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US ARMY INSTALLATION MANAGEMENT COMMAND  
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IMHU-ZA

13 Oct 2020

**MEMORANDUM FOR IMHU-MW (Directorate of Family and Morale, Welfare, and Recreation)**

**SUBJECT: POLICY 20-45, Performance Policy, Directorate of Family and Morale, Welfare, and Recreation, Nonappropriated Fund Employees**

**1. REFERENCES.**

- a. Department of Defense Instruction (DODI) 1400.25, Volume 1404, Nonappropriated Fund (NAF) Performance Management Program.
- b. Army Regulation (AR) 215-3, Nonappropriated Funds Personnel Policy.

**2. PURPOSE.** To establish policies, responsibilities, and procedures for the reporting of employee performance for the Directorate of Family and Morale, Welfare, and Recreation (DFMWR), Nonappropriated Funds (NAF) positions.

**3. APPLICABILITY.** Where not otherwise precluded by regulation, this policy applies to all DFMWR NAF employees working in NAF pay band positions, Child and Youth (CY) pay band positions, and Federal Wage System (FWS) positions.

**4. RESPONSIBILITIES.**

a. The Garrison Commander has the authority to establish Performance Policy within the scope of AR 215-3 for NAF employees. This policy is within the scope of Army Regulation (AR) 215-3.

b. The FMWR Director and NAF Supervisors will be responsible for applying Performance Policy in a manner that is fair, consistent, and as timely as possible.

c. The NAF Human Resources (HR) Office will be responsible for advising the Garrison Commander, Deputy Garrison Commander, Family and Morale, Welfare, and Recreation (FMWR) Director, NAF supervisors, and NAF employees on matters related to this policy. The NAF HR Officer will evaluate and apprise the Command of the effectiveness of this Policy, and update it as required.

d. Employees will be responsible for knowing their performance standards and accountable for the outcomes of their performance.

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**5. BACKGROUND.** Performance evaluation is used to increase the efficiency of Nonappropriated Fund Instrumentality (NAFI) of both the employee and supervisor. Performance evaluations will be used to:

- a. Evaluate performance and conduct.
- b. Give an employee a reasonable opportunity to achieve their best performance.
- c. Develop a constructive relationship between supervisors and employees.
- d. Justify awards or pay increases given to an employee.
- e. Communicate job duties effectively.

**6. LEVELS OF PERFORMANCE.** This policy adheres to the five rating levels established by AR 215-3 that indicate the employee's level of performance.

- a. Outstanding – This rating is authorized when the employee exceeds all performance standards.
- b. Excellent – This rating is authorized when the employee exceeds the majority of performance standards.
- c. Satisfactory – This rating is authorized when an employee meets, but does not exceed, the majority of performance standards.
- d. Minimally Satisfactory – This rating is authorized when an employee is not meeting one or more performance standards and when it is immediately followed by training and an opportunity for the employee to improve.
- e. Unsatisfactory – This rating is authorized only after the employee receives a written notice of their failure to satisfactorily perform one or more critical major duties, and the supervisor has demonstrated a reasonable effort to help the employee improve.

**7. DOCUMENTATION AND REQUIREMENTS.** To successfully report an employee's performance rating, Performance Standards, a Rating Evaluation Form, and DA 3612 are required. There are situational requirements when specific ratings are issued.

- a. Performance Standards – Acknowledged and dated by the employee.
- b. Rating Evaluation Form – The scoresheet or methodology used to determine the rating.
- c. DA Form 3612 – Include the correct rating period, signatures of the supervisor, the second-line supervisor (or higher), and the employee.

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**d. Outstanding rating must include written justification.**

**e. Minimally Satisfactory Rating require coordination with NAF Human Resources Office to document an improvement opportunity.**

**f. Unsatisfactory Ratings require coordination with NAF Human Resources Office to document the failure of the improvement opportunity.**

**g. Performance Ratings are required to be reported (completed and uploaded) to the employee's electronic official personnel file by 15 June under normal circumstances. Extensions to this reporting date require Director of FMWR approval.**

**8. RATING PERIODS. The following establishes the rating periods for new and current employees, the frequency of rating periods, and the minimum and maximum allowable timeframe of a rating period.**

**a. All employees will receive, at minimum, a performance rating every 12 months under normal circumstances.**

**b. The annual rating period for all current DFMWR NAF employees will be 01 May through 30 April.**

**c. New employees starting between 01 May and 30 January; the initial rating period will be from the date of hire through 30 April.**

**d. New employees starting between 31 January and 30 April will serve an extended initial rating period; the initial rating period will be from the date of hire through 30 April of the following year.**

**e. Under no circumstances may a rating period exceed 15 months.**

**f. The minimum rating period is 90-days. This does not include Performance Improvement Plans.**

**9. RATING PERIOD EXTENSION.**

**a. Up to a 90-day extension of the rating period is authorized for all new employees hired between 31 January and 30 April. The initial rating period will be 12 months, plus the rating period extension of 1 to 90-days, and end on 30 April of the following year.**

**b. A 90-day rating period is authorized to move all current supervisors with an annual rating period of 01 February to 31 January to the annual rating period of 01 May to 30 April. If a supervisor's rating periods on the Installation, the 90-day rating period is not authorized. The supervisor will receive a rating through 31 January and another rating for the period of 01 February through 01 May.**

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**10. CHANGE OF POSITION AND SUPERVISOR DURING THE RATING PERIOD.**

When an employee accepts a new position under a different supervisor during the middle of the rating period, one of the following processes must be followed to ensure the employee receives an annual rating.

a. For employee moves that occur between 01 May and 30 January, the gaining supervisor will be responsible for completing and reporting the employee's annual rating. At their option, the gaining supervisor may request input from the losing supervisor. However, it is the gaining supervisor's responsibility to justify the employee's rating for record.

b. For employee moves that occur between 31 January and 30 April, the losing supervisor will be responsible for providing input to the gaining supervisor by completing and forwarding the employee's performance evaluation. The gaining supervisor will be responsible for requesting input from the losing supervisor, including an evaluation statement, meeting with the employee, and completing DA Form 3612. The completed performance rating and supporting documents will be electronically forwarded via encrypted email to the NAF Human Resources Office for inclusion in the employee's electronic official personnel folder.

**11. CHANGE OF POSITION ONLY (SAME SUPERVISOR) DURING THE RATING PERIOD.**

a. For employee moves that occur between 01 May and 31 January, the employee's new position will be reflected on the DA 3612 and supporting paperwork. The Supervisor will document in the supporting paperwork the title of the old position, the pay plan, series and grade of the old position, the date of the position change, and a summary of the employee's performance while in the old position. The rating period will be for the entire annual rating period covered, i.e. from 01 May to April, or from hire date to 30 April.

b. For employee moves that occur between 31 January and 30 April, the employee's old position will be reflected on the DA Form 3612 and supporting paperwork. The supervisor will document in the supporting paperwork the title of the new position, the pay plan, series and grade of the new position, the date of the position change, and a summary of the employee's performance while in the new position. The rating period will be for the entire annual rating period covered, i.e. from 01 May to 30 April, or from hire date through the rating extension, to 30 April of the next year.

**12. INTERIM (LESS THAN ANNUAL) RATINGS.** Interim Ratings are for periods of employment of 90-days or more, but may not have an end date on or between 31 January and 30 April. The use of Interim Ratings is authorized and may be used as the basis for performance award.

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13. **NO RATING ISSUED AND NON-COMPLIANCE.** In the event that a supervisor fails to report an annual rating on an employee within 45-days, the NAF HRO will contact the second-level supervisor to resolve the situation. The second-level supervisor has 30-days to ensure that an annual rating is submitted for the employee. If after 30-days, the employee's rating has not been reported, the NAF HRO will notify the Director of FMWR. High levels of non-compliance may be reported directly to the Deputy Garrison Commander.

14. **ISSUANCE OF PERFORMANCE STANDARDS.** Supervisors are required to have signed performance standards in place for employees within 30-days of hire, change of a position, or the start of the rating period if changing standards. The date of employee acknowledgment is the day Performance Standards become effective and is the date used to credit time towards a minimum 90-day rating period.

15. **EFFECTS OF SUPERVISOR NOT MEETING TIMEFRAMES.** Failure to meet timeframes in establishing performance standards with employees limits the supervisor's ability to take performance based actions.

a. Performance Improvement Plans (PIP) may not be issued without signed and dated performance standards.

b. A 90-day performance rating period starts on the date an employee acknowledges performance standards.

c. **REPORTING PERFORMANCE.** Under normal circumstances, supervisors are responsible for ensuring performance ratings are reported using human resource automated systems; currently AutoNOA. When utilizing the automated system, the performance rating will be transmitted for inclusion in the employee's electronic official personnel folder. Performance Ratings are required to be reported (completed and uploaded) to the employee's electronic official personnel file by 15 June under normal circumstances. Extensions to this reporting date require FMWR Director approval.

16. **REPORTING PERFORMANCE EXCEPTIONS.**

a. Ratings of Minimally Satisfactory or Unsatisfactory are required to be coordinated and reported through the NAF HR Office.

b. When there is a technical issue with the reporting system, the NAF HR Office will attempt to assist the supervisor with a resolution. In the event that a resolution cannot be found, the NAF HR Office will accept completed performance rating documentation for inclusion in the employee's electronic official personnel folder.

c. When a supervisor has not supervised an employee for 90-days, the reporting system will not allow the supervisor to upload a performance rating. In this situation, the

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NAF HR Office will accept completed performance rating documentation for inclusion in the employee's electronic official personnel folder.

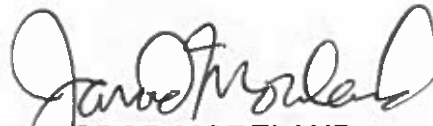
d. When any unforeseen event occurs in which the reporting system may not be used, the NAF HR Office will accept completed performance rating documentation for inclusion in the employee's electronic official personnel folder.

17. PROBATION PERIODS. Probationary periods are not linked to the annual rating period. However, all time served in a probationary status counts towards time in the annual rating period. Administration of probationary periods is covered under AR 215-3, Chapter 6.

18. DUAL COMPENSATION. Employees holding more than one NAF position will be rated independently in each position. In the event that an existing employee is hired into a second position, the supervisor will treat that employee as a new hire.

19. This policy remains in effect until rescinded or revised.

20. The Point of Contact for this policy is the NAF Human Resources Officer at 520-533-5155.



JARROD MORELAND  
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Distribution: E