0350).

Supervisory Critical Element

All supervisors are required to have a supervisory critical element. This critical element should include at least the following:

“Manages an aligned, engaged, and high-performing team through leading by example and developing and executing a mission-aligned vision for the organization. Creates a positive, safe work environment that allows employees to excel. Upholds high standards of integrity and ethical behavior. Performs all supervisory duties including:

- Ensuring compliance with applicable laws, regulations, and policies including Merit System Principles and Prohibited Personnel Practices;
- Effectively attracting and retaining a high-caliber workforce and acting in a responsible and timely manner on all steps in the recruitment and hiring process;
- Providing opportunities for orientation and tools for enabling employees to successfully perform during the probationary period and beyond;
- Ensuring that an Individual Developmental Plan (IDP) is drafted and in place for all employees annually;
- Identifying current and future position requirements to ensure that recruitment is appropriately focused and timely;
- Completing 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 ;
- Acting as a good steward of public funds;
- Maintaining a safe work environment and promptly addressing allegations of noncompliance;
- Ensuring that Equal Employment Opportunity (EEO) principles are adhered to throughout the organization and promptly addressing allegation of discrimination, harassment and retaliation.”