



DON

Interim Performance
Management System

Presented by:

CNRSE N-1 HR Specialists



Background

- On October 28, 2009, President Obama signed the National Defense Authorization Act (NDAA 2010) that repeals NSPS and requires DoD to transition approximately 225,000 civilian employees from NSPS to GS not later than 1 January 2012.
- NDAA 2010 requires that employees will not suffer any decrease in or loss in pay upon transition out of NSPS.

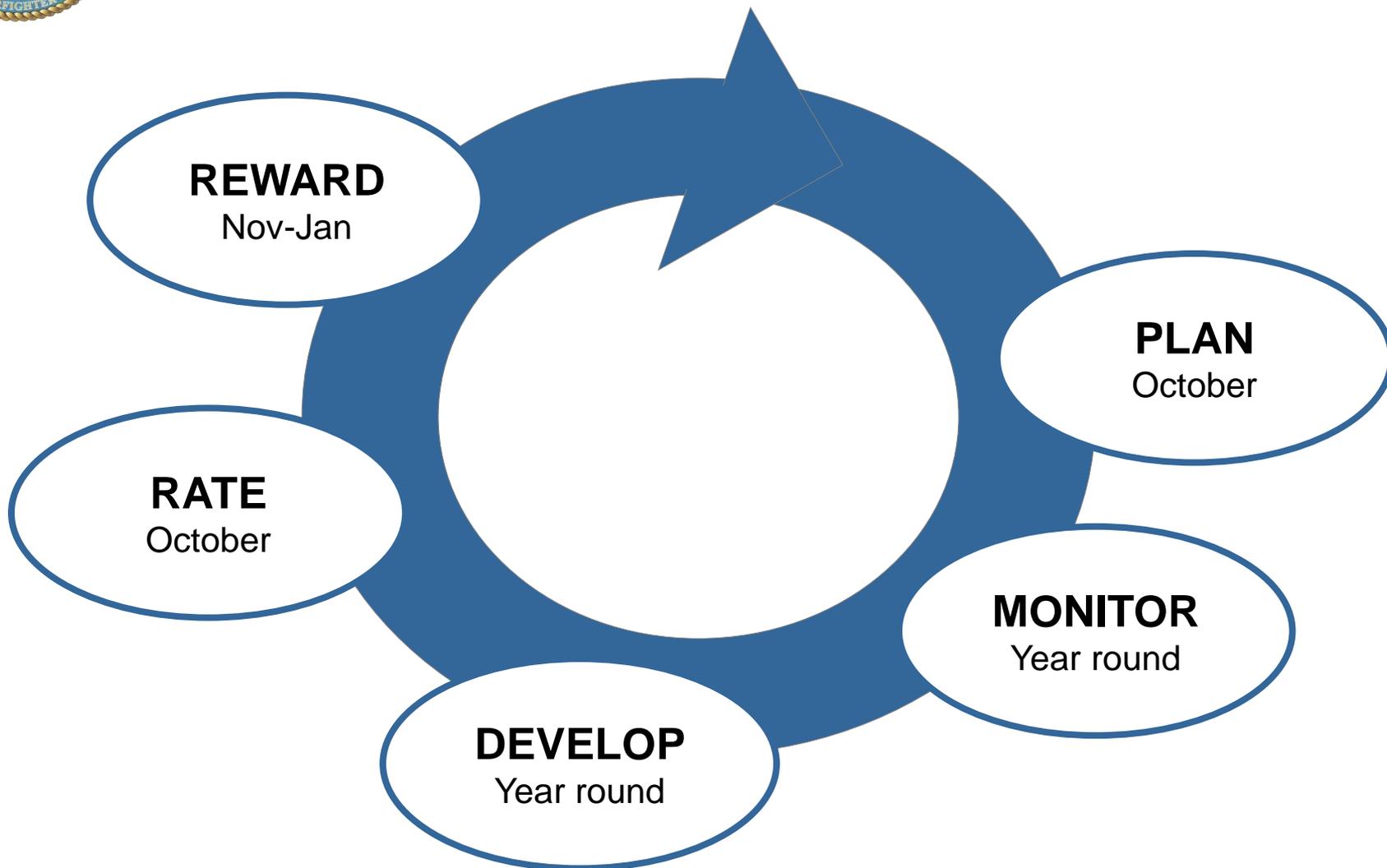


Background

- DoD submits to Congress a proposal for an enterprise-wide performance management system
 - Until a DoD-wide system is implemented, the DON has developed an Interim Performance Management System
 - System applies to all non-bargaining unit **positions** in the DON that transitioned from NSPS to the GS



Performance Management Cycle



We Exist to Enable and Sustain Warfighter Readiness



Performance Plan Requirements

- Supervisors must actively engage employees in developing their performance plans
 - Senior Rating Official approval of final plan is required
 - No later than 30 days
- Employees must have 90 days on a performance plan to be eligible for a rating
 - Rating period may be extended under special circumstances



Critical Elements

- Critical Elements are:
 - Expressions of performance expectations
 - Communicate work assignments and be commensurate with the employee's grade, experience, and position requirements
 - NSPS Job Objectives will be utilized for the initial GS performance cycle
 - May not be weighted
 - At least one supervisory critical element required for supervisory performance plans



Monitoring Performance

- Dialogue between supervisor and employee is key to effective performance management
- Performance plans are ‘living documents’ and may be modified throughout the rating cycle
 - May be modified, added to, or deleted as needed
 - Modifications are not permitted during the last 90 days of the appraisal period





Performance Conversations

Performance Plan

- Establish performance expectations
- Align employee objectives with organizational goals

Progress Review (Interim)

- At least one is required
- Check progress
- Provide feedback
- Make course corrections

End-Cycle Review

- Review employee self-assessment
- Gather data for written appraisal

Annual Appraisal

- Review written appraisal
- Communicate rating of record and level of recognition



What is a Self-Assessment?

An employee self-assessment:

- Is required
- Connects what you did and why that should matter
- Portrays a complete, concise picture of your accomplishments
- Is the substance by which your performance will be rated and rewarded



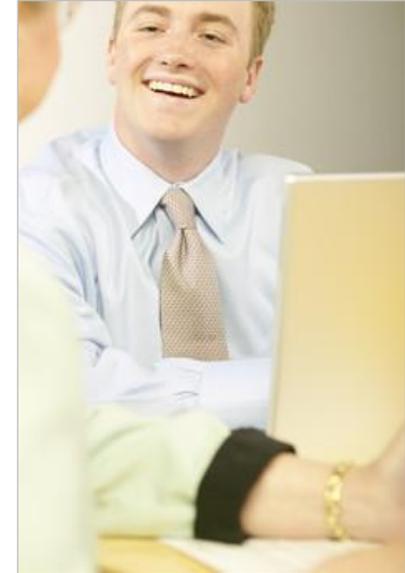
Submitted to your Rating Official within 15 days of the end of the appraisal period



What is an RO Assessment?

A Rating Official assessment:

- Completes the picture of the employee's performance during the appraisal year
 - Subject to Senior Rating Official review and approval
- Is the substance by which the employee's performance will be rated and rewarded



Submitted to the Senior Rating Official within 30 days after the end of the appraisal period



Close-out Ratings

Close-out Ratings are conducted when:

- A detail or temporary promotion of more than 120 days is completed
- An employee changes positions after a minimum of 90 days on a plan
- The rating official changes positions after the employee reached a minimum of 90 days on a plan
 - May become the rating of record if fewer than 90 days exist in the appraisal period



Ratings of Record

Ratings of Record are:

- Based on a comparison of performance and written standards
- Assigned an individual element level
- Converted to either Acceptable or Unacceptable
 - Unacceptable = failure on one or more critical elements
 - Call the CNRSE HRO prior to issuing an “unacceptable” rating (Chapter 43 procedures apply)



Communicating the Results

Rating Officials must have:

- A conversation with their employees within 75 days of the end of the appraisal period
 - May only occur after the Senior Rating Official has reviewed/approved the rating of record



Rating Process Steps

1 Write Self-Assessment

Document accomplishments by providing data for all critical elements.

2 Write Supervisory Assessment

Build on and supplement employee self-assessment.

3 Rate Critical Elements

Determine a base rating for each element using a performance standard.

4 Recommend Rating

Average all element ratings to determine overall recommendation.





Performance Standards

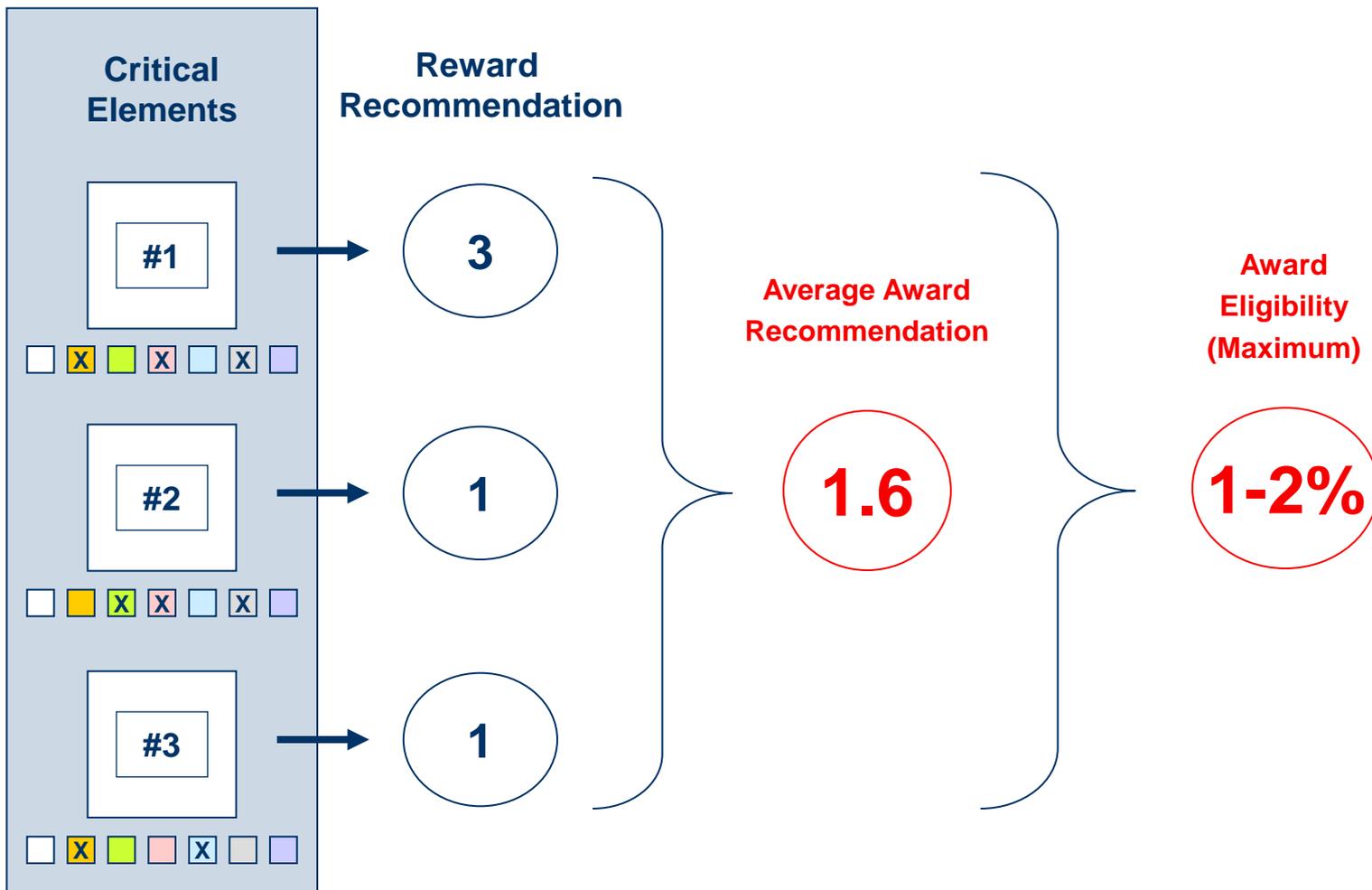
- Three sets of descriptors
 - Entry
 - Journey
 - Expert
- Descriptors are provided at N/A through 3

RECD	RATING OF RECORD
3	Acceptable
2	Acceptable
1	Acceptable
N/A	Unacceptable

Establish Base Rating
Reference relevant Performance Standard to establish base rating for each critical element



Rating Critical Elements





Performance Recognition

To determine recommended award amount...

1. Calculate average ratings for all critical elements
2. Determine percentage of basic pay to award or eligibility for a Quality Step Increase (QSI)

AVG CRITICAL ELEMENT REWARD RECD	MAXIMUM AWARD ELIGIBILITY
1.0 to 1.49	0 to 1.0%
1.50 to 2.49	1.0 to 2.0%
2.50 to 3.0	2.0 to 4.0%

Unacceptable
Eligible for GPI only



Transition Year

*Transitioning **Prior** to 3 July*

AVG CRITICAL ELEMENT REWARD RECD	MAXIMUM AWARD ELIGIBILITY
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1.0 to 1.49	0 to 1.67%
1.50 to 2.49	1.67 to 3.3%
2.50 to 3.0	3.3 to 6.7%

*Transitioning **On or After** 3 July*

NSPS RATING	MAXIMUM AWARD ELIGIBILITY
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3	1.67%
4	1.67 to 3.3%
5	3.3 to 6.7%



Grievances and Appeals

- Employees may not challenge:
 - Critical elements
 - Award/QSI determinations
- Employees may challenge:
 - Failure to inform employees of critical elements and standards within the required time
 - Ratings on individual elements and summary level ratings
 - Performance-based demotions and removals

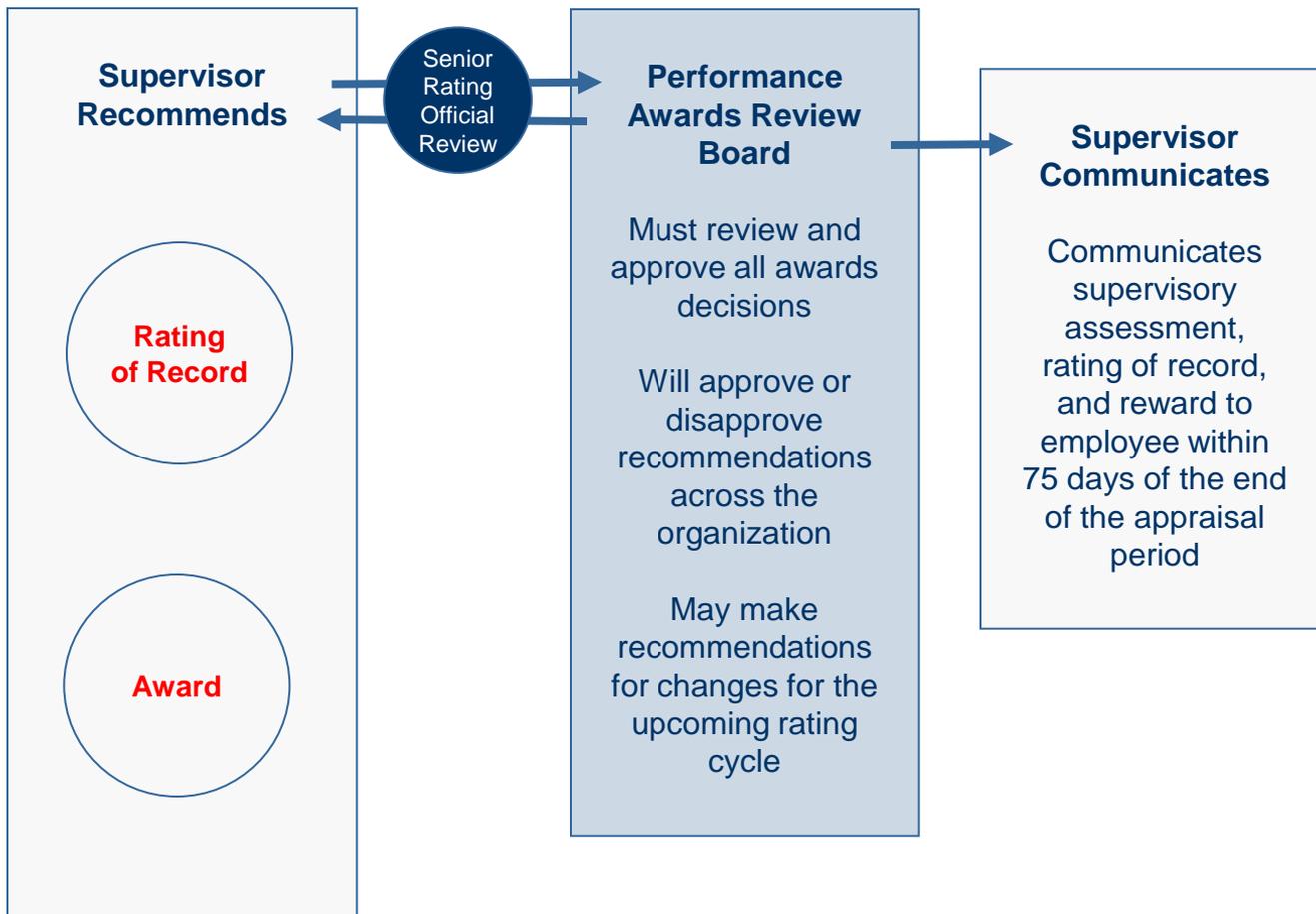


Performance Awards Review Board

- The performance awards review board holds managers and supervisors accountable for rating employees fairly and equitably
 - Validates decisions made at the individual level align with the organization's mission and goals
 - Ensures results are met and all decisions conform to Merit System Principles



Reward Process Overview





Existing System vs. Interim System

GS PM System:

- **Covered all GS/WG employees**
 - Cycle 1 Oct through 30 Sep
 - 90 days on performance plan
 - Approved plan within 30 days
 - One performance review
 - Acceptable/Unacceptable
- **No numerical rating**
- **No board review**
 - 120 detail closeout required
 - 90 day closeout ratings
- **Rating to employee w/30 days**
- **1% of base pay**

“Interim” PM System:

- **Covers prior NSPS employees**
 - Cycle 1 Oct through 30 Sep
 - 90 days on performance plan
 - Approved plan within 30 days
 - One performance review
 - Acceptable/Unacceptable
- **Rating 0 to 3**
- **ARB to review**
 - 120 detail closeout required
 - 90 day closeout required
- **Rating to employee w/90 days**
- **1.5% of base pay (1.25 for performance w/remainder for special acts, etc.)**



Setting a Performance Plan

- Part A = Administrative Data
 - Appraisal period should include transition date and an end date of 30 September 2011:

PART A - ADMINISTRATIVE DATA	
1. APPRAISAL PERIOD:	a. START DATE Jul 18, 2010 b. END DATE Sep 30, 2011
2. EMPLOYEE NAME (Last, First, Middle Initial)	3. SOCIAL SECURITY NUMBER (Last 4 digits) XXX-XX-
4. POSITION TITLE	5. GENERAL SCHEDULE (GS) GRADE AND STEP
6. ORGANIZATION	7. BASIC SALARY AS OF APPRAISAL START DATE \$



Career Stages

- **Entry** - An employee who is new to or needs to learn a particular type of work, even in the same career field (i.e. Human Resources Specialist (Staffing) newly assigned to work in Employee Relations), regardless of grade level or step in a grade. Such an employee may require more guidance and supervision than a more experienced colleague or the need to learn a new skill set. May also describe an employee who is in lower graded position of a career ladder.



Career Stages

- **Journey** - An employee who has sufficient experience doing a particular type of work or in a particular career field to be able to carry out work assignments with less supervision than a similarly situated employee at the entry level. Generally speaking, journey level work is also the full performance level of any career ladder position.



Career Stages

- **Expert** - An employee who has strong breadth and depth of experience in a particular type of work or career field; a role model to others who are similarly situated; one who is seen by others as one who can carry out or advise on the most difficult work assignments. Such an employee needs far less supervision than employees in the other two categories.



Setting a Performance Plan

- Part B = Critical Element Performance Standards
 - Supervisors
 - Copy/paste appropriate standard or standards if the employee is also a supervisor (refer to Appendix C of the IPMS Policy)
 - Apply the level that best describes employee competence
 - Copy/paste the Supervisory performance standard, if necessary

Copy all 4 levels for the Career Stage
(Unacceptable; Acceptable, Reward Rec. 1; Acceptable, Reward Rec. 2, and Acceptable, Reward Rec. 3)



Setting a Performance Plan

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 *Interim Performance Management System Covering Positions Transitioning to the General Schedule from NSPS* 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: Entry

Element Level: Unacceptable

Reward Recommendation: N/A

Performance Standard:

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.

Element Level: Acceptable

Reward Recommendation: 1

Performance Standard:

With considerable guidance and assistance:

- Accomplished the stated critical element, achieving desired results that were minimally 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.

Element Level: Acceptable

Reward Recommendation: 2

Performance Standard:

With minimal guidance and assistance:

- Effectively achieved the stated critical element.
- Achieved results that were technically sound, accurate, thorough and documented and 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, making adjustments to respond to changing situations as necessary.
- Demonstrated high standards of teamwork.

Element Level: Acceptable

Reward Recommendation: 3

Performance Standard:

Without guidance or assistance:

- (Measured in addition to the above)
- Contributed results beyond what was expected; results were far superior in quality, quantity and/or impact to the stated critical element.





Setting a Performance Plan

- Part C = Critical Elements
 - Up to 5 “objectives”
 - 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
 - Additional Performance Evaluation Requirements (i.e., supervisors, auditors, acquisitions, or those who handle classified materials)

Refer to Appendix B of the IPMS Policy



Setting a Performance Plan

- Part D = Performance Plan Documentation
 - Rating Officials (RO) must certify that the employee's PD is accurate:

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.





Setting a Performance Plan

- RO completes blocks 3a, 3c, and 3d.

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

- Click the red arrow (block 3b)
- Then click “Sign” to electronically sign the form
- Once signed, save the document and e-mail it to the Senior Rating Official (SRO) for review



Setting a Performance Plan

- If the SRO agrees:
 - Blocks 4a, 4c, and 4d should be completed and digitally signed
- If the SRO disagrees:
 - Return the document to the RO for corrections
- Once approved the RO notifies the employee of the plan and completes Block 2

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

- Employee signs electronic copy and forwards back to the RO

5.a. SIGNATURE OF EMPLOYEE <i>(Receipt acknowledged. Signature does not indicate agreement or disagreement.)</i>	b. DATE
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- **NOTE:** All parties should maintain both paper and electronic copies and **NO** changes may be made to a plan within 90 days of the end of the performance cycle



Thank you for
participating!