

# NATIONAL SECURITY PERSONNEL SYSTEM (NSPS)

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## OBJECTIVES

After completion of this lesson, you will be able to:

- Identify major changes resulting from NSPS
- Describe NSPS classification architecture
- Determine appropriate career groups, pay schedules, and pay bands
- Explain major staffing flexibilities under NSPS



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## KEY EVENTS

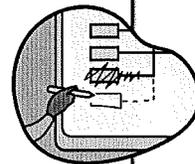
- November 2005 - NSPS final regulations published
- April 2006 - Army began implementation with Spiral 1
- October 2009 - NSPS was repealed by the National Defense Authorization Act 2010
- May 2010 - Most of Army transitioned out of NSPS
- Some positions allowed to remain in NSPS, but all must transfer out no later than January 2012



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## MAJOR NSPS CHANGES

- ◉ Classification - New classification architecture
- ◉ Staffing - Hiring and pay setting flexibilities
- ◉ Performance Management - New performance management system
- ◉ Management Employee Relations - PIP not required, but a higher evidentiary standard must be met
- ◉ Employee Development - No change
- ◉ Labor Relations - No change



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## NSPS CLASSIFICATION

### Overview

- Title 5, Chapter 51 was waived
- Career Groups, Pay Schedules, and Pay Bands replace current GS architecture
- NSPS simplifies classification
- NSPS has its own classification standards
- FLSA provisions NOT waived
- Classification appeal rights preserved

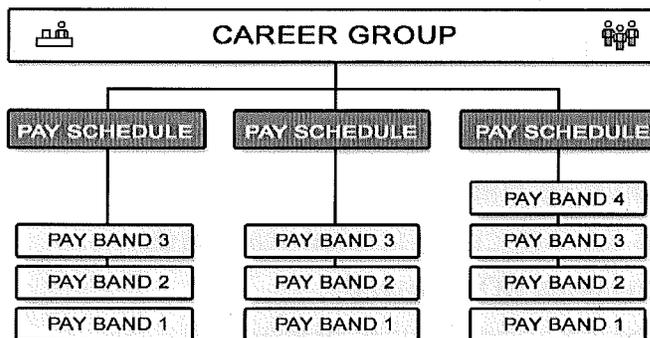
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## GS VS. NSPS CLASSIFICATION

GS	NSPS
Occupational Family	Career Group
Pay Plan	Pay Schedule
Title	Title
Grade	Pay Band
Occupational Series (#)	Occupational Series (#)
Over 400 OPM GS Classification Standards	15 NSPS Classification Standards

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## CLASSIFICATION ARCHITECTURE



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## CAREER GROUPS AND PAY SCHEDULES

<p><b>STANDARD</b></p> <ul style="list-style-type: none"> <li>• Professional/Analytical (YA)</li> <li>• Tech/Support (YB)</li> <li>• Supervisor/Manager (YC)</li> <li>• Student Employment (YP)*</li> </ul> <p>71% of DoD workforce</p>	<p><b>ENGINEERING &amp; SCIENTIFIC</b></p> <ul style="list-style-type: none"> <li>• Professional (YD)</li> <li>• Tech/Support (YE)</li> <li>• Supervisor/Manager (YF)</li> </ul> <p>19% of DoD workforce</p>
<p><b>MEDICAL</b></p> <ul style="list-style-type: none"> <li>• Physician/Dentist (YG)</li> <li>• Professional (YH)</li> <li>• Tech/Support (YI)</li> <li>• Supervisor/Manager (YJ)</li> </ul> <p>4% of DoD workforce</p>	<p><b>INVESTIGATIVE &amp; PROTECTIVE SERVICES</b></p> <ul style="list-style-type: none"> <li>• Investigative (YK)</li> <li>• Fire Protection (YL)</li> <li>• Police/Guard (YM)</li> <li>• Supervisor/Manager (YN)</li> </ul> <p>4% of DoD workforce</p>

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### PAY BANDS

Pay Band	Prof/Analytical	Tech/Support	Supervisory
1	Entry & Developmental	Entry & Developmental or Journey	Supervises PB 1
2	Journey	Journey	Supervises PB 2
3	Expert/ Program Mgr	Journey/Expert	Manager
4		Unusual (super) Expert	

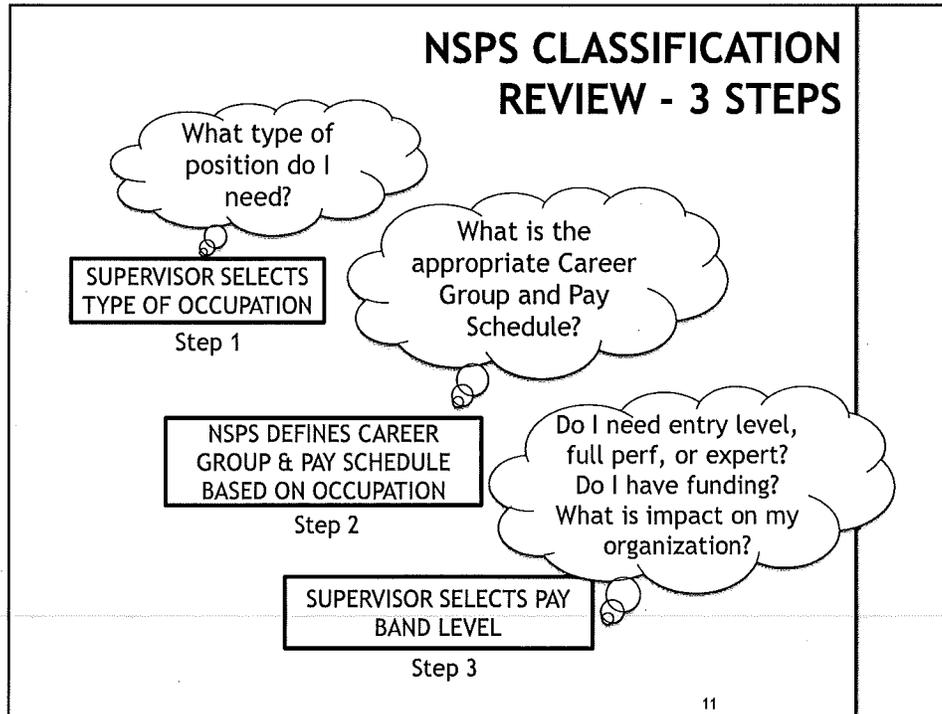
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### NSPS CLASSIFICATION

**Exercise 1:** Refer to the Chart titled "Career Groups and Pay Schedules." Using that chart, find the correct career group (CG) and pay schedule(PS) for the following 10 occupations

OCCUPATION	CG/PS	OCCUPATION	CG/PS
BIOLOGIST		BUDGET TECH	
SUPV CHEMIST		SECRETARY	
ENGINEERING TECH		GUARD	
AUDITOR		NURSE	
SUPV HR SPECIALIST		CRIMINAL INVESTIGATOR	

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## FLSA PROVISIONS

- ❑ Non-exempt NSPS employees are covered by FLSA, so there is no difference between NSPS and legacy employees.
- ❑ Special rules exist for NSPS exempt employees. Consult your CPAC for guidance.

**Just as in legacy, employees under NSPS are presumed to be nonexempt unless proven to meet the exemption criteria**

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## NSPS STAFFING FLEXIBILITIES

- Highlights:
  - ✓ Temp/term length of appointments
  - ✓ Relaxation of approval authority for some special appointing authorities
  - ✓ New definitions for promotion and reassignment
  - ✓ Flexibility in pay-setting



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## NSPS TEMPORARY/TERM APPOINTMENTS

- Term appointments - up to 6 years (includes 1 extension)
- Temporary appointments - up to 3 years (includes 1 extension)
- Can be converted to permanent appointment, if:
  - ✓ Served two years with Level 3 rating
  - ✓ Selected under competitive examining procedures
  - ✓ Announcement contained a statement which stated that appointment could lead to a career appointment
  - ✓ Converted to a career position in same pay band for which hired

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## SPECIAL APPOINTING AUTHORITIES

**Severe Shortage**

- Legacy - OPM must approve
- NSPS - DoD can approve

**Critical Need**

- Legacy - OPM must approve
- NSPS - DoD can approve

**Non-Citizen**

- Legacy - OPM must approve
- NSPS - DoD can approve

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## PROMOTION



**NSPS**

Movement of an employee from one band to a higher band

✓ Example: YA-2 to YA-3

Pay issues

- ✓ Minimum 6%, but no more than 20%
- ✓ Higher than 12% requires higher level manager approval

Temp promotions time extended to 180 days (OPM rules are 120 days)

**OPM**

Movement of an employee from one grade to a higher grade

✓ Example: GS-12 to GS-13

Pay issues

- ✓ For GS positions - Two step rule or highest previous rate rule used
- ✓ For FWS position - 4% of representative rate added to existing rate of pay

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# REASSIGNMENT

## NSPS

- Movement of an employee to a different position or set of duties in the same or a comparable pay band
- Pay issues
  - ✓ Voluntary (employee-initiated) - no more than 5% in 12 month period
  - ✓ Management-directed - no time limit
  - ✓ Involuntary - may reduce pay up to 10% in 12 month period

## OPM

- Movement of an employee to a different position or set of duties in the same or a comparable grade
- No pay increase unless Highest Previous Rate rule authorized



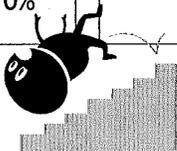
# REDUCTION IN BAND / CHANGE TO LOWER GRADE

## NSPS

- Movement of an employee either voluntary or involuntary from one pay band to a lower pay band
- Pay issues
  - ✓ Voluntary - up to 5% increase in 12 month period
  - ✓ Involuntary - may reduce pay up to 10%

## OPM

- Movement of an employee either voluntary or involuntary from one grade to a lower grade
- Pay issues
  - ✓ Pay generally preserved unless otherwise stated in the installation's pay setting policy

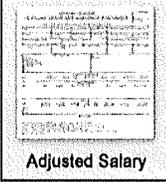
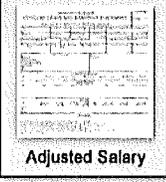


# COMPENSATION



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## WHAT CONSTITUTES ADJUSTED SALARY?

General Schedule	{	 <b>Worldwide Base Rate</b>	+	<b>Special Rate Supp</b> based on occupation/ geographic locality  OR <b>CONUS Locality Pay</b> all GS employees in locality are covered by the same percent	=	 <b>Adjusted Salary</b>
NSPS	{	 <b>Worldwide Base Rate</b>	+	<b>Local-Market Supplement</b> variable by career group, pay schedule, occupation, and/or pay band	=	 <b>Adjusted Salary</b>

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<b>NSPS - FLEXIBLE PAY SETTING</b>		
⊙ New Hires	⇒	Pay Band Minimum to GS-7 Step 1 plus 30%
⊙ Promotions	⇒	Increase 6% - 20%
⊙ Voluntary Reassignment or Reduction in Band	⇒	Increase Up to 5%
⊙ Management-Directed Reassignment	⇒	Increase Up to 5%
⊙ Involuntary Reassignment or Reduction in Band	⇒	Decrease Up to 10%
⊙ Expiration/Termination of Temporary Reassignment	⇒	Re-Set to Previous Pay Level

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	<b>NSPS PAY SETTING CONSIDERATIONS</b>
<p>Pay setting determinations will be based on:</p> <ul style="list-style-type: none"> <li>✓ Candidate's current and historical salary</li> <li>✓ Experience, education and training/certifications of candidate</li> <li>✓ Internal equity considerations (pay compression/performance)</li> <li>✓ Market-sensitive data/value</li> <li>✓ Salary budget - ability to pay</li> <li>✓ "Total remuneration" perspective</li> <li>✓ Long-term impact - potential for future salary growth</li> <li>✓ Scarcity of qualified applicants</li> <li>✓ Use of recruitment, relocation, or retention incentives (3Rs)</li> <li>✓ Critical agency business need</li> </ul>	

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## NSPS ACCELERATED COMPENSATION FOR DEVELOPMENTAL POSITIONS (ACDP)

ADCP is:

- An increase to employee's base salary
- Only for employees participating in formal Army training programs or other developmental capacities as determined by Army policy
- Applicable to Pay Band One employees in Pay Schedules YA, YD, YH and YK only



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## NSPS - ELIGIBILITY FOR LMS ADJUSTMENT

- Employees receive if -
  - ✓ Current rating of record above unsuccessful
  - ✓ No current rating of record
  - ✓ On pay retention with a current rating of record above unsuccessful
- Employees do not receive if current rating of record is unsuccessful
- If LMS decreases, it decreases for everyone regardless of rating of record
- LMS is not portable



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## EXERCISE 2 COMPENSATION

Adam, the supervisor of an IT organization, is hiring several new program analysts into his division. They are all being placed in PB1 (entry/developmental) of the YA pay schedule. He needs some advice in determining how to set their starting salary. Backgrounds are as follows:

1. Candidate 1 just graduated with a BA in public administration (GPA of 4.0).
2. Candidate 2 has a BA in management information systems and has two years of directly related experience.
3. Candidate 3 has four years of directly related experience.
4. Candidate 4 has three years of experience performing related work in a support position,, and has completed two years toward a BA in business administration.

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## EXERCISE 2 COMPENSATION

1. Within your assigned groups, identify what factors Adam should consider in setting pay?
2. You have 10 minutes to come up with as many factors as you can.



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## NSPS PERFORMANCE MANAGEMENT

There are five main steps in the process:

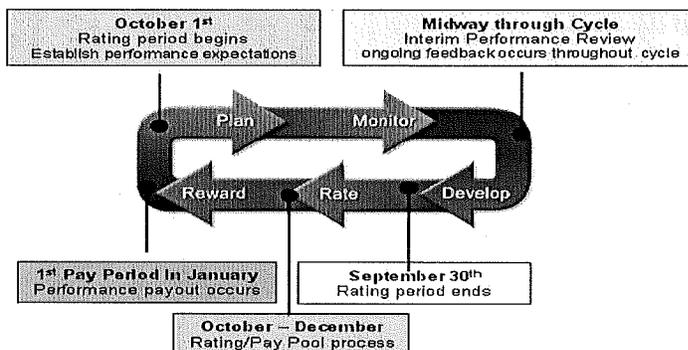
- Planning - setting objectives
- Monitoring - greater employee/supervisor communication
- Development - training, education, mentoring
- Rating - job objective and contributing factor ratings
- Rewarding - supervisory recommendation to pay pool panel

Process is results oriented and mission focused

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## NSPS PERFORMANCE MANAGEMENT SYSTEM CYCLE

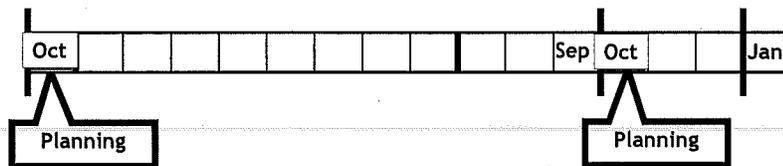
The Performance management cycle runs 1 October through 30 September. In order to receive a rating, a minimum of 90 days of performance is required. At least one interim review is also required during the cycle



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## PERFORMANCE PLANNING

- Establish performance expectations
- Establish a written performance plan:
  - Identify and discuss job objectives
  - Select contributing factors
  - Establish weighting
- The performance plan requires higher-level approval
- Identify developmental needs
- Basis for ongoing dialogue about performance



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## PERFORMANCE EXPECTATIONS

### Performance expectations are:

- Duties, responsibilities, and competencies required by, or objectives associated with, an employee's position
- Contributions and demonstrated competencies expected of an employee
- Communicated to the employee prior to holding employee accountable
- Promptly adjusted as changes occur

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## PERFORMANCE EXPECTATIONS (CONT)

Performance expectations must align with and support the DoD mission and goals and may include:

- Goals or objectives that set performance targets at the individual, team, and/or organizational level
- Standard operating procedures, manuals, internal rules and directives, etc.
- Competencies an employee is expected to demonstrate, or the contributions an employee is expected to make
- Work assignments can be used to amplify performance expectations and may specify quality, quantity, accuracy, and/or timeliness
- Conduct and/or behavior

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## THE PERFORMANCE PLAN CONVERSATION

### Purposes

- To reach a joint understanding of performance expectations for the current (new) rating cycle
- To explain the organization's goals and to align employee objectives with these goals
- To establish timelines and measurement methods
- To identify developmental needs

### Outcomes

- Performance plan (formally established in the PAA)
- Development plan
- Conversation notes, other relative documentation



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## JOB OBJECTIVES

Job objectives are:

- ❑ A way to capture performance expectations
- ❑ The platform by which employees are rated
- ❑ A way for managers and supervisors to communicate the major work that needs to be accomplished
- ❑ Required to be aligned with (clearly tied to) organizational goals and the DoD mission
  - ✓ Supervisors must fully explain to employees the relationship between accomplishments and achieving organizational goals



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## JOB OBJECTIVES = THE “WHAT”

- ❑ Communicate specific individual, team, or organizational responsibilities and expected contributions with related outcomes and accomplishments
- ❑ Draw a line of sight between the employee’s work, the work unit’s goals, and the organization’s success
- ❑ Results-oriented and mission-focused
- ❑ Appropriate for current salary and pay band
- ❑ Must be weighted
- ❑ Written in the “SMART” framework



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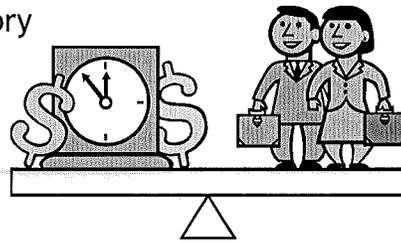
## JOB OBJECTIVES REQUIREMENTS

### For managers

- At least 1
- Usually 3 to 5
- Must be weighted
- Linked to mission
- At least one supervisory objective

### For employees

- At least 1
- Usually 3 to 5
- Must be weighted
- Linked to mission



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## SMART OBJECTIVES

- S** Specific - Specific regarding the result (not the activities to achieve that result)
- M** Measurable - Quantity (how many), time (how long), quality (how good), resources (how much)
- A** Aligned - Aligned objectives draw a line of sight between the employee's work, the work unit's goal, and the organization's mission
- R** Realistic and Relevant
  - ⊙ Realistic: Can be accomplished with the resources, personnel, and time
  - ⊙ Relevant: Are important to the employee and to the organization
- T** Timed - There is a point in time when the objective will start, or when it will be completed

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## SAMPLE SMART OBJECTIVES

1. Completes all project management tasks to enable installation of 150 new computers in the DA Field Office in Arlington, VA, by the end of the 4th quarter. Ensures that the DA Form 3161 issuing the new computer is signed by the user and forwarded to the Property Book Officer within two working days of signature.
  
2. With only an occasional error, performs the following tasks:  
Serves as timekeeper for designated senior management officials. Prepares accurate time and attendance records for assigned Directorate staff for each bi-weekly pay period in accordance with regulatory and Directorate requirements. Acquires authorizing signature and submits the input the first working day following completion of the pay period IAW established timelines.

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## MANDATORY ARMY SUPERVISORY OBJECTIVE



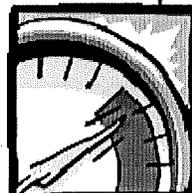
Execute the full range of human resources (including performance management as outlined in DoD 1400.25-M, SC1940.5.6.3.) and fiscal responsibilities within established timelines and in accordance with applicable regulations. Adhere to merit principles. Develop a vision for the work unit; align performance expectations with organizational goals. Maintain a safe work environment and promptly address allegations of noncompliance. Ensure EEO/EO principles are adhered to throughout the organization. Ensure continuing application of, and compliance with, applicable laws, regulations and policies governing prohibited personnel practices; promptly address allegations of prohibited discrimination, harassment, and retaliation.

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## USING PERFORMANCE INDICATORS TO ASSESS PERFORMANCE

### What are Performance Indicators?

- ❑ Descriptions of levels or thresholds of employee performance.
- ❑ Applied in the rating of job objectives
- ❑ Standardized across the DoD
- ❑ Arranged by Pay Schedule (Professional / Analytical, Technician / Support, Supervisory) and Pay Band
- ❑ Benchmarks defined at Level 3 and Level 5 performance



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## PERFORMANCE INDICATOR EXAMPLE

Performance Indicators Professional / Analytical Pay Schedule (non-supervisory) - Pay Band 2	
Level 3	Level 5 ( <i>Additions at this level</i> )
<ul style="list-style-type: none"> <li>• Effectively achieved the stated objective, anticipating and overcoming significant obstacles. Adapts established methods and procedures when needed.</li> <li>• Results were technically sound, accurate, thorough, documented, and met applicable authorities, standards, policies, procedures and guidelines.</li> <li>• Planned, organized, prioritized, and scheduled own work activities to deliver the objective in a timely and effective manner, making adjustments to respond to changing situations and anticipating and overcoming difficult obstacles as necessary.</li> <li>• Demonstrated high standards of personal and professional conduct and represented the organization or work unit effectively.</li> </ul>	<ul style="list-style-type: none"> <li>• Contributed results beyond what was expected; results were far superior in quality, quantity, and/or impact to the stated objective to what would be expected at this level.</li> <li>• Exhibited the highest standards of professionalism.</li> </ul>

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<b>RATING LEVELS FOR JOB OBJECTIVES</b>	
5	Employee exceeded the assigned job objective at a level of performance equal to, or above, the Level 5 performance indicator.
4	Employee exceeded the assigned job objective at a level of performance above the Level 3 indicator, but below the Level 5 performance indicator.
3	Employee met the assigned job objective at a level of performance equal to the Level 3 indicator.
2	Employee met the assigned job objective at a level of performance below the Level 3 Performance indicator or needed guidance and assistance beyond that described in the Level 3 indicator.
1	Employee failed to achieve the assigned job objective or failed in the performance of a single assignment where such failure had a significant negative impact on accomplishment of the mission or where a single failure resulted in or could result in death, injury, breach of security, or great monetary loss.
NR	Employee did not have an opportunity to perform the job objective because it became obsolete or could not be accomplished due to extenuating circumstances. Weight of non-rated objective is re-distributed among the other objectives.

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<b>CONTRIBUTING FACTORS = THE "HOW"</b>	
<ul style="list-style-type: none"> <li><input type="checkbox"/> Select up to 3 for each job objective</li> <li><input type="checkbox"/> Attributes of job performance that are significant to the accomplishment of individual job objectives</li> <li><input type="checkbox"/> Further defined by <b>"work behaviors"</b> and <b>"benchmark descriptors"</b></li> <li><input type="checkbox"/> Standard across DoD</li> <li><input type="checkbox"/> Described at the <b>"expected"</b> and <b>"enhanced"</b> level</li> </ul>	<div style="border: 1px solid black; border-radius: 5px; padding: 2px; width: fit-content; margin: 2px auto;">Technical Proficiency</div> <div style="border: 1px solid black; border-radius: 5px; padding: 2px; width: fit-content; margin: 2px auto;">Critical Thinking</div> <div style="border: 1px solid black; border-radius: 5px; padding: 2px; width: fit-content; margin: 2px auto;">Cooperation and Teamwork</div> <div style="border: 1px solid black; border-radius: 5px; padding: 2px; width: fit-content; margin: 2px auto;">Communication</div> <div style="border: 1px solid black; border-radius: 5px; padding: 2px; width: fit-content; margin: 2px auto;">Customer Focus</div> <div style="border: 1px solid black; border-radius: 5px; padding: 2px; width: fit-content; margin: 2px auto;">Resource Management</div> <div style="border: 1px solid black; border-radius: 5px; padding: 2px; width: fit-content; margin: 2px auto;">Leadership</div>

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**CONTRIBUTING FACTORS BENCHMARK EXAMPLE**

**Cooperation and Teamwork Contributing Factor  
Professional and Analytical Pay Schedule - Pay Band 2**

Expected	Enhanced (Additions at this level)
<ul style="list-style-type: none"> <li>• Contributes to achieving work unit goals by working collaboratively and flexibly with others and building effective partnerships across units.</li> <li>• Treats everyone fairly and professionally, respecting and valuing individual differences and diversity.</li> <li>• Shares relevant knowledge and information with others.</li> <li>• Contributes to a positive team atmosphere that fosters cooperation, trust, and group identity.</li> <li>• Handles challenging work-related disagreements or conflicts and resolves them in a positive and constructive manner; develops options to resolve disagreements or conflicts that require resolution at a higher level.</li> </ul>	<ul style="list-style-type: none"> <li>• Contributes to achieving organizational objectives by building effective partnerships across organizations.</li> <li>• Takes initiative to make extra contributions to work unit efforts; recognizes when others need assistance and provides support to advance unit goals.</li> <li>• Fosters a climate of trust by demonstrating respect for and value of individual differences and diversity.</li> <li>• Seeks out opportunities to share relevant knowledge and skills with others.</li> <li>• Develops formal knowledge sharing systems (e.g., work aids, technical papers, etc.).</li> <li>• Anticipates and strives to mitigate potential conflicts or disagreements.</li> </ul>

**REQUIREMENTS FOR SELECTING CONTRIBUTING FACTORS**

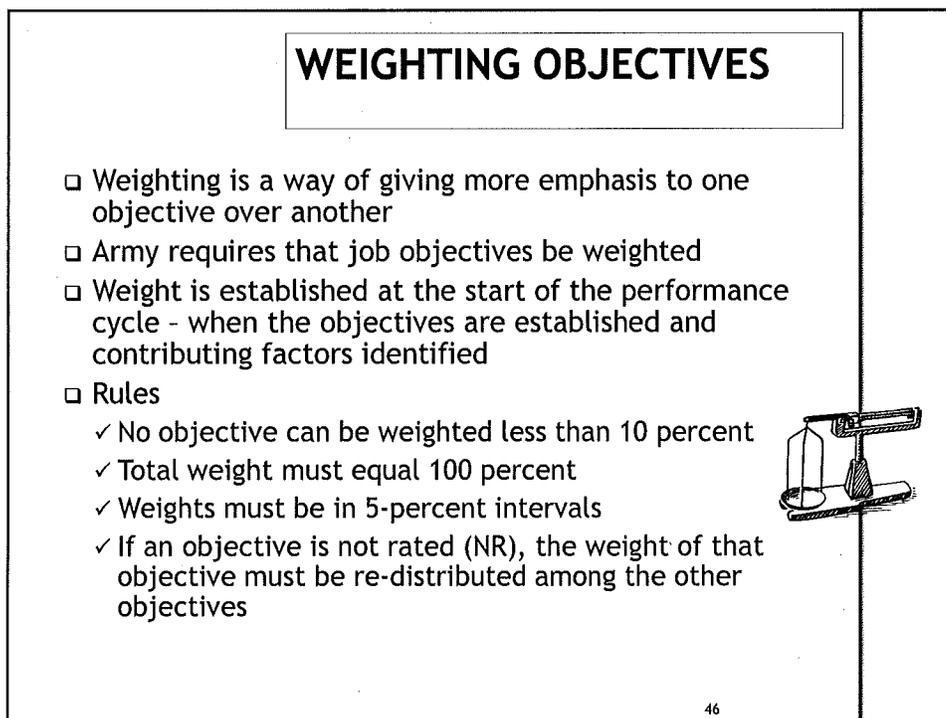
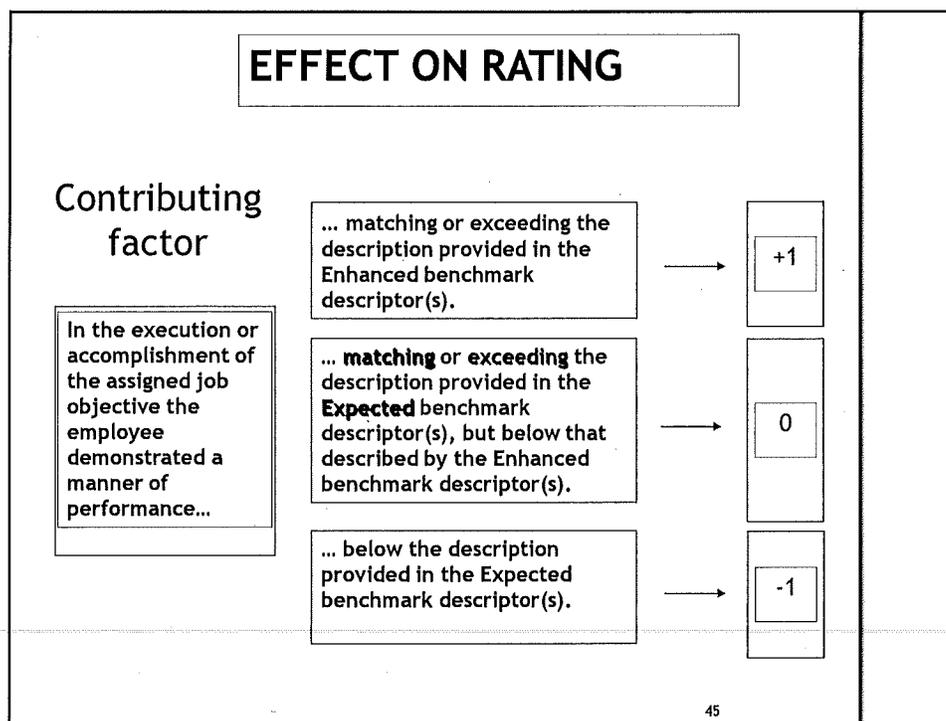
**For manager**

- At least one, usually no more than three for each objective
- Intentional choice
- Tied to objective rather than employee
- "Leadership" must be selected for the supervisory job objective

**For employee**

- At least one, usually no more than three for each objective
- Intentional choice
- Tied to objective rather than employee

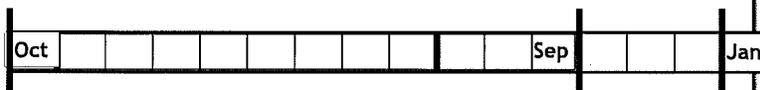




## PERFORMING, MONITORING, AND DEVELOPING

Throughout the performance cycle:

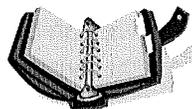
- The employee is working toward accomplishing the established objectives
- The supervisor is monitoring employee performance and providing assistance, feedback, and direction as needed
- Both employee and supervisor are taking steps toward developing the employee



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## DOCUMENTING PERFORMANCE

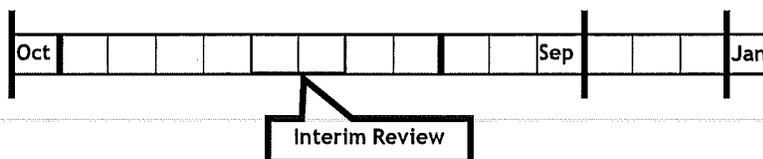
- ❑ Employees need to complete a self-assessment at the end of the rating cycle
- ❑ To facilitate completing the self-assessment, employees are encouraged to maintain a record of their performance throughout the appraisal period
- ❑ Examples:
  - ✓ Weekly Status Report
  - ✓ Outlook's Task List
  - ✓ Notebook
- ❑ Employees should also complete a self-assessment as part of the Interim Review process - good practice



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## INTERIM REVIEW

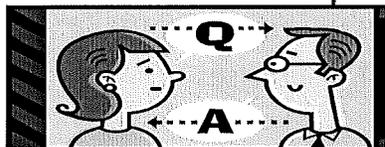
- ❑ An interim performance review is required at least once during the performance management cycle
- ❑ Check on progress towards objectives, make necessary adjustments
- ❑ Provides an opportunity for feedback so the employee has the direction to achieve the objectives
- ❑ Documented in the PAA



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## CONTINUING PERFORMANCE DISCUSSIONS

- ❑ Recurring:
  - ✓ Revisit performance expectations
  - ✓ Check progress
- ❑ Formal or informal
- ❑ Establish the relationship and ensure framework for the discussion is in place
- ❑ Ease the process in the event difficult conversation is required



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## FEEDBACK AIMS & OPPORTUNITIES

### Feedback aims

- To reinforce positive behavior
- To acknowledge contributions and accomplishments
- To anticipate difficulties
- To remedy shortfalls

### Feedback opportunities

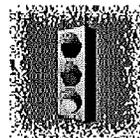
- In the moment
  - For instance ...*
  - ✓ When answering a question
  - ✓ When things go well (or not)
- On a schedule
  - For instance ...*
  - ✓ Following completion of a project or task
  - ✓ During required Performance Conversations

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## ADJUSTING A PERFORMANCE PLAN

### Guidelines for changing the performance plan

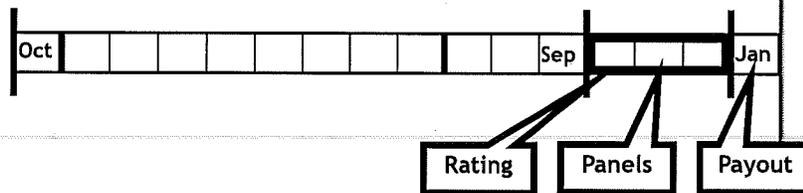
- Performance plans may be changed during the year
- Objectives, contributing factors, and weights may be changed together or separately
- The employee should have sufficient time before the end of cycle to work towards a new performance plan
- Best practice: Do not change the performance plan after mid-cycle review
- No surprises



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## RATING AND REWARDING

- ❑ The rating and rewarding phase occurs after the end of the rating cycle
- ❑ Employees complete their self-assessments at the end of the cycle
- ❑ Ratings are done immediately thereafter
- ❑ Pay pool panels meet (Nov-Dec)
- ❑ Once approved by the pay pool manager, final ratings are relayed to the employee during the appraisal conversation
- ❑ Payout is effective on the first full pay period in January



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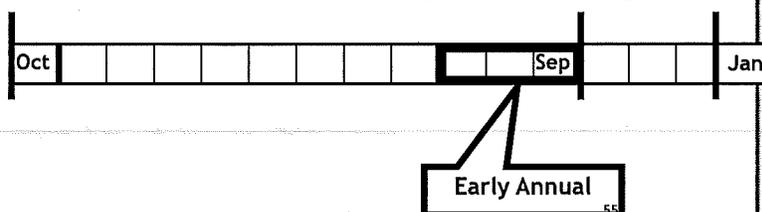
## RATING RECOMMENDATIONS VS. FINAL RATING

- ❑ The supervisor *recommends* the rating, number of shares, and payout distribution
  - ✓ Based on the job objective rating, adjustments due to contributing factors, weighting
- ❑ The higher level reviewer / senior rater may change the *recommendations*
- ❑ The pay pool panel may change the *recommendations*
- ❑ ***NO rating is final until approved*** by the pay pool manager and/or Performance Review Authority
- ❑ *Recommendations* are not to be shared with employees

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## EARLY ANNUAL RATINGS

- Early Annual Rating:
  - ✓ When the supervisor leaves a supervisory position within 90 days of the end of appraisal period
  - ✓ When the employee is reassigned within NSPS within 90 days of the end of the appraisal period
- Employee participates in pay pool (and payout) if the employee remains
- Refer specific situations to your servicing CPAC

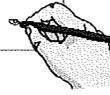


## EMPLOYEE SELF-ASSESSMENT

- Provides an opportunity for the employee to describe their accomplishments relative to performance expectations, including job objectives and associated contributing factors, organizational mission and goals, team goals, etc.
- Input will assist the rating official in evaluating more fully the employee's performance and results of that performance
- Supervisors can talk to their employees to clarify information that the employee provides
  - ✓ Not a required conversation



## WRITING THE SELF-ASSESSMENT (YOU AND YOUR EMPLOYEES)



### When writing your self-assessment:

- ❑ Address each job objectives specifically; remember, you will be rated on each objective individually
- ❑ Highlight your most significant achievements for the year, focusing on the results of your work
- ❑ Make the connection between what was done and why that should matter to the organization
- ❑ Show how your performance matches the Benchmark Descriptors for selected Contributing Factors
- ❑ Note challenges that were encountered and how they were handled

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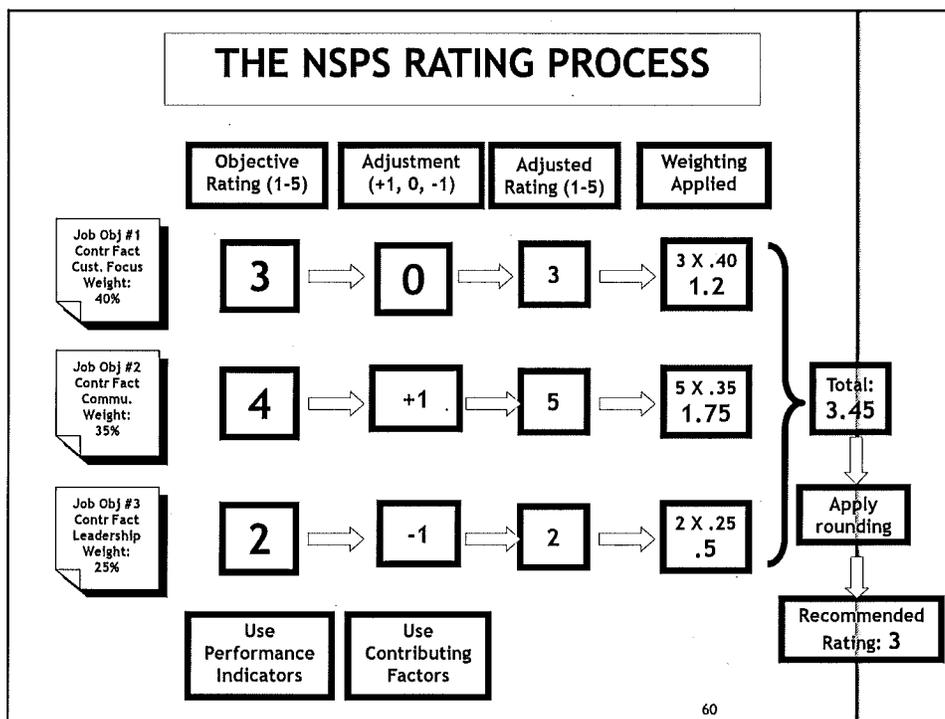
## SUPERVISORY ASSESSMENT

- ❑ Rating official prepares an assessment for each employee
  - ✓ Describes the employee's accomplishments and contributions to the organization relative to his or her performance expectations
  - ✓ Includes an assessment of job objectives and associated contributing factors
- ❑ Input for the supervisor assessment can come from:
  - ✓ The employee's self-assessment
  - ✓ Closeout assessments from other supervisors
- ❑ Consider the employee-written accomplishments, but put them into perspective, considering the work of the entire organization, what the whole group did, who did what
  - ✓ Don't copy and paste from the employee's write-up
- ❑ Army values are listed on the performance appraisal form and rating officials need to document positive aspects of the employee's support of these values

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NSPS RATING LEVELS		
Standard rating levels used in DoD		
Rating Level	Level of Performance	Performance Description
Level 5	Role Model	Almost always meets the standards described by the Role Model benchmarks
Level 4	Exceeds Expectations	Almost always meets the standards described by the Valued Performance benchmarks and, typically, but less than almost always meets the standards described by the Role Model benchmarks
Level 3	Valued Performance	Almost always meets the standards described by the Valued Performance benchmarks
Level 2	Fair	Almost always meets the Valued Performance benchmarks, but only as a result of guidance and assistance considerably above that expected at the Valued Performance level
Level 1	Unsuccessful	Performs below Level 2, or fails a Standard Performance Factor in the performance of a single assignment where such failure has a significant negative impact on accomplishment of the mission or where a single failure to perform could result in death, injury, breach of security, or great monetary loss

*Cultural Change* 59



## ROUNDING TO DETERMINE THE RECOMMENDED RATING

- Weight the adjusted ratings and total them
- Round the result as shown below:

Average Rating Range	Rating of Record	Rating of Record Descriptor
4.51 to 5.00	5	Role Model
3.51 to 4.50	4	Exceeds Expectations
2.51 to 3.50	3	Valued Performer
2.00 to 2.50	2	Fair
1 on any objective	1	Unacceptable

- Result is the recommended rating

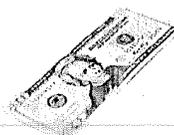
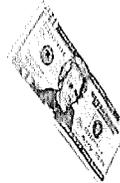
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## REWARDING EMPLOYEE PERFORMANCE

Performance Rating	Employees are eligible to receive:
5	• Performance pay in form of bonus
4	• Rate range adjustments
3	• Local market supplement increases
2	• Rate range adjustments • Local market supplement increases
1	• No increases

## PERFORMANCE PAYOUT

- Performance payout may be paid
  - ✓ Bonus
- Considerations in deciding the d
  - ✓ Position in pay band
  - ✓ Motivational effect
  - ✓ Salary and work in comparison with colleagues
  - ✓ Competitive market comparisor



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## RATING AND PAY POOL HIERARCHY

- Supervisor recommends:
  - ✓ Performance rating
  - ✓ Number of shares
- Higher level reviewer:
  - ✓ Reviews supervisor's recommendations, changes as appropriate
- Pay Pool Panel:
  - ✓ Reconciles ratings, shares, and distribution within the pay pool; changes as appropriate
- Pay Pool Manager:
  - ✓ Makes final decisions on rating of record, number of shares, and distribution
- Supervisor conveys final rating, shares, and distribution to employees
  - ✓ After the pay pool manager is done

*How do we ensure consistency and fairness?*

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## HIGHER LEVEL REVIEWER

- ❑ Normally the immediate supervisor of the rating official
- ❑ Provides final approval of the Performance Plan
- ❑ Role during rating:
  - ✓ Reviews rating official recommendations and changes as appropriate (rating, and shares)
  - ✓ Provides bullet comments on the employee's potential to perform different and/or higher level work (documented in Part Q - the Component Use section - of the Performance Appraisal Form)

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## ANNUAL APPRAISAL CONVERSATION

### Preparation

- ❑ Review comments from Pay Pool Panel (if any) and incorporate them into the final written appraisal
- ❑ Plan your feedback, particularly if the rating is below Valued Performance or otherwise not what the employee is expecting

### Tips

- ❑ There should be no surprises; all concerned want the appraisal to be fair
- ❑ If the rating of record is below Valued Performance, it is important to discuss next steps immediately
- ❑ Do not criticize or blame the pay pool panel or senior rater for lowering a rating

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## RECONSIDERATIONS

**Employees can challenge:**

Their individual job objective ratings as well as their overall final rating of record



**Employees cannot challenge:**

Number of shares  
Value of shares  
Distribution of payout  
Recommended Rating of Record  
Interim Reviews  
Closeout Assessments

**Exercise 1:** Refer to Chart titled "Career Groups and Pay Schedules." Find the correct career group and pay schedule for the following occupations.

OCCUPATION	CG/PS	OCCUPATION	CG/PS
BIOLOGIST		BUDGET TECH	
SUPV CHEMIST		SECRETARY	
ENGINEERING TECH		GUARD	
AUDITOR		NURSE	
SUPV HR SPECIALIST		CRIMINAL INVESTIGATOR	

