



**DEPARTMENT OF THE NAVY**  
NAVAL SERVICE TRAINING COMMAND  
2601A PAUL JONES STREET  
GREAT LAKES, ILLINOIS 60088-2845

Canc: Nov 2020

NSTCNOTE 12000  
N1  
22 Nov 2019

NSTC NOTICE 12000

From: Commander, Naval Service Training Command

Subj: NAVAL SERVICE TRAINING COMMAND FISCAL YEAR 2020 PERFORMANCE  
MANAGEMENT BUSINESS RULES

Ref: (a) DoD Instruction 1400.25 of 1 December 1996  
(b) DoN Memo, DON Interim Guidance on the DPMAP of 28 March 2017  
(c) Naval Education and Training Command Interim Guidance on DPMPAP of  
22 February 2018  
(d) DoN HR Guide 451-02, Guidance on Implementing Awards of September 2005  
(e) DoN Memo, Supervisory Performance Management Critical Element of  
3 December 2010  
(f) DoD Memo, Performance Appraisal Critical Element for the Projection of Classified  
Information of 12 June 2013  
(g) NETCSTAFFNOTE 12000 N00V of 27 September 2019

Encl: (1) Naval Service Training Command (NSTC) Business Rules for 1 April 2019 - 31  
March 2020 Performance Cycle Awards

1. Purpose. To provide specific Defense Performance Management and Appraisal Program (DPMAP) guidance for Naval Service Training Command (NSTC) employees in conjunction with references (a) through (g), utilizing enclosure (1).
2. Background. In April 2016, the Department of Defense launched the new performance management system, DPAMP which the Naval Education and Training Command (NETC) implemented for Non-Bargaining Unit Employees on 1 October 2017. Bargaining Unit Employees transitioned to DPMAP on 1 April 2018. This notice establishes NSTC guidance as a supplement to references (a) through (g).
3. Policy. NSTC utilized references (a) through (g) in the development of enclosure (1) which supports NSTC employees' required participation in the DPMAP.
4. Performance Appraisals. Annual performance appraisals will be conducted in accordance with enclosure (1).

## 5. Awards Funding

a. In accordance with Volume 451 of reference (a), guidance regarding award allocations and processes is contingent upon the receipt of an authorization to execute Fiscal Year 2020 (FY20) awards. 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.

b. 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.

c. Guidance for submitting contribution awards to use any remaining FY20 award funds available will be provided prior to the end of the fiscal year.

d. 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.

e. Eligible employees who are on the command rolls at the time Department of the Navy 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.

## 6. Responsibilities

### a. Commanding Officers/Activity Directors

(1) Adhere to the requirements in references (a) through (h) 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).

### b. 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 Human Recourses Officer.

22 Nov 2019

(3) Coordinate the establishment of accurate hierarchies for NSTC employees within Defense Civilian Personnel Data System.

(4) Coordinate the establishment and disestablishment of MyWorkplace accounts when military Rating Officials (ROs) and Higher Level Reviewers (HLRs) transfer to and from NSTC activities.

(5) Coordinate with and provide information to Performance Award Review Board chairs on any special circumstance employees as defined in reference (a).

(6) Monitor, track, and maintain a database of all personnel associated with the Performance Management process, including military ROs/HLRs rotations, new arrivals, and civilian separations and accessions.

c. NSTC Comptroller (N8). Ensure 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.

7. Records Management. Records created as a result of this notice, regardless of media or format, must be managed per Secretary of the Navy Manual 5210.1 of January 2012.

  
W. D. PFEIFLE  
Chief of Staff

Releasability and distribution:

This instruction is cleared for public release and is available electronically only via the Naval Service Training Command issuance website,

[http://www.netc.navy.mil/nstc/NSTC\\_Directives/instructions.html](http://www.netc.navy.mil/nstc/NSTC_Directives/instructions.html).

**Naval Service Training Command (NSTC) Business Rules for  
1 April 2019 - 31 March 2020 Performance Cycle Awards**

The purpose of this document is to outline the Business Rules for the 1 April 2019 - 31 March 2020 Performance Cycle Awards. This document is subject to change as revisions are implemented from higher-level policies from the Office of Personnel Management (OPM), Department of Defense (DoD), and Department of the Navy (DoN).

**References**

- (a) DoD Instruction 1400.25 V431, DoD Civilian Personnel Management System: Performance Management and Appraisal Program of 4 February 2016
- (b) DoD Instruction 1400.25 V451, DoD Civilian Personnel Management System: Awards of 4 November 2013
- (c) DON Memo, DON Interim Guidance on the DPMAP of 28 March 2017
- (d) Naval Education and Training Command Interim Guidance on DPMPAP of 22 February 2018
- (e) DON HR Guide 451-02, Guidance on Implementing Awards of September 2005
- (f) DON Memo, Supervisory Performance Management Critical Element of 3 December 2010
- (g) DoD Memo, Performance Appraisal Critical Element for the Projection of Classified Information of 12 June 2013
- (h) NETCNOTE 12000 N00V of 27 September 2019
- (i) DON Memo, Department of the Navy Guidance for Assigning Unacceptable Performance Ratings of 3 July 2019

Annual Appraisal Process for NSTC civilian employees. The following sections are included to assist in completing annual appraisals:

1) Process Framework .....	3
2) Awards and Awards Funding .....	5
3) Performance Plans .....	7
4) Standardized Critical Elements .....	9
5) Monitoring, Assessing and Rewarding Performance .....	15
6) Rating and Awards Review Process .....	19
7) Unacceptable Performance .....	22
8) Performance Awards Review Board .....	24
9) Grievances and Appeals .....	25

Performance plans, appraisals and reward recommendations should be completed using the Defense Civilian Personnel Database System (DCPDS) Performance Management Module, <https://compo.dcpds.cpms.osd.mil/>.

## SECTION 1: PROCESS FRAMEWORK

1. Defense Performance Management and Appraisal Program (DPMAP) provides a framework for supervisors and managers to communicate expectations and job performance to employees throughout the performance year. DPMAP facilitates a fair and meaningful assessment of employee performance, establishes a systematic process for planning, monitoring, evaluating, and recognizing and rewarding employee performance that contributes to mission success.
2. To ensure fairness and good business decisions across the domain while addressing adherence to merit systems principles, a Performance Awards Review Board (PARB) will be established to review and approve performance awards. The PARB is not authorized to establish a forced distribution of awards. This does not prevent the PARB from making other distinctions among employees or groups of employees based on individual performance. Relative comparisons among individuals and groups, such as rank ordering or categorizing employees, can be used for making decisions about distributing awards.
3. Funding of the PARB will be per Section 2 of this enclosure.
4. The Naval Service Training Command (NSTC) Chief of Staff shall serve as the NSTC PARB Chairman. The NSTC PARB will include all civilian personnel within the NSTC domain. PARB membership will be as follows:
  - a. Chief of Staff (Chair)
  - b. Deputy Commander/Executive Director
  - c. Deputy for Training and Development
  - d. Deputy for Navy Reserve Officer Training Corps (NROTC) Operations
  - e. Deputy for Navy Junior Reserve Officer Training Corps (NJROTC) Operations
  - f. Executive Officer, Recruit Training Command
  - g. Executive Officer, Officer Training Command
  - h. Comptroller
  - i. Manpower Director
5. Award recommendations may be returned to a Rating Official for changes to the award recommendation levels.
6. Granting awards shall be per the guidance of reference (e) and this notice. Awards will be used as tools to acknowledge and motivate employees by recognizing and rewarding significant performance contributions. Awards are neither mandatory nor guaranteed.

7. Employees who transfer within the NETC domain during the last 90 days of the performance cycle, or within 90 days after the close of the performance cycle may receive a performance-based award, which is coordinated between N8 units of the gaining and losing commands. Personnel who retire, separate or transfer out of the NETC domain prior to the PARB meeting and finalizing awards shall not be eligible for an award.
8. The PARB must adhere to the requirements of this notice and all dictated timelines.

## SECTION 2: AWARDS AND AWARDS FUNDING

1. Guidance regarding award allocations and processes is contingent upon receipt of an authorization to execute Fiscal Year 2020 (FY20) awards based on 1 April 2019 – 31 March 2020 performance. The awards budget is restricted to a spending limit of typically no more than one and a half percent of total aggregate salaries for monetary rating-based awards (associated with or connected to the end of the rating cycle) and contribution awards (e.g., On-the-Spot and Special Acts Awards) given throughout the year. Award caps are set by DoN and published annually.

2. The authorized limit will be calculated based on the aggregate adjusted salaries (base salary + any applicable locality pay) for those employees onboard at the end of the previous FY and executed with current adjusted salaries (base + locality) as of 31 March 2020 to allow for Within Grade Increases (WGIs), promotions, etc., received during the rating period.

3. Time-off awards are an alternate and/or additional means of recognizing employees' superior accomplishments where time-off from duty is granted without loss of pay or charge to leave, and for which the number of hours granted is commensurate with the employee's contribution or accomplishment. Awarding of time-off awards shall be per the criteria of reference (e). Time-off awards are not appropriate for birthdays, length of service, to create the effect of a holiday, or to be treated as administrative excusals or leave.

4. Quality Step Increases (QSIs): A QSI is an accelerated step increase; it is a permanent increase in an employee's rate of basic pay from one step or rate of the grade to the next higher step of that grade. Caution should be used when awarding QSIs, as this could affect an organization's overall funding.

a. An employee may be eligible for a QSI for a performance award if they meet the following criteria:

(1) Currently be paid below step 10 of his or her grade.

(2) Have a most recent rating of record of Level 5 ("Outstanding").

(3) Have demonstrated sustained performance of high quality for a significant period of time.

(4) Have not received a QSI (or QSI-equivalent under a personnel system other than the General Schedule) within the preceding 52 consecutive calendar weeks.

b. Recommendations for a QSI will be submitted in writing using attachment 1. 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.

Boards will be established to review organizational groups to determine which employees will be recommended to the PARB for a QSI. The following boards will be established and will review recommendations for the assigned employee groups:

(1) NSTC Board will be chaired by the Deputy for Training and Development and will review QSI recommendations for NSTC staff in Great Lakes and Pensacola. The board may submit up to three recommendations for the PARB to consider.

(2) NROTC Board will be chaired by the Deputy for NROTC Programs and will review QSI recommendations for NROTC staff across the country. The board may submit up to six recommendations for the PARB to consider.

(3) NJROTC Board will be chaired by the Deputy for NJROTC Program and will review QSI recommendations for NJROTC staff across the country. The board may submit up to one recommendation for the PARB to consider.

(4) RTC Board will be chaired by the Executive Officer and will review QSI recommendations for RTC staff. The board may submit up to two recommendations for the PARB to consider.

(5) OTC Board will be chaired by the Executive Officer and will review QSI recommendations for OTC staff. The board may submit up to one recommendation for the PARB to consider.

### SECTION 3: PERFORMANCE PLANS

1. All employees must have an approved performance plan for the 1 April 2019 – 31 March 2020 performance cycle in the DPMAP myPerformance tool.
2. Critical Elements
  - a. Employees. Performance plans for employees will have three (**and no more than three**) critical elements. Critical elements may not be weighted. To ensure fair and equitable consideration for NROTC unit staff, standardized critical elements have been developed which allows personnel in similar positions to be rated on the same critical elements. See Section 4.
  - b. Supervisors. Per reference (a), the number of supervisory performance elements on performance plans for supervisors will equal or exceed the number of non-supervisory (technical) performance elements. Supervisors are required to have four (**and no more than four**) critical elements; two technical elements and two supervisory elements. Critical elements may not be weighted. In compliance with reference (f), the two mandatory, standardized critical elements can be found in Section 4.
  - c. Certain positions that involve access to classified information, require a specific type of critical element. Reference (g) provides additional information on required critical elements by type of position. Section 4 provides recommended verbiage for critical elements addressing employee access to classified information.
  - d. Performance standards must be provided for each performance element in the performance plan and must be written at the “Fully Successful” level. The standards should include Specific, Measurable, Achievable, Relevant, and Timely criteria, which provide the framework for developing effective results and expectations.
  - e. The Higher Level Reviewer (HLR) must approve employee performance plans.
3. Performance plans shall be completed and approved no more than 30 days after the beginning of a rating cycle, permanent assignment to a new position or reassignment, and after an employee is temporarily assigned, detailed, or promoted to a higher position that is expected to last more than 120 days. “Approved” entails approval by the Rating Official (RO), HLR, and the employee.
4. Critical elements may be modified, added to or deleted from an employee’s performance plan as needed throughout the performance period per reference (a). Other than the fact that a critical element may not be adjusted within the last 90 days of the appraisal period, unless the cycle is extended, there is no required minimum period of time an employee must be under notice of an adjusted critical element, but changes must be promptly and clearly communicated to the employee after having been approved by the HLR.

**SECTION 4: STANDARDIZED CRITICAL ELEMENTS**  
**NETC-REQUIRED SUPERVISORY CRITICAL ELEMENTS (Supervisors' performance plans must include both critical elements)**

1. Supervisory: Performs all supervisory duties to include: (1) Ensures compliance with applicable laws, regulations, and policies including Merit System Principles and Prohibited Personnel Practices; (2) Attracts and retains a high-caliber workforce and acts in a responsible and timely manner on all steps in the recruitment and hiring process; (3) Provides opportunities for orientation and tools for enabling employees to successfully perform during the probationary period and beyond; (4) Identifies current and future position requirements to ensure recruitment is appropriately focused and is timely; and (5) Completes all performance management tasks in a timely manner including clearly communication 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.

2. Leadership: Leads an aligned, engaged, and high performing team. Creates a positive, safe work environment that allows employees to excel. Upholds high standards of integrity and ethical behavior. Ensures that Equal Employment Opportunity principles and adhered to throughout the organization and promptly addresses allegations of discrimination, harassment, and retaliation. Acts as a good steward of public funds. Maintains a safe work environment and promptly addresses allegations of noncompliance. Effectively develops and champions innovative ideas to improve the organization and create an environment that fosters innovation. Supports the Whistleblower Protection Program by responding constructively to employees who make protected disclosures under 5 U.S.C. §2302(b)(8); taking responsible actions to resolve disclosures; and fostering an environment in which employees feel comfortable making such disclosures to supervisors or other appropriate authorities.

**NETC-RECOMMENDED CLASSIFIED INFORMATION CRITICAL ELEMENT**

In compliance with the DoD requirement, outlined in reference (d), that all positions responsible for handling classified information must contain a critical element within their performance plan addressing this requirement, NETC has provided recommended verbiage for these critical elements below:

Supervisory Critical Element: Develop and put in place a sound strategy to ensure employees are safeguarding and protecting classified documents and materials per SECNAV M5510.36. 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 organizations 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 per SECNAV M5510.36.

Employee Critical Element: Demonstrate on a daily basis a comprehensive knowledge for safeguarding and protecting classified documents and materials per SECNAV M5510.36 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 requirements and certifications, and any necessary training reports.

### **NSTC-RECOMMENDED NROTC UNIT STAFF CRITICAL ELEMENTS**

#### Supply Technician

1. **CUSTOMER SERVICE:** Proactively interface with customers to provide timely, quality, and responsive service to customers. Advice, services, and products are comprehensive, meet statutory/regulatory requirements, and are provided within acceptable quality levels and by assigned or negotiated suspense dates. Establish collaborative relationships with working groups to include other NROTC Supply Technicians and Human Resources Assistants while applying technical knowledge and or experience to develop, change, and/or implement standard processes / practices to meet customer needs. Supply Technician (ST) customers include and are not limited to Students, NROTC and NSTC staff, Defense Logistics Agency (DLA) Disposition Services, and more. For success, the employee should have no more than two substantiated customer service complaints during the rating period, defined as a customer complaint that is not successfully addressed and or resolved within five days of the customer reporting the issue.

2. **BUDGET PLANNING, PROCUREMENT OF SUPPLIES & SERVICES, & EXECUTION:** Develop annual Unit OM&N and MPN budgets; project requirements IAW unit and higher instructions/ policies; submit to NSTC/OD by required due dates. Verify accuracy of invoices for contracted services/initiate payment/ coordinate payments via FASTDATA, and track payments to completion IAW FAR and NSTC M-1533.2. Contract processing timeliness and accuracy validated upon receipt of payment documents. Procure and log approved supplies via mandated supply sources utilizing the GCPC. Purchase invoices are validated and certified to effect payments. Forward requests above the threshold to the Contracting Officer for procurement per CCPMD directives. Provide monthly status updates to the CO on Unit OM&N and MPN OPTAR budget and GCPC program; to include convenience checks. Conduct end of year accounting as directed by NSTC N8; provide CO weekly status updates. Research and procure approved supplies/services using mandated supply sources, GCPC, convenience checks; use approved methods for procurement for the alumni account. Purchase/track office supplies to meet unit mission. Track down missing invoices. Verify accuracy, initiate payment documents, and coordinate payments through iRAPT and/or FASTDATA. Track payment progress through completion and IAW FAR and NSTC M-1533.2. Ensure GCPC statements are validated within five days of end of cycle and transactions on statements are properly reallocated with no errors and as per NAVSUPINST 4200.99 and AO is notified of completion.

3. **MATERIALS & INVENTORY CONTROL:** Maintain and control records of physical inventories for a range of specialized items such as military uniforms, textbooks, AV equipment, etc. IAW NSTCINST 1533.2 and local SOPs. Ensure 95% accuracy of inventory. Oversee the government vehicle program, ensuring vehicles are maintained in accordance with GSA contracts and State law. Maintain control of vehicles, ensuring only authorized users check

vehicles in and out. Report monthly vehicle mileage to NAVFAC and XO by the 5th of the month. Include annual total and remaining mileage left. Conduct annual supply wall-to-wall inventory prior to 1 November; submit to OD54 NLT 10 November per NSTC 1533.2. Coordinate with XO and HRA during summer semester to ensure sufficient uniform and textbook inventory to support incoming freshmen. Issue two sets of PT gear to incoming Midshipmen NLT second business day of NSO. Issue one uniform to each new student during NSO, fully tailored and ready for swearing in ceremony. Ensure uniform issue forms are completed in accordance with NSTC M-1533-2 (series). Coordinate with CO/XO/Marine Officer Instructor (MOI) to ensure uniforms are issued in support of unit events. Forecast uniform stock levels needed, order, and issue to meet Unit requirements Schedule fitting and tailoring sessions with tailor for Midshipmen as necessary. Maintain clean, professional, and organized storage spaces with all items carefully marked, stacked, and separated for easy identification, inventory, and issue.

#### Human Resources Assistant

1. **MEDICAL & DENTAL COORDINATOR:** Utilize internal tracking procedures for all correspondence and establish administrative controls that adhere to the Privacy Act of 1974 and Navy Operations Security (OPSEC) guidance to ensure the protection from loss of Personally Identifiable Information (PII). Create and maintain medical and dental records in accordance with requirements of the Health Insurance Portability and Accountability Act (HIPAA) of 1996 and NSTC M-1533-2 (series) requirements. Assist with communicating with local and distance military medical program offices to schedule and coordinate medical actions. Review physical forms for completeness to ensure student physicals comply with community/specialty requirements. Submit physicals to community branch heads for review and approval and ensure all physical documents are electronically sent via the secure WEBWAVEII application.

2. **CREATION & MAINTENANCE OF HARD COPY AND OPMIS STUDENT FILES:** Create hard copy and OPMIS student files for each incoming freshman and prepare all contracts and documents for signature by the start of NSO. Verify and update student files, to include OPMIS, within 3 to 5 days of a change in status and record tuition payments for verification and signature. File all orders, correspondence, and screenings in student file and conduct annual reviews for accuracy in accordance with NSTC M-1533.2 to include updates to Record of Emergency Data (Page 2) and Servicemen's Group Life Insurance (SGLI) as needed. Ensure Midshipmen and staff are removed from OPMIS upon graduation or transfer respectively only after the Supply Technician has resolved custody card issues and within 30 days of change in status. Disseminate OPMIS Official Mail Messages (OMMs) to unit staff daily. Maintain OPMIS student data entry regularly as needed and at minimum review for accuracy each semester to ensure data reflects most current status and changes relating to commissioning (grades, physical fitness, enrollment status, etc.). Prepare commissioning documents for official records with goal of 100% accuracy and mail to Navy Personnel Command for Electronic Service Record (ESR) and Personnel Support Detachment (PSD) for Navy end strength gain. Further assist Senior Advisor and MOI with service assignment and commissioning packages. Coordinate, track, and maintain all required documents for personnel undergoing disenrollment from unit.

### 3. SUMMER TRAINING ASSISTANT AND MIDSHIPMEN TRAVEL COORDINATOR:

Provide assistance to summer cruise coordinator starting in February/March annually in preparation for summer training to include correspondence for FOREX and cruise postponement requests. Verify immunizations with University Medical Clinic and ensure immunizations and DODMERB physicals are in participating student records. Provide assistance with obtaining country clearances and passports as needed and prepare travel orders for summer training and medical appointments within Defense Travel System (DTS) as needed and ideally within 2 weeks of travel at minimum. Per NSTC M-1533.2 (series) summer training participants shall be provided a large envelope stamped and self-addressed to the unit containing their orders and travel claim form and instructed to insert claim and travel receipts and mail immediately after conclusion of travel. Process travel vouchers in DTS for summer cruise participants and incoming freshmen travel within five days of completed travel or soonest thereafter. Monitor and update changes to all summer training and initial reporting activities through to completion.

#### Administrative Assistant

1. ADMINISTRATIVE ASSISTANT: Type a variety of standard Naval letters, memorandums, endorsements, forms, directives, and statistical/narrative reports IAW the Navy Correspondence Manual (SECNAV-M 5216.5), using Microsoft Word, Power Point, Excel, and Adobe. Prepare and route military fitness reports/evaluations for active duty Naval Personnel, ensuring on time completion in accordance with BUPERSINST 1610.10D for Navy and MCO 1610.7 (Marine Corps Performance Evaluation System) for Marine Corps as appropriate and ensure forwarding for inclusion in member's official military record. Prepare a variety of military awards in accordance with NSTCINST 1650.2 (series) and SECNAVINST 1650.1; ensuring timely submission in accordance with directives and once finalized forward Navy awards to PERS for inclusion in the active duty member's military record and to NSTC Flag Admin for entry into NDAWS and for Marine Corps awards to member for entry into official record. Enter travel for Navy and Marine Corps staff in DTS and ensure travel voucher is submitted in DTS within five days of conclusion of travel. Track and coordinate rejections in DTS and liaison with NSTC N8 point of contact to finalize transactions. Assist Sailors and family members with deployment preparations and serve as primary liaison between command and deployed member and their family while on individual augmentation or global support assignment orders, serving as a link to the parent command during deployment and up to nine months after returning.

2. CLERICAL SUPPORT: Perform administrative duties to include the electronic submission and mailing of completed documents in accordance with NSTC M-1533.2 (series). Process required OPMIS entries within 3 to 5 days of change in status to include completion of physical exams (both initial and commissioning) and more, while ensuring strict compliance and adherence to the Privacy Act of 1974 and Navy Operations Security (OPSEC) guidance to safeguard Personally Identifiable Information (PII) and requirements of the Health Insurance Portability and Accountability Act (HIPPA) of 1996 to protect medical information. Satisfactory performance will reflect that of a responsive, accountable, and data driven organization.

3. ADMINISTRATION OF STUDENT FILES: Create and maintain hard copy and OPMIS Student Files and review quarterly and annually for accuracy at minimum in accordance with

NSTC-M 1533.2 (series). Student files status must be updated for each commissioning and again on 30 September annually to ensure accuracy and completeness. All status updates must be entered within 3 to 5 days of change in status. Updates include and is not limited to anticipated commissioning dates, attrition and or disenrollment, personal information, physical qualifications, physical fitness, grades, program status updates (probation, leave of absence, etc.), and more in accordance with NSTC M-1533.2 (series). Establish, maintain current, and resolve issues with stipend records in OPMIS by stopping or reinstating payments within three days of change in status and file reports. Data must be verified accurate upon entry into OPMIS and verified quarterly (or once each semester) through Midshipman advising sessions.

**SECTION 5: MONITORING, ASSESSING, AND REWARDING PERFORMANCE**

1. The supervisor of record will be the RO of the employee. The supervisor of record will also be the RO of employees on detail, temporary promotion, or other temporary assignment. Input is required from the temporary supervisor regarding the employee's performance. The second-line supervisor will serve as the HLR. In unique employee-supervisor alignment situations, the first-line supervisor of record may serve as both the RO and HLR; employees and ROs can make adjustments to the HLR in the DPMAP myPerformance tool.
2. ROs must monitor and assess the performance of their employees on a regular basis so that they can provide continual feedback that is specific, fair, and accurate. ROs are required to hold a minimum of three mandatory performance discussions. These discussions will include the initial performance plan meeting to discuss performance expectations, one progress review, and the final performance appraisal discussion to communicate the rating of record. Feedback should address recent performance and what is expected at the "Fully Successful" level. Monitoring performance includes assessing and adjusting performance expectations in critical elements as needed.
3. Progress Reviews. While more are encouraged, at least one progress review is required, and should be accomplished mid-cycle, at which time employees shall be informed of how they are progressing in regard to their critical elements. Progress reviews shall be documented in the DPMAP myPerformance tool.
4. Annual Assessment
  - a. To receive a rating of record and be eligible for a performance award, an employee must complete the minimum of 90 days under an approved performance plan in the same position.
  - 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 is met as long as the extension does not interfere with the ability to manage any part of the rating and/or rewarding process for the employee's organization. This extension must be approved by the HLR. A rating of record should be prepared as soon as practicable once the necessary conditions have been met. Additional provisions for the extensions and exceptions to the minimum 90-day performance period and specially-situated employees (recalled reserve personnel) are covered under reference (a).
  - c. An employee cannot be held accountable for work that does not get done because of an absence for which the employee is on any type of approved leave. If there is a specific performance standard for the appraisal year, it may be prorated for the amount of time the employee was at work.
  - d. Employee narrative self-assessments are due to the RO no later than (NLT) 15 days after the end of the rating cycle.

e. ROs are required to consider employee self-assessments and prepare written assessments of employee performance and contribution to mission NLT 25 days after the end of the appraisal period. Written assessments will be used to justify the ratings level (5, 3, or 1) to the HLR who will determine the award amounts. ROs should not simply concur with what the employee wrote in the assessment. RO assessments should provide employees with meaningful feedback and should address both strong and poor performance.

f. ROs shall base ratings on a comparison of performance toward critical elements and Standard Performance Ratings Levels outlined in Appendix A.

g. Individual elements are assigned to one of three rating levels: “Outstanding” as the highest rating, a “Fully Successful”, or “Unacceptable” as the lowest rating. An “Unacceptable” rating level is assigned if one or more critical elements are rated as “Unacceptable”.

5. Awards. In order to provide a means to recognize and reward employee accomplishments and contributions, rating officials will assess an employee’s performance against prescribed DPMAP performance elements and standards in the employee’s performance plan and assign a rating score of 1, 3, or 5 to each performance element as outlined within reference (a). In doing so, rating officials will make clear and consistent distinctions between different levels of performance and individual contributions within the rating official narrative assessments, at all rating levels. The overall rating of record is derived from averaging the ratings of the employee’s individual performance elements. After the HLR reviews and approves ratings of record per reference (a), the rating of record is final. The average of performance element ratings will determine the award amount for which an employee is eligible.

a. Awards allocation are established by OMB/OPM awards guidance. Based on this allocation, an aggregate of 95 percent of the total allocation will be used to recognize and reward employee annual performance and contribution to the mission. The remainder (5 percent) should be used to grant cash, time-off, and honorary awards throughout the year per 5 U.S.C. 45. The intent of all awards is to motivate employees by recognizing and rewarding significant individual, team, or organizational achievements and contributions.

b. Annual performance awards are neither mandatory nor guaranteed. When granted, annual performance awards are paid as a total award dollar amount based on the rating of record. The approved awards eligibility framework is identified within appendix A.

c. In determining award, ROs will consider and apply the performance rating levels identified within Section 7. In addition, PARBs are responsible for ensuring the recommended award is consistent with the performance rating levels identified within Section 7.

d. Employees with higher ratings of record must receive higher dollar amounts than those with lower ratings of record at the same grade level (e.g., a GS-09 who receives an outstanding rating must receive a higher dollar amount than a GS-09 who received a fully successful rating).

e. Before recommending and approving QSIs or time-off awards, ROs, HLRs, and PARBs should consider other recognition received by employees during the performance period.

f. HLR review and approval of employee assessments, ratings and award amounts shall be completed within 30 days of the end of the performance cycle. If the HLR requests that changes be made to the performance rating or award, the plan shall be returned to the RO.

g. Awards will then be reviewed and approved by the PARB. The PARB does not have the authority to change an employee's rating level as determined by the RO/HLR. However, the PARB does have the authority to change awards.

## 6. Closing out Plans/Narrative Statements

a. Plans are closed out when an employee changes positions, is promoted, or leaves the agency with less than 90 days on an approved plan. The RO creates a performance narrative statement in the myPerformance tool under the "narrative" tab stating the circumstances, i.e., "{Employee} did not perform under an approved performance plan for the minimum period of 90 calendar days and is {retiring, accepting a position outside of the organization, etc.}, effective {date}." Then the ROs should close the performance plan.

b. When the RO leaves after the employee has been on an approved plan for a minimum of 90 days and there are at least 90 days left in the cycle, both the employee and the RO will complete a narrative statement and the plan remains open. The incoming RO will consider the former RO's narrative at the end of the cycle when assigning a rating of record.

c. When an employee leaves after 90 days but with more than 90 days remaining the supervisor creates a performance narrative statement under the 'narrative' tab stating the circumstances, "[Employee] is [retiring, accepted a position outside of the organization, etc.], effective [date], and there are more than 90 calendar days left in the performance cycle." Then, the ROs should close the performance plan. The gaining organization (if applicable) creates a new performance plan for this appraisal cycle.

d. When an employee leaves with less than 90 days remaining employee should follow the 'annual appraisal' process. Then, the RO should follow the 'final performance appraisal' process. In accordance with reference (a), paragraph 3.2(i), ratings of record are transferred to new organization.

e. When an RO leaves with less than 90 days remaining employee should follow the 'annual appraisal' process. Then, the RO should follow the 'final performance appraisal' process. The new RO will then need to create a new performance plan, using the date they began supervision as the start date for the appraisal cycle and end date will be 31 March of the next cycle since there are less than 90 days remaining in the current cycle (there will be more than 12 months in the next rating cycle).

**SECTION 6: RATING AND AWARDS REVIEW PROCESS**

1. To establish award scores for performance, ROs will use the average score of all critical element performance ratings to determine the recommended award amount, with the exception of any critical element rated “Unacceptable” in which the overall rating will result in a “1”.
2. Care should be taken to ensure that similarly situated employees with like performance and contribution to mission are rewarded in a consistent manner.
3. Performance-based awards are neither mandatory nor guaranteed regardless of rating or contribution level scores.
4. Each business unit will ensure transparency in all steps of the recognition and rewarding process, to include timely notification to employees of the processes involved.

Process:

STEP 1. Assignment of Performance Rating Levels (5, 3, 1). At the end of the appraisal cycle, supervisors (rating officials) will assign an individual performance element rating of either 5, 3, or 1 to each critical element based upon the standards and rating criteria in Table 1.

TABLE 1. Standard Performance Rating levels

<p>Level 5 – Outstanding</p> <ul style="list-style-type: none"> <li>- Produces exceptional results or exceeds expectations well beyond specified outcomes</li> <li>- The quality and quantity of the employee’s work substantially exceeds the standard with minimal room for improvement</li> <li>- The accuracy, thoroughness, and timeliness of the employee’s work on this element are exceptionally reliable.</li> <li>- Sets targeted metrics high and far exceeds them (e.g., quality, budget, quantity).</li> <li>- Application of technical knowledge and skills goes well beyond that expected for the position.</li> <li>- The employee consistently and significantly improves the work processes and products for which he or she is responsible.</li> <li>- The employee’s adherence to procedures and formats, as well as suggestions provided for improvement in these areas increases the employee’s value to the organization and overall mission accomplishment.</li> <li>- Work products rarely require minor revisions.</li> <li>- The employee seeks additional work or special assignments at increasing levels of difficulty.</li> <li>- Exhibits the highest standards of professionalism.</li> </ul>
<p>Level 3 – Fully Successful</p> <ul style="list-style-type: none"> <li>- Effectively produces the specified outcomes, and sometimes exceeds them.</li> <li>- The quality, quantity, and timeliness of the employee’s work fully meet the requirement of the performance element.</li> </ul>

- Consistently achieves targeted metrics.
- Major revisions are normally not necessary; most work only requires minor revision.
- Projects are completed accurately, thoroughly, and timely.
- Technical skills and knowledge are applied effectively to specific job tasks.
- Adheres to procedures and format requirements.
- Proactively informs supervisor of potential issues or roadblocks and offers suggestions to address or prevent them.
- Routine problems associated with completing assignments are resolved with minimum supervision.
- Achieves goals with appropriate level of supervision.

- Level 1 – Unacceptable
- Does not meet expectations for quality of work; fails to meet many of the requires results for the goal.
  - The quality, quantity, and timeliness of the work are unsatisfactory.
  - Is unreliable; makes poor decisions; misses targeted metrics (e.g., commitments, deadlines, quality).
  - Lacks or fails to use skills required for the job.
  - Work products must be continually revised and edited; instructions must be reiterated.
  - The employee is unable to work reliably and independently without ongoing supervision.
  - Products are incomplete or “Unacceptable”.
  - The employee fails to prioritize and apply routine knowledge and skills expected for the position, contributing to inadequate work products.
  - The employee fails or is unable to adapt to changes in priorities, procedures, or program directions.
  - Requires much more supervision than expected for an employee at this level.

STEP 2. Calculation of Rating of Record. All performance element ratings are averaged to calculate the rating of record, which reflects the employee’s overall job performance during the appraisal cycle based on the rating criteria in Table 2.

Table 2. Rating Criteria

Rating Criteria Rating Level	Rating Criteria
Level 5 - Outstanding	The average score of all critical element performance ratings is 4.3 or greater, with no critical element being rating a “1” (Unacceptable), resulting in a rating of record that is a “5”.
Level 3 – Fully Successful	The average score of all critical element performance ratings is less than 4.3, with no critical element being rated a “1” (Unacceptable), resulting in a rating of record that is a “3”.
Level 1 - Unacceptable	Any critical element rated as “1”.

STEP 3. Higher Level Review (HLR). The HLR reviews and approves ratings of record and performance decisions. Once HLR approval is provided in the automated system of record, MyPerformance Tool, the rating of record is final.

STEP 4. Assignment of Award Amounts. In assignment of award amounts, the average of rating of record will determine the recommended shares that an employee is eligible. With HLR approval, ROs may make recommendations to the PARB for monetary awards above the suggested shares, QSIs, and time-off awards. All recommendations must be supported by the RO's written justification and will be subject to PARB review and approval.

**SECTION 7: “UNACCEPTABLE” PERFORMANCE**

1. If at any time during the performance appraisal period, an employee’s performance is determined to be “Unacceptable” in one or more critical elements, the RO shall notify the employee in writing. The notice of “Unacceptable” performance must include:

a. Element(s) in which performance is “Unacceptable” and a description of the unacceptable performance.

b. What standards the employee must attain in order to demonstrate “Fully Successful” performance.

c. The time allowed for the opportunity to improve. The time allowed must be reasonable and commensurate with the duties and responsibilities of the position, typically 30-90 calendar days.

d. Statement of the possible consequences of failure to raise performance to the “Fully Successful” level during the opportunity period.

2. An unacceptable rating may be assigned when an employee performed under an approved performance plan for the minimum period, the rating of record has been reviewed and approved by a higher-level management official, and one of the following conditions are met:

a. If, at the end of the performance cycle, the employee was previously notified in writing (e.g., letter of expectations, performance progress review, etc.) of the way in which the employee is performing at an unacceptable level;

b. A decision to deny a within-grade increase is not consistent with the employee’s most recent rating of record and therefore a more current rating of record must be prepared to document that the employee is not performing at an acceptable level; or

c. If, at the conclusion of the opportunity period provided in the Performance Improvement Plan, the employee’s performance is determined to be unacceptable in one or more performance elements.

3. If, at the conclusion of the opportunity period, the employee’s performance continues to be “Unacceptable”, the RO must initiate reassignment, reduction in grade or removal.

4. Within Grade Increases (WGI) cannot be granted while performance is at an “Unacceptable” level. If performance is determined to be “Unacceptable” at the time a WGI is due to an employee, the RO must take action to deny the WGI.

5. Detailed information on matters associated with correcting “Unacceptable” performance can be found in reference (a).

## **SECTION 8. PERFORMANCE AWARDS REVIEW BOARD**

1. The PARB is responsible for reviewing and approving all recommended performance awards at a strategic level for fairness, appropriateness, consistency, and adherence to merit systems principles.
2. NSTC PARB results are submitted to the NETC Executive Director for review and approval.
3. The RO will conduct the annual appraisal conversation to communicate the rating of record with each employee following HLR approval. The RO will communicate any award amounts following the communication from the NSTC PARB after NETC approval.

## **SECTION 9: GRIEVANCES AND APPEALS**

Employees may raise issues relating to aspects of the performance appraisal process through the applicable grievance procedures. Non-bargaining Unit employees shall follow the procedures and timelines of SECNAVINST 12771.2 (series). A flowchart is provided in Appendix A. Bargaining Unit employees shall contact their respective Union representative or refer to their applicable Collective Bargaining Agreement for grievance procedures and timelines.

1. The substance of an employee's critical elements and determinations concerning awards or Quality Step Increases (QSIs) are not grievable.
2. Determinations concerning awards, award amounts are not grievable.
3. Failure to inform employees of critical elements and standards within the required timeframe is grievable.
4. Performance ratings (outstanding/fully successful/unacceptable) on individual elements and rating levels are not grievable.
5. Performance based removals are not grievable, but may be appealed to the Merit Systems Protection Board.
6. Performance based demotions may be grieved through the appropriate grievance procedure or appealed to the Merit Systems Board, but not both.

# ADMINISTRATIVE GRIEVANCE TIMELINE

