



DEPARTMENT OF THE NAVY
NAVAL SERVICE TRAINING COMMAND
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NSTCNOTE 12000
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30 Mar 16

NSTC NOTICE 12000

From: Commander, Naval Service Training Command

Subj: NAVAL SERVICE TRAINING COMMAND FY16 INTERIM PERFORMANCE
MANAGEMENT SYSTEM BUSINESS RULES

Ref: (a) DON memo, Interim Performance Management System for
Non-Bargaining Unit Positions from the NSPS to GS, of
10 September 10
(b) Naval Education and Training Command Headquarters
Fiscal Year 2016 Interim Performance Management
System Business Rules
(c) DON Handbook Version 2.0, DON Interim Performance
Management System Covering Positions Transitioning to
GS from NSPS, of September 10
(d) DON memo, addressing the Supervisory Performance
Management Critical Element, of 3 December 10
(e) DoD memo, Addressing the Classified Information
Critical Element, of 12 June 13
(f) DON HR Guide No. 430-02 of October 2005 (Guidance on
Implementing Performance Management Programs)
(g) OCHR memo, Supervisory Performance Element for
Assessing Innovation in the Workforce, of 26 Aug 15
(h) NSTCINST 12771.1

Encl: (1) [Interim Performance Management System \(IPMS\) Annual
Appraisal Guidelines](#)
(2) [Interim Performance Management System \(IPMS\)
Performance Awards Review Board \(PARB\) Guidelines](#)

1. Purpose. To provide specific Interim Performance Management System (IPMS) guidance for Naval Service Training Command (NSTC) non-bargaining unit employees in conjunction with references (a) through (h), utilizing enclosures (1) and (2).

2. Background. For the Fiscal Year 2011 (FY11) performance cycle, the Department of the Navy (DON) granted Echelon I and II commands the flexibility to delink from the prescribed framework of the Interim Performance Management guidance. Reference (a) allowed modifications to the recognition and reward process. Naval Education and Training Command (NETC) granted Echelon III commands the ability to develop a process for their activities

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that adheres to the requirements in references (a) through (h). This process meets both NETC and DON requirements under IPMS.

3. Policy and Objectives. The goal of the DON IPMS is to involve employees in improving organizational effectiveness by integrating processes that:

a. Communicate and clarify mission and organizational goals and objectives;

b. Identify employee, team, and supervisory accountability for the accomplishment of goals and objectives, as identified in critical elements on performance plans;

c. Involve employees in improving organizational effectiveness and in assessing employee, team, and organizational effectiveness and performance;

d. Involve employees and their representatives, if appropriate, in program development and implementation;

e. Encourage employees to take responsibility to continuously improve, support team endeavors, develop professionally and perform at their full potential; and

f. Use appropriate measures of performance to recognize and reward employees and use the results of a performance appraisal as a basis for appropriate personnel actions.

(1) Employees given an acceptable rating of record will be considered eligible for an award.

(2) Eligibility does not guarantee the employee will be recommended for or receive an award, however all employees receiving the same rating of record will receive the same award allocation percentage.

(3) Eligible employees who are on the command rolls at the time DON issues award guidance may receive a performance-based payout. Employees who transfer within the NETC domain during the performance cycle may receive a performance based award, which is coordinated between N8 units of the gaining and losing commands.

4. Performance Appraisals. Annual performance appraisals will be conducted in accordance with enclosure (1).

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5. Performance Awards Review Board (PARB). PARBs will be conducted to review performance-based award recommendations for employees under the IPMS in accordance with enclosure (2).

6. Awards Funding

a. Sound business practices will be used in recommending and making final decisions on awards, such as:

(1) Availability of funds/fiscal soundness; and,

(2) Overall contribution to the mission of the organization.

b. In accordance with reference (b), guidance regarding award allocations and processes is contingent upon the receipt of an authorization to execute FY17 awards based on FY16 performance. The monetary awards budget is normally restricted to a spending limit of less than or equal to one percent of total aggregate salaries. Time off award hours and Quality Step Increases (QSIs) available for distribution are contingent upon receipt of authorization from NETC. The ability to distribute awards of any type is contingent upon official authorization to do so.

c. Total aggregate salaries will be calculated as the base salary and any applicable locality pay for those employees on board at the end of the previous fiscal year (30 September 2015) and executed with current adjusted salaries (base + locality) as of 30 September 2016 in order to allow for Within Grade Increases (WGI), promotions, or other changes in salary received during the rating period.

d. Pending the receipt of authorization to distribute monetary awards, the award cap includes funding for both performance awards (i.e., rating-based awards) given at the end of the cycle, contribution awards (i.e., "On-the-Spot" and Special Act awards), and Civilian of the Quarter/Year awards given throughout the year. Promotions and WGIs are excluded. Given the current fiscal uncertainty, NETC has recommended that award allocations be distributed as performance-based awards.

e. Guidance for submitting contribution awards to use any remaining FY16 award funds available will be provided prior to the end of the fiscal year.

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f. Due to funding concerns and in accordance with reference (b), NETC has directed its subordinate commands to reduce performance award amounts to reflect the amount of compensation received during the appraisal period for job related contribution awards received. The monetary value of Time Off Awards, QSIs, and Civilian of the Quarter/Year Awards are not subtracted from performance award amounts.

g. Award recommendation levels for the PARB will be in accordance with reference (b) and enclosure (2).

7. Responsibilities

a. Commanding Officers/Activity Directors

(1) Adhere to the requirements in references (a) and (b) and implement this instruction.

(2) Ensure performance standards are set and performance appraisals are completed on time and in accordance with references (a) through (g) for employees whose award recommendations are reviewed by the PARB.

b. Senior Rating Official (SRO)

(1) The SRO approves employee performance plans, determines concurrence/non-concurrence with the Rating Official's (RO) recommended ratings no later than 30 days after the end of the rating cycle, and, if recommended for an award, submits the completed appraisal and recommended award scores to the respective PARB via the TWMS IPMS Module.

(2) The SRO reviews established performance plans from ROs and ensures there are no more than three critical elements and that the critical elements have only one performance standard. For supervisors, ensure one critical element is Supervisory and is assigned a supervisory performance standard, in accordance with the guidance in enclosure (1). Ensure one non-supervisory performance standard is assigned for the remaining two critical elements for supervisors. In compliance with reference (e), for employees that are responsible for handling classified information, ensure one critical element addresses this requirement, in accordance with the guidance in enclosure (1). Return critical elements to ROs for correction if requirements are not met in accordance with references (a) and (b).

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(3) The SRO will attempt to resolve any disagreements with the RO's rating and award recommendations. If agreement cannot be reached, the SRO has the final decision on the performance rating and the award recommendation, and the SRO will justify reasons for non-concurrence on the Annual Performance Rating section as applicable.

(4) If the RO gives a rating of "unacceptable," ensure the unacceptable performance has been properly documented in writing and corrective actions have been considered in accordance with references (b) and (c) and enclosure (1). If documentation of unacceptable performance is not provided, the SRO must not approve the unacceptable rating.

c. Rating Official (RO)

(1) ROs will normally be an employee's first level supervisor. In accordance with enclosure (1), ROs will develop each employee's performance plan, with employee input to the extent possible, forward employee performance plans to the SRO for approval, and conduct required progress reviews and assessments.

(2) The RO must indicate on the employee's performance plan that the employee's Position Description (PD) is certified and accurate.

(3) For annual assessments, the RO will recommend a rating of acceptable or unacceptable and utilize enclosure (1) to determine the employee's Career Stage Performance Awards Standard.

(4) ROs will notify employees of their rating of record within 75 days of the end of the appraisal period (14 December). The RO may discuss only the rating of record (acceptable/unacceptable) with employees prior to awards being approved by NETC. ROs should brief employees on approved award amounts only after receiving authorization to do so.

(5) The RO will utilize references (a) through (g) and enclosure (1) to conduct annual appraisals for the PARB. Specific responsibilities of the RO can be found in enclosure (1).

(6) The RO will address unacceptable performance as follows:

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(a) Contact an Employee Relations Specialist in the NETC Human Resources Office (HRO) Labor/Employee Relations Department, commercial phone: 850-452-8069 DSN: 459-8069, for assistance if at any time during the appraisal period an employee's performance is determined to be unacceptable. Follow all guidelines and requirements set forth by the NETC HRO Employee Relations Specialist prior to notifying employee of unacceptable performance.

(b) The RO is required to notify the employee at any time throughout the performance period if his/her performance is unacceptable. Proper documentation must be provided if an RO gives an employee a rating of unacceptable. Documentation must include written notice to the employee identifying the critical element(s) determined to be unacceptable, the performance requirements and "acceptable" standard that must be attained, and a reasonable opportunity to demonstrate "acceptable" performance. If the unacceptable performance persists, corrective action should be taken in accordance with references (b) and (c) and enclosure (1).

d. Employees

(1) Employees are required to provide narrative self-assessments of their accomplishments for each of their critical elements on the performance plan no later than 15 days after the end of the appraisal period, in accordance with reference (a) and (b).

(2) Employees may address concerns relating to aspects of the performance appraisal process through the administrative grievance procedure in accordance with reference (h) and the timeline in enclosure (1). The substance of an employee's critical elements are not grievable, however failure to inform employees of critical elements and standards within the required timeframe is grievable. Ratings on individual elements (acceptable/unacceptable) and the summary level rating (acceptable/unacceptable) are grievable. The award recommendation score, not receiving an award, the amount of an award, and/or the type of award given are not grievable. Detailed information on guidance regarding appealable and grievable performance actions can be found in reference (f).

e. Command/Activity Performance Management Coordinator

(1) Track the completion of appraisals and ensure they are completed on time.

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(2) Provide PARB Administrator with completed appraisals and award recommendations for PARB.

(3) In conjunction with PARB Administrator, establish and maintain new employee, new RO, and new SRO indoctrination process to include access to regulations, performance management requirements and mandatory training (e.g., locations and dates).

(4) In conjunction with PARB Administrator, coordinate with NSTC N1 on matters related to the IPMS, including disseminating IPMS information and additional requirements as needed.

(5) The Command/Activity Performance Management Coordinator may also serve as the Command/Activity PARB Administrator.

f. Performance Awards Review Board (PARB)

(1) The PARB will consist of a PARB Chair, a minimum of one member (all supervisors of civilian IPMS employees), and one non-voting administrator, as outlined in enclosure (2).

(2) To ensure fairness, sound business practices, and adherence to Merit System Principles across the organization, the PARB will review and approve, disapprove, or modify award recommendations. The PARB will record final award decisions and provide the rationale for any changes to submitted recommendations.

(3) PARBs will adhere to the guidance set forth in enclosure (2).

g. PARB Chair

(1) The PARB Chair will conduct the PARB in accordance with enclosure (2).

(2) The PARB Chair is responsible for identifying the member(s) who will serve on the PARB, the PARB Administrator, and the Command/Activity Performance Management Coordinator. PARB Chairs may also assign a backup PARB Administrator at their discretion.

(3) The PARB Chair will ensure the review of all award recommendations are completed on time, between 24 October 2016 and 1 November 2016.

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(4) The PARB Chair will submit completed PARB results to the NSTC N1 PARB Administrative Coordinator. Results will then be forwarded by the Administrative Coordinator to Commander, NSTC, via the NSTC Chief of Staff, for approval. Results will be forwarded to NETC for approval prior to being sent to the respective Human Resources Servicing Centers (HRSCs) for the processing of awards, in accordance with reference (b).

h. PARB Administrator

(1) Ensure all materials, implementing issuances, policies, procedures, reference materials, and ratings of record are available for each applicable PARB.

(2) Provide administrative and logistical support to the PARB.

(3) Assist the PARB Chair with conducting PARB meetings.

(4) During PARB convenings, as required, communicate to the SRO or RO for PARB revised ratings to provide the opportunity for further justification before a PARB change becomes final and identify the 24 hour timeframe in which a response is due from the RO or SRO.

(5) Input PARB decisions into a tracking tool for record keeping and submission to the NSTC PARB Administrative Coordinator.

(6) Perform data analysis reporting as needed.

(7) Provide records management of all PARB deliberations on ratings of record.

(8) Ensure that records are destroyed upon completion of PARB, as required.

(9) Identify to the NSTC PARB Administrative Coordinator all civilian employees recommended for consideration of an annual award.

(10) Coordinate with the NSTC PARB Administrative Coordinator to identify all ROs and SROs associated with assigned PARBs.

(11) Collect the final IPMS Reward Notification Forms for the assigned PARB and ensure all ratings are provided.

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(12) Prepare the PARB results documentation for the PARB Chair.

(13) Coordinate the signing of required non-disclosure agreements.

i. NSTC PARB Administrative Coordinator

(1) Provide logistic support to PARB Data Administrators to ensure accuracy of employee, RO, and SRO data.

(2) Coordinate with PARB Data Administrators to record all civilian employees recommended for consideration of an annual award.

(3) Perform data tracking and analysis on PARB results, as required.

(4) Upon completion of PARBs, submit results to Commander, NSTC via NSTC Chief of Staff for review and approval. Submit results to NETC prior to sending to the HRSCs in accordance with reference (b).

(5) Complete all NETC rating and award reporting requirements.

(6) Advise PARB Administrators of job related awards previously awarded to employees throughout the performance period.

j. NSTC Performance Management Coordinator (N1)

(1) Provide NETC authorized awards budget to NSTC N8 to ensure proper allocation of funds.

(2) Ensure approved awards are submitted to HRO.

(3) Coordinate the establishment of accurate hierarchies for NSTC employees with the HRSCs.

(4) Coordinate the establishment and disestablishment of MyWorkplace accounts when ROs and SROs transfer to and from NSTC activities.

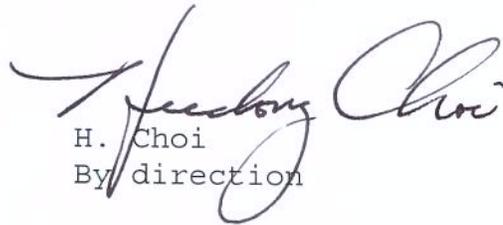
(5) Coordinate with and provide information to PARB Data Administrators on all associated SROs, ROs, and employees,

(5) Coordinates with and provide information to PARB Data Administrators on all associated SROs, ROs, and employees, including identification of any special circumstance employees as defined in reference (a);

(6) Monitors, tracks, and maintains a database of all personnel associated with the Performance Management process, including military RO/SRO rotations, new arrivals, and civilian separations and accessions; and

(7) Performs the responsibilities in paragraph 7.e for NSTC.

k. NSTC Comptroller (N8): Ensures adequate funding is allocated for the performance and contribution awards budget to be funded at the aggregate level of approximately one percent of total adjusted salaries (base salary and any applicable locality pay) for employees on board the last day of the previous rating cycle.



H. Choi
By direction

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**Interim Performance Management System Annual Appraisal
Guidelines**

The purpose of this document is to outline the Annual Appraisal Process for the DON IPMS. The following sections are included to assist in completing annual appraisals:

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For more detailed information on the requirements of the IPMS, refer to the DON Handbook Version 2.0, DON Interim Performance Management System Covering Positions Transitioning to GS from NSPS, of Sep 10.

Performance plans, appraisals and reward recommendations should be completed using the Total Workforce Management System (TWMS) IPMS Module, <https://mytwms.navy.mil/>.

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Section 1: Rating Official Responsibilities

1. Rating Officials (ROs) must meet with employees for all of the events listed below:

- a. Establishing the performance plan;
- b. Progress review (does not require SRO review);
- c. Additional progress reviews that may be required;
- d. Close-out assessment;
- e. Annual appraisal and awards discussion.

2. In addition to the mandatory meetings, a formal counseling session is required as soon as practicable when an employee's performance is assessed as unacceptable on one or more critical element(s). Documentation for these counseling sessions can vary. Contact your HRO Employee Relations Specialist for assistance if at any time during the appraisal period an employee's performance is determined to be unacceptable and follow all guidelines and requirements set forth by HRO. A rating of record of "Unacceptable" may not be assigned unless all HRO provided requirements have been met.

3. When unable to perform the required duties as a RO, the next level supervisor will perform the RO duties and responsibilities.

4. Performance Plans must be completed and approved in Parts I and II of the TWMS IPMS Module no later than 30 days after the beginning of a rating cycle, within 30 days after permanent assignment to a new position or within 30 days after an employee is assigned, detailed, temporarily promoted or for a reassignment that is expected to last more than 120 days. "Approved" entails approval and signature by the RO, SRO, and the employee.

5. The performance plan consists of "career stages." Career stages and their associated mandatory performance standards are provided in reference (a) Appendix C. Performance standards are used to determine if an employee's performance on a critical element is acceptable or unacceptable.

a. NSTC commands use performance patterns based on series and grade to determine career stages for positions. However,

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ROs may determine that a particular position or particular employee is at a different career stage than that shown in section (3) and (4) of this document but will need to provide amplifying justification. Only one career stage may be used to cover all critical elements on a performance plan.

b. The performance standards associated with the career stage contained in reference (a), Appendix C must be documented in Part I of the TWMS IPMS Module performance plan. If a performance plan contains a supervisory critical element, then the supervisory performance standard must be documented in the approved performance plan.

c. Performance standards are defined for three stages in the advancement pattern of a position or career – entry, journey and expert, assigned in accordance with sections (3) and (4).

d. After the PARB's final award decisions are approved by NETC and the distribution of awards is authorized, the RO (or SRO if the RO is not available) will communicate the award scores, award amount (if any), and if a QSI was awarded to the employee. The PARB Administrator will provide a summary document to be used for this discussion.

e. To be eligible for a performance award, an employee must complete the minimum 90 days under the approved performance plan in the same position. Per reference (b), When a rating of record cannot be prepared at the time specified, the appraisal period may be extended to ensure the minimum 90-day period limit is met as long as the extension does not interfere with the ability to manage any part of the rating and rewarding process for the employee's organization. This extension must be approved by the SRO, in consultation with the PARB Chair. A rating of record should be prepared as soon as practicable once the necessary conditions have been met. Additional provisions for extensions and exceptions to the minimum 90-day performance period and specially situated employees (recalled Reserve personnel) are covered under reference (a). Ensure performance plans are completed for each non-bargaining unit employee and forwarded for award consideration, if eligible, to the respective PARB.

6. One mid-year progress review is required, at which time employees shall be informed of how they are progressing in regard to their critical elements. Progress reviews shall be documented in Part IV of the TWMS IPMS Module and signatures indicating completion of the progress review should be

documented in Part VIII. SRO review and approval is not required for progress reviews.

7. Regardless of the duration of the detail or temporary assignment, the permanent supervisor will be responsible for completing the recommended rating of record, taking into account recommendations made by the temporary supervisor. Award recommendations will be submitted to the Performance Awards Review Board (PARB) based on the employee's official permanent position of record.

8. ROs must consider employee self-assessments and prepare a written assessment of employee performance and contribution to mission no later than 30 days after the end of the appraisal period. Written assessments will be used to justify ratings of record to the SRO. Annual assessments and ratings should be completed in Parts V and VII of the TWMS IPMS Module with signatures documented in Part VIII.

9. Close-out ratings must be conducted using Part VI of the TWMS IPMS Module when:

a. An employee completes a detail or temporary promotion of more than 120 days under established critical elements. This requirement also applies to employees on detail from another activity or agency for more than 120 days.

b. An employee changes positions, is promoted, or moves to a new agency or activity after being under established critical elements for a minimum of 90 days.

c. The rating official leaves the position after the employee is under established critical elements for a minimum of 90 days. In this situation, the employee may continue under the same performance plan unless changed by the new rating official.

10. Close-out ratings may become the rating of record if there is insufficient time (fewer than 90 days) to establish a new performance plan and rate the covered employee in the newly assigned position before the end of the appraisal period. Due to frequent movement of military personnel, all military ROs transferring shall complete a close-out assessment and transfer the assessment to a DD/SA or to another senior military or civilian official to be retained until the new replacement reports to the activity.

Section 2: Guidance on Determining Career Stage and Performance Standards to be Used

1. Non-supervisory positions

a. Refer to section (3) of this document to determine whether the occupational work series of the employee's position is classified as Professional and Administrative Work, Technician Work, or Clerical Work.

b. Determine the GS grade level of the position.

c. In conjunction with the type of work identified by the series, utilize section (4) of this document to identify which of the three career stages the employee is in: Entry, Journey, or Expert.

d. After determining the type of work and the career stage, refer to the Performance Standards in section (5) for non-supervisory critical elements.

e. For each critical element in a non-supervisor employee's performance plan, determine whether the employee's performance in completing the critical element is "acceptable" or "unacceptable" by comparing the employee's performance to the Performance Standards in section (5) for the appropriate career stage (Entry, Journey, or Expert).

2. Supervisory positions

a. If an employee has supervisory responsibilities (as indicated by having "Supervisor" or "Manager" in the title of his/her position), one of the three critical elements required must be the critical element in section (6). The supervisor's performance is appraised using the Supervisor Career Stage Performance Standards, section (5). For employees who supervise employees but do not have "Supervisor" or "Manager" in their position title, the Supervisory Critical Element is optional.

b. In accordance with reference (g), the supervisory critical element for supervisors at the GS-13 level and above must include, "Effectively develop and champion innovative ideas to improve the organization and create an environment that fosters innovation."

c. Refer to section (6) for the supervisor's critical elements.

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d. Compare the employee's performance of the required DON/NETC Standard Supervisory Critical Element with the "Supervisory" Career Stage found in section (6). For the remaining two critical elements, determine the career stage of the employee (Journey or Expert) as detailed in paragraph (1) above, and use the Supervisor Career Stage Performance Standard to determine whether performance of the critical element is "acceptable" or "unacceptable."

3. ROs may recommend a reward level for each critical element if an employee has an overall rating of record of "Acceptable." To determine the appropriate reward level to recommend, the RO should compare the employee's performance to the appropriate career stage Performance Awards Standard in section (8). The reward score given for each critical element should be the numeric value, 1 through 3, corresponding to the level of performance at which the employee completed the critical element.

4. Example

- a. A non-supervisory GS-0326-6 Administrative Assistant.
- b. Series determination (section (3)): 0326 → CLERICAL WORK
- c. GS grade level (section (4)): GS-6 → JOURNEY
- d. Performance Standard used (section (5)): Performance Standard for Non-Supervisors → Career Stage: Journey
- e. Rating Official compares the employee's performance to the Performance Standard and determines the employee meets the "acceptable" element level.
- f. The Rating Official then uses the journey level of the Career Stage Performance Award Standard to determine the Reward Level to recommend for each of the employee's three critical elements.

Section 3: NSTC Position Series Sorted by Work Type

1. Supervisory

Of the 3 Critical Elements 1 must be the DON/NETC Standard Supervisory Critical Element if "supervisor" or "manager" is in the title of the respective position. The other 2 critical elements should be rated against the appropriate career stage, based on series and grade. If a position supervises but does not have "supervisory" or "manager" in its title, the supervisory critical element is optional - but if used, must be the standard supervisory critical element provided in reference (b).

2. Professional and Administrative Work

GS-09* -- trainee/entry; target level/journey

SERIES

00018 Safety Mgr/Specialist
00080 Security Specialist
00301 Protocol Officer/Operations Mgr/DAPA/Events Coordination/
Training Scheduling Specialist/Area Manager
00341 Admin Officer
00343 Program Analyst/Management Analyst/
00501 Financial Mgmt Specialist
00505 Financial Mgr
00905 Attorney
00950 Paralegal Specialist
01035 Public Affairs Specialist
01051 Music Specialist
01071 AV Production Specialist
01102 Procurement Analyst
01515 Ops Research Analyst
01530 Statistician
01601 Facilities Support
01640 Facilities Mgmt
01701 Instructional Training Specialist
01712 Training Instructor
01730 Education Research
01750 Instructional System
01801 Investigator

02001 Supply Specialist
02003 Supply Mgmt
02210 Information Technology

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3. Technician Work

GS-09* -- trainee/entry; target level/journey

SERIES

00086 Security Assistant
00335 Computer Assistant
00342 Support Services
00344 Program Assistant
00503 Financial Technician
01702 Education/Training Technician
01801 Investigative Operations Assistant
02005 Supply Technician

4. Clerical Work

GS-07* 00326 normally not graded above the GS-7 level

SERIES

00203 Human Resources Assistant
00303 Executive Ass't/Administrative Ass't/Public Affairs Ass't/
00318 Secretary
00326 Office Automation
01802 Investigative Operations Assistant

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Section 4: Career Stage Crosswalk

1. The performance standards 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.

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

a. **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).

b. **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, e.g., Human Resources Specialist (0201), Management and Program Analyst (0343), and Technical Writer (1083).

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.*

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3. **Technician work** is 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, e.g., Safety Technician (0019), Medical Technician (0645), and Dental Assistant (0681).

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 entry or journey depending on the position and career progression.*

4. **Clerical work** typically 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).

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

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

Section 5: Performance Standards for Non-Supervisors

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

Career Stage	Element Level	Performance Standard
Entry	Acceptable	<p>With guidance and assistance:</p> <p>Accomplished the stated critical element, achieving desired results that were sound, accurate, and thorough or documented; met applicable authorities, standards, policies, procedures, and guidelines.</p> <p>Planned, organized, prioritized, and scheduled own work activities to deliver the critical element in a timely and effective manner.</p> <p>Demonstrated ability to work well with others.</p>
Entry	Unacceptable	<p>Though guidance was provided:</p> <p>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</p> <p>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</p> <p>Demonstrated poor cooperation or inability to work with others.</p>

Career Stage	Element Level	Performance Standard
Journey	Acceptable	<p>Completed the stated critical element by achieving results that met applicable standards, policies, procedures, and guidelines.</p> <p>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.</p> <p>Demonstrated ability to work well with others.</p>
Journey	Unacceptable	<p>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</p> <p>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</p> <p>Demonstrated poor cooperation or inability to work with others.</p>

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Career Stage	Element Level	Performance Standard
Expert	Acceptable	<p>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.</p> <p>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.</p> <p>Demonstrated high standards of professional conduct and represented the organization or work unit effectively.</p>
Expert	Unacceptable	<p>Failed to achieve all or part of the stated critical element; or</p> <p>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</p> <p>Demonstrated poor cooperation or inability to work with others.</p>

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Section 6: Supervisor Career Stage Performance Standards

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.

Career Stage	Element Level	Performance Standard
Journey	Acceptable	<p>Completed the stated critical element by achieving results that met applicable standards, policies, procedures, and guidelines.</p> <p>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.</p> <p>Demonstrated ability to work well with others.</p>
Journey	Unacceptable	<p>Failed to achieve all or part of the stated critical element; or</p> <p>Failed to provide products that were sound, accurate, thorough and documented, and regularly failed to meet applicable authorities, standards, policies, procedures, and guidelines; or</p> <p>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</p> <p>Demonstrated poor cooperation or inability to work with others.</p>

Career Stage	Element Level	Performance Standard
Expert	Acceptable	<p>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.</p> <p>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.</p> <p>Demonstrated high standards of professional conduct and represented the organization or work unit effectively.</p>
Expert	Unacceptable	<p>Failed to achieve all or part of the stated critical element; or</p> <p>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</p> <p>Demonstrated poor cooperation or inability to work with others.</p>

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Career Stage	Element Level	Performance Standard
Supervisory	Acceptable	<p>Achieved expected results by effectively carrying out established supervisory responsibilities.</p> <p>Demonstrated adequate Equal Employment Opportunity (EEO) and Affirmative Action awareness in areas of supervision and leadership.</p> <p>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.</p>
Supervisory	Unacceptable	<p>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</p> <p>Failed to demonstrate adequate EEO and Affirmative Action awareness in areas of supervision and leadership; or</p> <p>Failed to support the use of Alternative Dispute Resolution to resolve conduct and performance concerns to ensure the workplace provides a harmonious climate; or</p> <p>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.</p>

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Section 7: DON/NETC Standard Supervisory Critical Element

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:

(a) Ensuring compliance with applicable laws, regulations, and policies including Merit System Principles and Prohibited Personnel Practices.

(b) 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.

(c) Providing opportunities for orientation and tools for enabling employees to successfully perform during the probationary period and beyond.

(d) Identifying current and future position requirements to ensure that recruitment is appropriately focused and timely.

(e) 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.

(f) Acting as a good steward of public funds.

(g) Maintaining a safe work environment and promptly addressing allegations of noncompliance.

(h) Ensuring that Equal Employment Opportunity (EEO) principles are adhered to throughout the organization and promptly addressing allegations of discrimination, harassment, and retaliation.

(i) Effectively develop and champion innovative ideas to improve the organization and create an environment that fosters innovation.*

*Include (i) for GS-13 and above only.

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Section 8: NETC Recommended Standard Classified Information
Critical Element

Supervisory Critical Element:

Develop and put in place a sound strategy to ensure employees are safeguarding and protecting classified documents and materials IAW SECNAV 5510.36. Follow procedures contained in local command security instruction(s) to create a proactive approach to safeguard the handling of classified documents and materials within the organization's specific workspace. Revise employee critical elements to reflect the requirement to protect classified information and systems. Annually Review the employee's Individual Development Plan to ensure annual training requirements and certifications are completed IAW SECNAV 5510.36.

Employee Critical Element:

Demonstrate on a daily basis a comprehensive knowledge for safeguarding and protecting classified documents and materials IAW SECNAV 5510.36 and local command instructions. With minimal guidance, ensure classified data/information/material is properly identified, stored and transmitted. Maintain accountability of all materials and immediately report all security breaches to supervisor. By the end of the performance period, complete all annual security training requirement and certifications, and any necessary training reports.

Section 9: Career Stage Performance Awards Standard

The following are the performance awards standards by which performance on individual critical elements is assessed in order to assign a score as described in paragraph 1 of this appendix.

Career Stage	Rewards Score	Performance Awards Standard
Entry	1	<p>With considerable guidance and assistance:</p> <ul style="list-style-type: none"> - Accomplished the stated critical element, achieving desired results that were minimally sound, accurate, and 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.
Entry	2	<p>With minimal guidance and assistance:</p> <ul style="list-style-type: none"> - 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.
Entry	3	<p>Without guidance or assistance:</p> <ul style="list-style-type: none"> - (Measured in addition to Entry 1 and 2 above) - Contributed results beyond what was expected; results were far superior in quality, quantity and/or impact to the stated critical element. - Represented the organization or work unit effectively through model team cooperation.

Career Stage	Rewards Score	Performance Awards Standard
Journey	1	<ul style="list-style-type: none"> - Completed the stated critical element by achieving results that met applicable standards, policies, procedures, and guidelines. - In achieving job objectives 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.
Journey	2	<ul style="list-style-type: none"> - Effectively accomplished the stated critical element by achieving 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 and cooperation.
Journey	3	<ul style="list-style-type: none"> - (Measured in addition to Journey 1 and 2 above) - Achieved outcomes and results that are superior in quality, quantity, timeliness and/or impact to what would ordinarily be expected at this level. - Contributed to organizational performance well beyond what is expected. - Persisted in overcoming obstacles and put forth extra effort to accomplish difficult assignments. - Represented the organization or work unit effectively through model team cooperation.

Career Stage	Rewards Score	Performance Awards Standard
Expert	1	<ul style="list-style-type: none"> - 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.
Expert	2	<p>(Measured in addition to Expert 1 above)</p> <ul style="list-style-type: none"> - Effectively demonstrated performance in each critical element that contributed to the mission and goals of the organization as well as applicable authorities, standards, policies, procedures and guidelines. - Adapted established methods and procedures when needed. - Demonstrated high standards in representing the organization or work unit through teamwork, cooperation and leadership.
Expert	3	<p>-(Measured in addition to Expert 1 and 2 above)</p> <ul style="list-style-type: none"> - Contributed results far superior in quality, quantity and/or impact to the stated critical element. - Accomplishments and outcomes were of such magnitude that they contributed to the organization exceeding its mission goals and objectives for the year. - Created new and innovative methods and processes that contributed significantly to the success of the organization. - Represented the organization or work unit through model teamwork, cooperation and exemplary leadership.

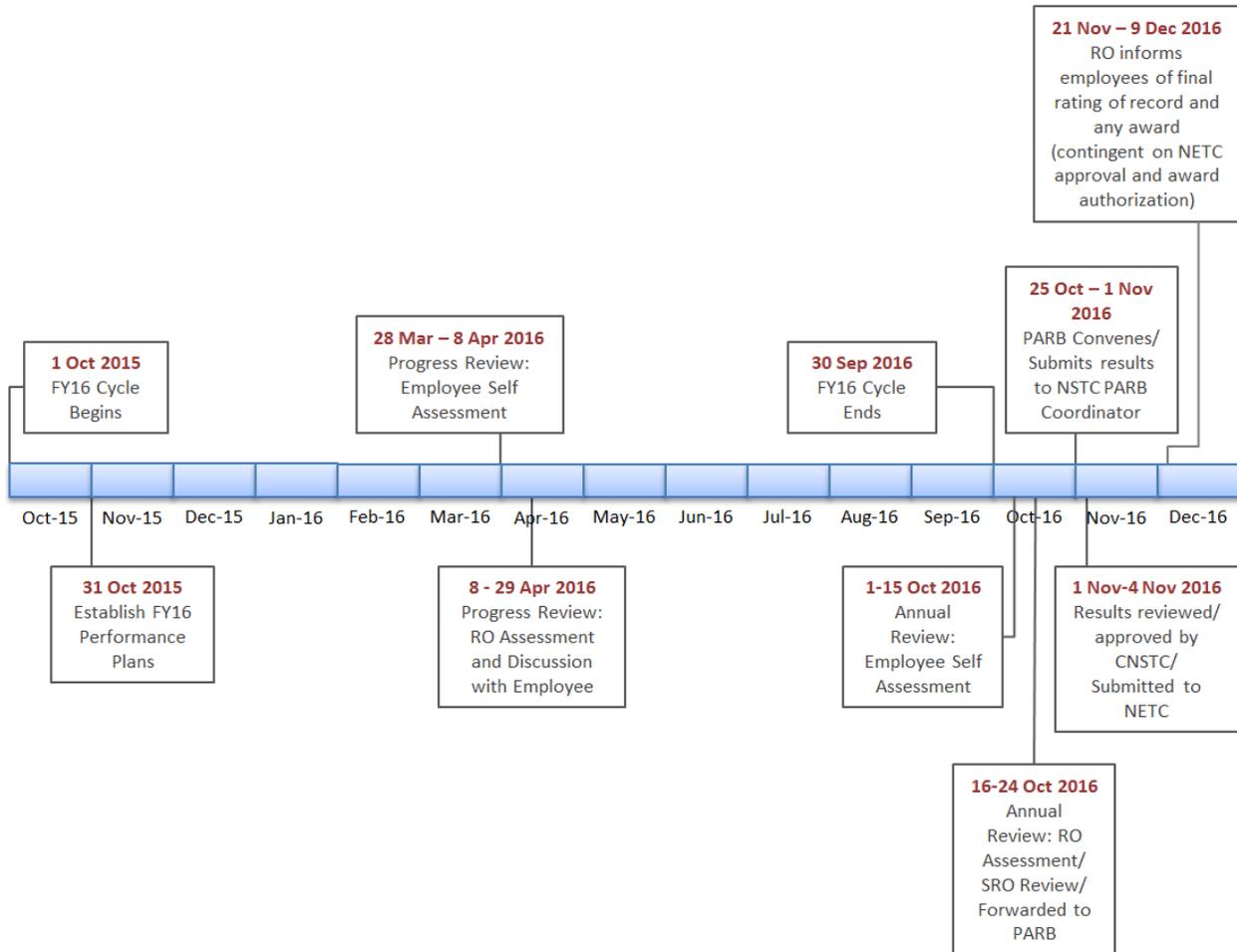
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Career Stage	Rewards Score	Performance Awards Standard
Supervisory	1	<ul style="list-style-type: none"> - Achieved expected results by effectively carrying out established supervisory responsibilities. - Demonstrated adequate EEO and Affirmative Action awareness in areas of supervision and leadership. - 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.
Supervisory	2	<ul style="list-style-type: none"> - Established priorities and coordinated work across projects, programs or people, effectively balancing work demands and anticipating and overcoming difficult obstacles to achieve a timely and positive outcome. - Provided clear guidance to others by translating organizational goals into concrete objectives, plans, priorities, and assignments. - Proactively instituted measures to foster increased productivity and safety. - Developed employee or team performance and/or potential through mentoring and coaching.
Supervisory	3	<ul style="list-style-type: none"> -(Measured in addition to Supervisory 1 and 2 above) - Contributed business results beyond what was expected; results were far superior in quality, quantity, and/or impact to the stated objective. - Supervisory contributions were exemplary and the results achieved went well beyond what was expected in terms of quality, quantity, timeliness and/or impact. - Identified and utilized innovative and/or creative methods that accomplished work and provided long-range support for Human Capital Strategic Goals. Actively sought out information for and engaged in Strategic Workforce Planning for the work

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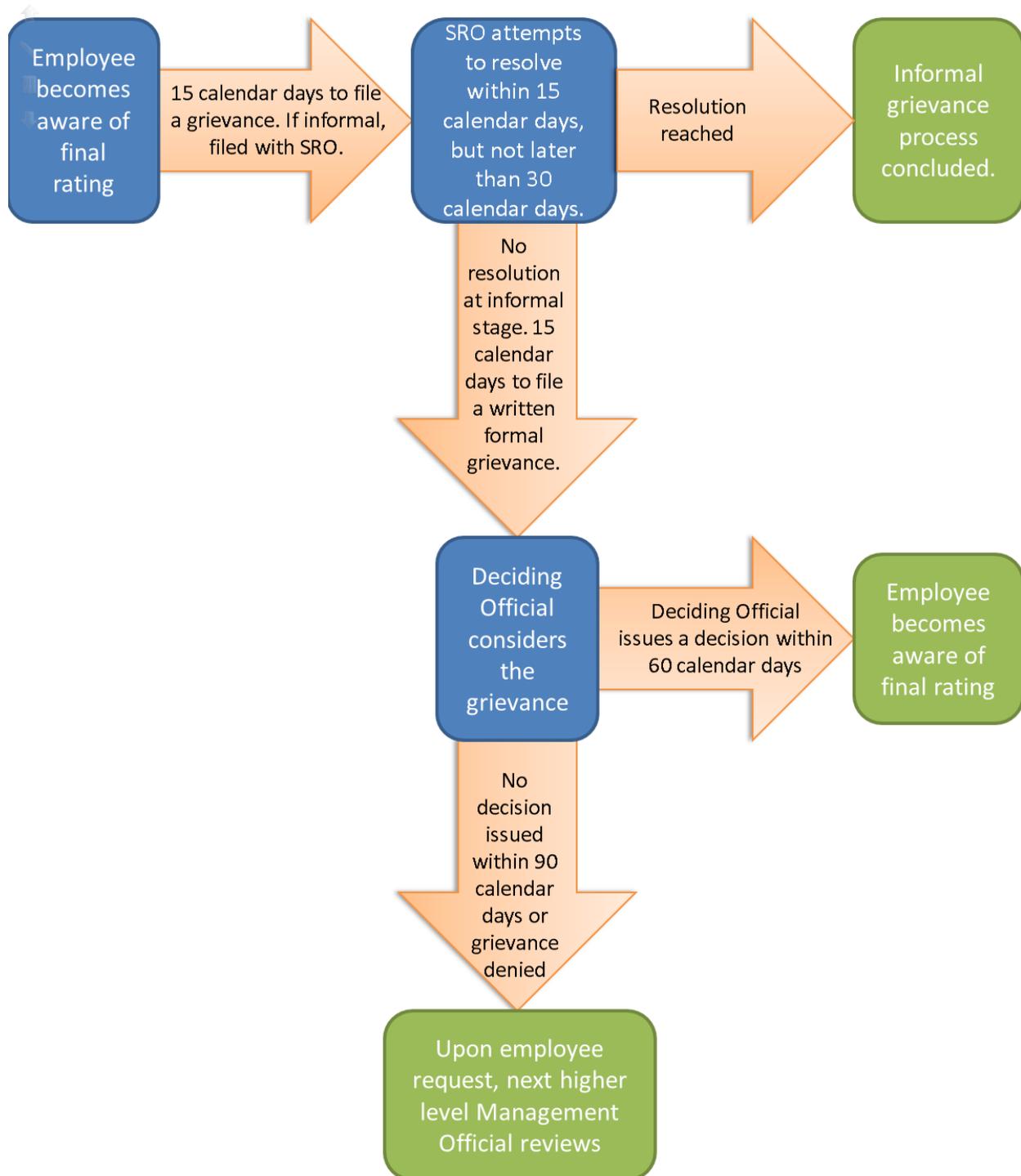
	<p>unit.</p> <ul style="list-style-type: none">- Maintained positive working relationships with employees and labor organizations. Encouraged and fostered organizational use of problem solving and Alternative Dispute Resolution techniques and programs to maintain or improve production and harmony in the workplace. Instituted proactive and innovative measures to foster increased productivity and safety.- Managed and recognized employee performance in keeping with DON policy; provided timely feedback, and held a minimum of two formal performance meetings during the rating cycle; developed employee or team performance and/or potential through mentoring and coaching. Took timely and appropriate corrective action.
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Section 10: NSTC FY16 IPMS Timeline



PARB Chairs may set the dates of PARB convenings, but PARB Results must be submitted to the NSTC PARB Administrative Coordinator no later than 1 November 2016.

Section 11: Administrative Grievance Timeline



Process length is 75 days.

**Interim Performance Management System (IPMS) Performance Awards
Review Board (PARB) Guidelines**

The purpose of this document is to outline the PARB process.
This document contains the following sections to assist in
completing PARB requirements:

1)	Performance Awards Review Board Responsibilities ...	2
2)	Performance Awards Review Board Structure	4
3)	Award Recommendation Levels	6

Section 1: Performance Awards Review Board Responsibilities

1. Upon completion of the annual performance rating cycle, ROs will submit completed appraisals to the PARB for review and approval of recommended performance award scores. Appraisals and award recommendations will be completed using the TWMS IPMS Module.

2. The PARB Chair is responsible for conducting PARB meetings.

3. The PARB will use the following procedures/methods for reviewing and approving or disapproving recommended employee awards.

a. All PARB members shall be provided with a copy of these rules and have signed a Non-disclosure Agreement prior to attending any PARB deliberations.

b. PARB members will be provided copies of all appraisals to be reviewed.

c. The recommended process for reviewing appraisals and award recommendations is as follows:

(1) Each PARB member shall serve as a "briefer" responsible for a block/group of appraisals that they will brief to the rest of the PARB.

(2) The PARB Chair and the PARB Administrator will be responsible for selecting the composition of the block/group of individual appraisal records assigned to each PPP Member.

(3) When reviewing the appraisals, PARB members shall not review employees for whom they are the RO or SRO.

(4) Each briefer should discuss the RO's recommended rating, the SRO's rating if applicable, and their own independent assessment of the employee's appraisal and the recommended award score.

(5) Upon completion of the brief, remaining PARB members will vote to either concur or not with the recommendations provided to the PARB by the briefer. Note that award recommendation levels must be in accordance with section (4) of this document.

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(6) If the PARB does not concur with briefed recommendations, it will use a voting process to recommend to the PARB Chair the award level to assign the employee.

(7) The PARB Chair will make the final determination on the award level to assign.

(8) When RO's/SRO's ratings and recommended award scores are not accepted and/or are modified by the PARB, the PARB Administrator will communicate back to the RO/SRO the revised award score along with the rationale for the modifications. The RO shall then be given the opportunity to provide further justification within 8 workday hours before the change becomes final. While the intent of the PARB is to determine award levels, performance appraisals with an unacceptable ratings will be reviewed to ensure the RO has worked with HRO as required for an unacceptable rating, per enclosure (1) Section 1, paragraph 3.

(9) The PARB Chair will review the RO/SRO additional justification provided and, based on the justification provided:

(a) Determine the final rating of record and award scores, or

(b) Assign back to the PARB for a second review and award level determination.

(10) The final approved PARB award level for each critical element should be entered in Part VII of the performance appraisal form.

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Section 2: Performance Awards Review Board Structure

1. The PARB Chair cannot be an employee within the group of employees being reviewed by the PARB.
2. Civilian PARB members may be employees within the group of employees being reviewed by the PARB but cannot review each other's award recommendations. Military PARB members must review the award recommendations for the civilian PARB members.
3. PARBS will be constructed along organizational lines as outlined in this enclosure and will review and approve all performance awards so as to achieve fairness and adherence to merit system principles.
 - a. The NSTC Great Lakes PARB will review award recommendations for NSTC staff IPMS employees (Unit Identification Code (UIC) 00210) and the Citizenship Development (CD) Director with the NSTC Chief of Staff as the Chair.
 - b. The NSTC Pensacola Programs PARB will review award recommendations for NSTC Officer Development (OD) and NSTC CD/NJROTC employees (UIC 3560A), not including the CD Director, and will be chaired by the CD Director.
 - c. The Recruit Training Command (RTC), UIC 0763A, PARB will review award recommendations for RTC employees and will be chaired by the RTC Executive Officer.
 - d. The Officer Training Command Newport (OTCN), UIC 62661, PARB will review award recommendations for OTC IPMS employees and will be chaired by the OTC Executive Officer.
 - e. The Naval Reserve Officer Training Corps (NROTC) and Department of Naval Science units will have one PARB to review NROTC and Department of Naval Science Units' employees with the Officer Development Deputy Director as the PARB Chair.
4. The PARB does not have the authority to change a rating of acceptable or unacceptable which has been approved by the Senior Rating Official, but will confirm that ROs and SROs followed HRO guidance on assigning an unacceptable rating.
5. PARBS will determine an award allocation for the employees reviewed consistent with the prescribed PARB funding. Awards issued may not exceed the approved funding allocation.

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6. A PARB Administrator will be designated to assist the PARB. This role provides administrative processing that makes the board run smoothly. The administrator will compile all the data elements and material required for the board review process. Additionally, the administrator will run all necessary reports, track decisions and monitor board funding during the proceedings. The PARB Administrator will be sourced from the organization for which the PARB is being held. The PARB Administrator is responsible for ensuring every employee's award recommendation is reviewed and entered into a tracker for award determination. This documentation should be retained by the PARB Chair (or designee) for two years.

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Section 3: Award Recommendation Level

1. Employees are eligible for awards based on their individual accomplishments and contributions. Eligibility for the various forms of recognition and rewards is based on the recommendation of the RO and SRO.

2. The average of the Career Stage Performance Awards Standard, enclosure (1), section (9) will be used to determine the Award Eligibility from a percentage of the total adjusted salaries for all NSTC non-bargaining unit employees onboard. The table below outlines the Award level:

Average of Award Standard	Award Eligibility
1.00	No Award - .25%
1.33	.25% - .50%
1.66	.50% - .75%
2.00 - 2.33	.75% - 1.00%
2.66 - 3.00	1.00% - 1.25%

2. There is no entitlement to an award at any Award Standard level. Individual PARBs have the authority to decide the cash award application, or not, for all contribution levels.

a. Employees given an acceptable rating of record will be considered eligible for an award.

b. Eligibility does not guarantee the employee will be recommended for or receive an award, however all employees receiving the same rating of record will receive the same award allocation percentage.

c. Eligible employees who are on the command rolls at the time DON issues award guidance may receive a performance-based payout. Employees who transfer within the NETC domain during the performance cycle may receive a performance based award, which is coordinated between N8 units of the gaining and losing commands.

3. Employees scoring within the above Average of Award Standard ranges will receive the same Award Eligibility percentage. For example, if the Award Eligibility percentage for the Average of Award Standard range of 2.00 - 2.33 is determined to be 0.85%, an employee with an Average of Award Standard rating of 2.00 and an employee with an Average of Award Standard rating of 2.33 will both receive an award equivalent to 0.85% of their respective salaries.

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4. Employees scoring within the same Award Standard range in the above table must be eligible for the same award percentage. For example, if two employees receive an average award standard rating of 1.00, and the award eligibility percentage for 1.00 average ratings is 0.25%, both employees are eligible for an award of 0.25%. One employee cannot be given no award if the other is eligible for a 0.25% award.

5. Due to funding concerns, NETC has directed its subordinate commands to reduce performance award bonus amounts to reflect the amount of compensation received during the appraisal period for job related awards received in accordance with reference (b). Promotions, within grade increases, time off awards, QSIs, and Civilian of the Quarter/Year awards are excluded.

6. Quality Step Increases. Per reference (b), the allocation of awards for FY16 performance is contingent upon authorization to execute FY17 awards. This includes QSIs. Notification of any QSIs available for distribution in FY17 will be provided to PARB Chairs when notification is received. QSI recommendations should address how the proposed recipient has performed at an exceptional level in order to justify a permanent increase in the employee's pay. Additionally, there should be an expectation of continued high performance.