



DEPARTMENT OF THE NAVY
NAVAL EDUCATION AND TRAINING PROFESSIONAL
DEVELOPMENT AND TECHNOLOGY CENTER
6490 SAUFLEY FIELD ROAD
PENSACOLA, FLORIDA 32509-5237

IN REPLY REFER TO:
NETPDTCINST 12430.1
CODE N832

22 JAN 2002

NETPDTC INSTRUCTION 12430.1

Subj: **PREPARATION AND SUBMISSION OF CIVILIAN PERFORMANCE
APPRAISALS USING THE TWO LEVEL SUMMARY RATING SYSTEM**

Ref: (a) CNET 081605Z Apr 98
(b) DON Human Resources Implementation Guidance,
Guide 430-01, 01 Oct 97
(c) NETPDTC Military and Civilian Awards and
Recognition Desk Reference

Encl: (1) NETPDTC 12430/1 (12/01) Supervisory Performance Plan
(2) NETPDTC 12430/3 (12/01) Nonsupervisory Performance Plan
(3) Instructions for using electronic versions of NETPDTC
12430/1 and 12430/3

1. **Purpose.** To issue guidance for preparing and submitting NETPDTC Civilian Performance Appraisals using the two-level summary rating system.

2. **Cancellation.** NETPDTCNOTE 12430.

3. **Background.**

(a) Reference (a) is CNET policy guidance on activity implementation of a two-level summary performance rating system for the NAVEDTRACOM. Reference (b) provides guidelines for rating employees under the new system as either "Acceptable" or "Unacceptable".

(b) The current performance cycle of 01 May to 30 April will be used for NETPDTC employees using the NETPDTC forms provided as enclosures (1) and (2). Forms are available in electronic format as templates and are available via NETPDTC's Civilian Recognition, Employee Services, & Training (CREST) website: <http://www.cnet.navy.mil/crest>. Supervisors may either use the form in its electronic format or they can print out a paper copy. Guidance for using electronic forms is provided as enclosure (3).

(c) Civilian personnel performance awards are no longer directly associated with the performance rating system. NETPDTC personnel will use reference (c) to grant awards to civilian employees where warranted.

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(d) Further information about the two-level summary rating system and the Awards and Recognition Desk Reference may be found at the CREST web site at <http://www.cnet.navy.mil/crest>.

4. **Action.** Performance appraisals, using the two-level summary rating system for civilian employees, (enclosures (1) and (2)) will be implemented no later than 30 May of each calendar year for the current rating cycle.

5. **POC.** Point of contact for this matter is Ms. Victoria Knight, Commercial (850) 452-1001 ext. 1622, DSN 922-1001 ext. 1622 or email at victoria.knight@cnet.navy.mil.



G. B. DYE

Distribution: (NETPDTTCINST 5216.1E)
Lists I, IA, and II.

Web Access: MAIN INDEX

<https://pennd09.cnet.navy.mil/netpdtc/directives.nsf>

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1. NAME (LAST, FIRST, MIDDLE INITIAL)				2. SOCIAL SECURITY NO.				
3. POSITION TITLE/SERIES/GRADE		4. ORG CODE (DEPT.,DIV.,BRCH)		5. P.D. NUMBER				
6. RATING PERIOD: FROM				TO				
				DUTY STATION:				
7. RECORD OF REVIEWS AND FINAL APPRAISAL								
PERFORMANCE PLAN ESTABLISHED (WITHIN 30 DAYS AFTER START OF RATING PERIOD)			PROGRESS REVIEW		SPECIAL REVIEW		FINAL APPRAISAL	
	SIGNATURE	DATE	SIGNATURE	DATE	SIGNATURE	DATE	SIGNATURE	DATE
RATER								
EMPLOYEE								
REVIEWER REQD FOR "U" ONLY								
8. RATING OF RECORD: <input type="checkbox"/> ACCEPTABLE <input type="checkbox"/> UNACCEPTABLE								
9. PERFORMANCE PLAN ATTACHMENTS <input type="checkbox"/> YES <input type="checkbox"/> NO				REVIEWER'S INITIALS ("U" ONLY):				
10. EMPLOYEE'S POSITION DESCRIPTION IS CURRENT AND ACCURATE <input type="checkbox"/> YES <input type="checkbox"/> NO				SUPERVISOR'S SIGNATURE				
COLUMN A	COLUMN B		COLUMN C			COLUMN D		
CHECK IF APPLICABLE	PERFORMANCE ELEMENTS CRITICAL/ADDITIONAL		PERFORMANCE STANDARDS INDICATE ACCEPTABLE LEVEL			ANNUAL APPRAISAL RATING CHECK ONE BOX "A" "U"		
<input type="checkbox"/>	TECHNICAL COMPETENCE (C)		<ul style="list-style-type: none"> SETS REALISTIC GOALS AND MILESTONES EXHIBITS THE KNOWLEDGE, SKILLS, AND ABILITIES REQUIRED TO OBTAIN DESIRED RESULTS EFFECTIVELY AND EFFICIENTLY SECURES, ALLOCATES, AND MANAGES MISSION ESSENTIAL RESOURCES DEVELOPS EFFICIENT PROCEDURES AND SYSTEMS COORDINATES AND MONITORS ASSIGNMENTS AND PROJECTS THROUGHOUT THE ORGANIZATION ESTABLISHES PRIORITIES THAT REFLECT MISSION AND ORGANIZATIONAL NEEDS 			<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/>	PEOPLE MANAGEMENT (C)		<ul style="list-style-type: none"> ESTABLISHES A CUSTOMER FOCUSED ENVIRONMENT AND ENSURES CUSTOMER SATISFACTION ENCOURAGES AND MOTIVATES EMPLOYEES DEFINES VISION AND COMMUNICATES GOALS COMMUNICATES ROLES AND RESPONSIBILITIES, AND DELEGATES WORK FAIRLY AND EFFICIENTLY MAINTAINS AN ENJOYABLE, POSITIVE, AND CHALLENGING WORK ETHIC RECOGNIZES AND REWARDS INDIVIDUAL AND TEAM CONTRIBUTIONS IN A TIMELY MANNER 			<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/>	PERFORMANCE MANAGEMENT (C)		<ul style="list-style-type: none"> TAKES ACTION TO QUICKLY RESOLVE PERFORMANCE ISSUES COMMUNICATES CLEAR AND CONSISTENT PERFORMANCE EXPECTATIONS DEVELOPS EMPLOYEES THROUGH MENTORING, COACHING, AND TRAINING DOCUMENTS PERFORMANCE PROBLEMS AND HANDLES THEM WITH AUTHORITY AND TACT 			<input type="checkbox"/>	<input type="checkbox"/>	

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COLUMN A	COLUMN B	COLUMN C	COLUMN D	
CHECK IF APPLICABLE	PERFORMANCE ELEMENTS CRITICAL/ADDITIONAL	PERFORMANCE STANDARDS INDICATE ACCEPTABLE LEVEL	ANNUAL APPRAISAL RATING CHECK ONE BOX "A" "U"	
<input type="checkbox"/>	LEADERSHIP (C)	<ul style="list-style-type: none"> • ACTS AS A PERSUASIVE LEADER WHO GETS RESULTS • DEMONSTRATES FAIR AND IMPARTIAL LEADERSHIP • SETS AND ACHIEVES HIGH STANDARDS WITH A TEAM • DEVELOPS A SHARED SENSE OF PURPOSE WITH FOCUS AND DIRECTION • IMPLEMENTS KEY ORGANIZATION POLICIES 	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	ACCOUNTABILITY (C)	<ul style="list-style-type: none"> • PLANS FOR, DEVELOPS, AND ESTABLISHES REALISTIC BUDGETS • TRACKS AND ADJUSTS EXPENDITURES TO REMAIN WITHIN APPROVED BUDGET • MAKES APPROPRIATE CHANGES TO MEET MISSION ESSENTIAL FISCAL REQUIREMENTS • CONSISTENTLY COMMUNICATES BUDGET AND/OR RESOURCE CHANGES AND PRIORITIES • VERIFIES ACCURACY OF TIME AND ATTENDANCE RECORDS 	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	HIRING PRACTICES (A)	<ul style="list-style-type: none"> • DEFINES POSITION AND REQUIRED APPLICANT KNOWLEDGE, SKILLS, AND ABILITIES • SELECTS AND RETAINS HIGH QUALITY PEOPLE BY CREATING A POSITIVE AND CHALLENGING WORK ENVIRONMENT • PREPARES FOR AND CONDUCTS THOROUGH INTERVIEWS • MAKES SOUND HIRING DECISIONS BASED ON CANDIDATE EXPERIENCE • DEVELOPS TEAMS WITH DIVERSE SKILLS AND STRENGTHS 	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	EEO (A)	<ul style="list-style-type: none"> • SETS THE EXAMPLE AND ENCOURAGES PARTICIPATION IN EEO SPECIAL EMPHASIS PROGRAMS • TAKES ACTION TO STOP DISCRIMINATORY BEHAVIOR AND SEXUAL HARASSMENT AMONG EMPLOYEES • COOPERATES IN RESOLVING DISCRIMINATION COMPLAINTS • SUPPORTS EEO PROGRAM GOALS, OBJECTIVES, AND PROVIDES ON-GOING TRAINING TO EMPLOYEES • ATTENDS MANDATORY EEO TRAINING AND ENSURES EMPLOYEE PARTICIPATION 	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	TEAMWORK (A)	<ul style="list-style-type: none"> • WORKS EFFECTIVELY IN GROUPS AND HELPS OTHERS TO GET THE JOB DONE • PARTICIPATES IN RESOLVING TEAM CONFLICTS • ESTABLISHES AND MAINTAINS COOPERATIVE WORKING RELATIONSHIPS • REMAINS FLEXIBLE AND OPEN TO NEW OR DIFFERENT IDEAS • FOCUSES ON TEAM EFFORTS ON MOST EFFECTIVE MISSION ORIENTED STRATEGIES 	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	SAFETY (A)	<ul style="list-style-type: none"> • ADHERES TO ORGANIZATION SAFETY PROGRAM INSTRUCTIONS 	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	AUDIT (A)	<ul style="list-style-type: none"> • TAKES PROMPT CORRECTIVE ACTION ON ALL AGREED TO FINDINGS AND RECOMMENDATIONS DEVELOPED BY AUDITORS • USES AND MEETS ALL SPECIFIC PLANS AND MILESTONE OBJECTIVES AND MAINTAINS APPROPRIATE DOCUMENTATION TO DEMONSTRATE COMPLIANCE • PREPARES AND SUBMITS REQUIRED REPORTS 	<input type="checkbox"/>	<input type="checkbox"/>

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COLUMN A	COLUMN B	COLUMN C	COLUMN D	
CHECK IF APPLICABLE	PERFORMANCE ELEMENTS CRITICAL/ADDITIONAL	PERFORMANCE STANDARDS INDICATE ACCEPTABLE LEVEL	ANNUAL APPRAISAL RATING CHECK ONE BOX "A" "U"	
<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>

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1. NAME (LAST, FIRST, MIDDLE INITIAL)					2. SOCIAL SECURITY NO.			
3. POSITION TITLE/SERIES/GRADE			4. ORG CODE (DEPT.,DIV.,BRCH)		5. P.D. NUMBER			
6. RATING PERIOD: FROM					TO			
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7. RECORD OF REVIEWS AND FINAL APPRAISAL								
PERFORMANCE PLAN ESTABLISHED (WITHIN 30 DAYS AFTER START OF RATING PERIOD)			PROGRESS REVIEW		SPECIAL REVIEW		FINAL APPRAISAL	
	SIGNATURE	DATE	SIGNATURE	DATE	SIGNATURE	DATE	SIGNATURE	DATE
RATER								
EMPLOYEE								
REVIEWER REQD FOR "U" ONLY								
8. RATING OF RECORD: <input type="checkbox"/> ACCEPTABLE <input type="checkbox"/> UNACCEPTABLE								
9. PERFORMANCE PLAN ATTACHMENTS <input type="checkbox"/> YES <input type="checkbox"/> NO								
					REVIEWER'S INITIALS ("U" ONLY):			
10. EMPLOYEE'S POSITION DESCRIPTION IS CURRENT AND ACCURATE								
<input type="checkbox"/> YES <input type="checkbox"/> NO					SUPERVISOR'S SIGNATURE			
COLUMN A	COLUMN B		COLUMN C			COLUMN D		
CHECK IF APPLICABLE	PERFORMANCE ELEMENTS CRITICAL/ADDITIONAL		PERFORMANCE STANDARDS INDICATE ACCEPTABLE LEVEL			ANNUAL APPRAISAL RATING CHECK ONE BOX "A" "U"		
<input type="checkbox"/>	CUSTOMER FOCUS (C)		<ul style="list-style-type: none"> • DEMONSTRATES COMMITMENT TO ENSURE CUSTOMER SATISFACTION • ASSUMES RESPONSIBILITY FOR RESOLVING CUSTOMER PROBLEMS AND COMPLAINTS • SETS REALISTIC CUSTOMER EXPECTATIONS • FOLLOWS THROUGH TO ENSURE COMMITMENTS TO CUSTOMERS ARE MET • SOLICITS INPUT AND IS OPEN TO IDEAS FROM CUSTOMERS • DEVELOPS CUSTOMER CONFIDENCE 			<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/>	COMMUNICATION (C)		<ul style="list-style-type: none"> • CLEARLY COMMUNICATES IDEAS VERBALLY AND IN WRITING • KEEPS SUPERVISOR, CUSTOMERS, AND CO-WORKERS INFORMED • PROMOTES AND USES CANDID AND OPEN COMMUNICATION • PROVIDES CORRECT AND CONSISTENT INFORMATION • USES APPROPRIATE AND EFFICIENT CHANNELS OF COMMUNICATION 			<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/>	TECHNICAL KNOWLEDGE (C)		<ul style="list-style-type: none"> • DEMONSTRATES AND UNDERSTANDS THE DUTIES AND RESPONSIBILITIES OF THE JOB • DEMONSTRATES THE KNOWLEDGES, SKILLS, AND ABILITIES TO DO THE JOB • UNDERSTANDS THE MISSION AND VALUES OF THE COMMAND • STAYS CURRENT AND EXECUTES NEW DEVELOPMENTS, CHANGING PRIORITIES, OR REQUIREMENTS • KEEPS ABREAST OF CRITICAL ISSUES AND DETAILS 			<input type="checkbox"/>	<input type="checkbox"/>	

NETPDTIC 12430/3 (12/01)

Enclosure (2)

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COLUMN A	COLUMN B	COLUMN C	COLUMN D	
CHECK IF APPLICABLE	PERFORMANCE ELEMENTS CRITICAL/ADDITIONAL	PERFORMANCE STANDARDS INDICATE ACCEPTABLE LEVEL	ANNUAL APPRAISAL RATING CHECK ONE BOX "A" "U"	
<input type="checkbox"/>	QUALITY (C)	<ul style="list-style-type: none"> • COMPLETES WORK ASSIGNMENTS IN A TIMELY MANNER • DEMONSTRATES ATTENTION TO DETAIL AND ACCURACY • SHOWS A COMMITMENT TO QUALITY AND EXCELLENCE • SEEKS AND MAKES CONTINUOUS IMPROVEMENT • TAKES ACTION TO RESOLVE PROBLEMS WHEN QUALITY FALLS BELOW ACCEPTED LEVEL 	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	TEAMWORK (A)	<ul style="list-style-type: none"> • WORKS EFFECTIVELY IN GROUPS AND HELPS OTHERS TO GET THE JOB DONE • PARTICIPATES IN RESOLVING TEAM CONFLICTS • ESTABLISHES AND MAINTAINS COOPERATIVE WORKING RELATIONSHIPS • REMAINS FLEXIBLE AND OPEN TO NEW OR DIFFERENT IDEAS • FOCUSES ON TEAM EFFORTS ON MOST EFFECTIVE MISSION ORIENTED STRATEGIES 	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	SAFETY (A)	<ul style="list-style-type: none"> • KEEPS THE WORKPLACE SAFE, CLEAN, AND FREE OF CLUTTER AND HAZARDS • ADHERES TO ORGANIZATION SAFETY PROGRAM INSTRUCTIONS 	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>

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**INSTRUCTIONS FOR USING ELECTRONIC VERSIONS OF
NETPDTC FORMS 12430/1 and 12430/3**

1. There are two performance plans for the two-level summary rating system: (1) Supervisory, and (2) Nonsupervisory.
2. Templates have been created in Word 97 with form fields to input personnel information in Sections 1 through 6. Sections 8, 9, and 10 only require an "X" on the applicable option; i.e., "Acceptable" or "Unacceptable". To move between form fields, simply tab over.
3. If you wish to add additional or critical elements in Column B or additional/specific performance standards in Column C, you must unprotect the template. Using your toolbar, click on "Tools" and "Unprotect Document". After making your changes/additions, select "Tools," then "Protect Document," then "Forms". There is no need to password protect the form.
4. To save the document for each employee, select "File," then "Save As" and rename the file.
5. IMPORTANT. If you make changes to the template, all current data in the form fields will be erased. It is recommended that all changes be made to the template first, if required, and then input personnel data.