

## NSPS Performance Management Guidance

### Interim Reviews, Closeout Assessments, and Early Annual Recommended Ratings Critical Rating Cycle Dates and Processes

The first rating cycle for DoDEA employees covered by the National Security Personnel System (NSPS) began on January 20, 2008 and ends on September 30, 2008. Subsequent rating cycles will run from October 1 to September 30 each year.

#### 1. Critical Dates for Performance Plan – Standard Rating Cycle.

For the rating cycle beginning January 20, 2008, it is critical that the following dates are reflected in the Performance Appraisal Application (PAA):

Standard Rating Cycle Dates for 2008 Performance Year	
<b>Rating Cycle Start Date</b>	January 20, 2008 or the Entry on Duty (EOD) NLT 7-2-08
<b>Rating Cycle End Date</b>	September 30, 2008
<b>Appraisal Effective Date</b>	January 1, 2009

**Last Date to be eligible for rating and performance award:** July 2, 2008, is the last effective date an employee can be appointed and covered by an approved NSPS performance plan to be eligible to receive a performance rating and award for the 2008 rating cycle. Performance awards are paid in January 2009.

**2. Critical Dates for Employees new to NSPS with Performance Plans established between July 3, 2008 and September 30, 2008.** When the performance period falls within the last 90 days of the 2008 rating cycle, the performance plan dates carry forward to the 2009 rating cycle and ratings and rewards associated with these plans apply to the 2009 rating cycle.

July 3 to September 30 new hires to NSPS – next year 2009 Performance Year Dates	
<b>Rating Cycle Start Date</b>	Entry on Duty (EOD) date
<b>Rating Cycle End Date</b>	September 30, 2009
<b>Appraisal Effective Date</b>	January 1, 2010

#### 3. Early Annual Appraisals – Applicable from July 3 to September 30.

Early Annual appraisals are required when an employee has been on an NSPS performance plan for at least 90 days and the supervisor changes and/or an employee's position changes due to reassignment, promotion or demotion within 90 calendar days before the end of the appraisal period (July 3 – September 30).

## **Steps for Completing Early Annual Appraisal and Assessment.**

1. The rating official (RO) **must** change the appraisal type to Early Annual NSPS Appraisal in the Setup Details area of the Update Plan/Appraisal section of the performance plan in PAA.

2. The RO transfers the plan to the employee to allow the employee to enter their annual appraisal write up in the Employee Self Assessment for Annual Appraisal block (recommended but not mandatory) in the Performance Appraisal Application (PAA).

3. The employee transfers the PAA back to the RO and the RO will then input their annual supervisory assessment and ratings in the Rating Official Assessment block in PAA. This is mandatory.

4. The RO must modify the Rating Cycle End Date in PAA to **one day prior** to the effective date of the job change.

5. If the employee remains in an NSPS position, the new performance plan must be prepared with the Rating Cycle Start Date equal to the effective date of the position change (one day after the Rating Cycle End Date on the PAA from the old position or plan rating by the old RO). See #4 for guidance.

6. Within the PAA there are Quick Guides to assist both employees and rating officials. They are accessed in the PAA by clicking on the Quick Guide link at the top right.

(a) Employees should use the Quick Guide – Employee Self-Assessment for Annual Appraisal found with the PAA Quick Guide Reference.

(b) Rating Officials should use Quick Guide – Submit a Recommended Rating found within the PAA under Quick Guide link.

7. The RO submits the recommended rating to the Higher Level Reviewer to be reviewed and approved in preparation for the Pay Pool Panel. The appraisal status will change to Pending PPM Approval.

8. If the employee is still assigned to DoDEA, a rating official change request should be submitted to the NSPS Program Office via email. Include the name of the employee, the losing supervisor, the gaining supervisor, the effective date of the change, and identify the losing and gaining Pay Pool ID #. Send the request to [DoDEA.NSPS.Inquiries@HQ.DoDEA.edu](mailto:DoDEA.NSPS.Inquiries@HQ.DoDEA.edu)

9. If the employee is leaving the organization prior to 30 September and will not be included in the original pay pool, the Early Annual Appraisal is printed or saved as a .pdf electronic file once the appraisal status equals Pending PPM Approval. The losing supervisor provides the DD Form 2906 Working Copy to the gaining supervisor directly. The employee should **NOT** be provided a copy of the form. At this stage, the ratings are recommendations to the new pay pool panel. The employee will receive notification of their appraisal and rating

from their new supervisor after the gaining pay pool panel deliberations are final and approved by their PRA. Since the employee is an ex-employee the rating official should contact the NSPS Program Office via email to request that the PAA be closed. Send the request to [DoDEA.NSPS.Inquiries@HQ.DoDEA.edu](mailto:DoDEA.NSPS.Inquiries@HQ.DoDEA.edu)

#### **4. Establishing New Performance Appraisal Application (PAA).**

##### **Steps required to establish a new PAA between July 3 – September 30.**

1. When an employee has received an early annual appraisal within 90 calendar days before the end of the appraisal period, i.e. July 3 – September 2008, a new performance plan must be established within 30 days of assignment to the new supervisor or position.
2. The new rating cycle covers the period between the event that triggered the early annual appraisal and September 30, 2008, plus the 2009 performance year. For example, the employee is promoted on August 5, 2008, the new appraisal rating cycle is the period from August 5, 2008 to September 2009, approximately a 14 month rating cycle.
3. The employee and supervisor/rating official should follow the Quick Guides for Employee/Rating Officials; Create a Performance Plan in the PAA, for more details regarding establishing the new performance plan.
4. After the new performance plan is created, Rating Officials should follow the Quick Guide, Acknowledge and Approve a Performance Plan.
5. Employees should follow the Quick Guide, Acknowledge a Performance Plan.

#### **5. Closeout Assessments Applicable for Employee Position Change (From January 20, 2008 to July 2, 2008).**

If an employee has been on a performance plan for at least 30 days and the employee's position changes and a new performance plan is needed because of a change in duties or a rating official leaves before the end of the appraisal period, a narrative closeout assessment is required if these changes occur outside of the last 90 days of the rating cycle, i.e. from October 1 to July 2.

**NOTE: The RO does NOT provide a rating of record for a Closeout Assessment. It is only a narrative statement.**

##### **Steps to complete Closeout Assessments.**

1. The employee inputs a brief narrative into the closeout self-assessment in PAA (recommended but not mandatory).
2. The supervisor inputs a brief narrative closeout assessment of the employee's performance accomplishments and contributions into the PAA under the closeout assessment section. This action is mandatory. The supervisor and employee should coordinate the

completion of the closeout assessment. The Quick Guides for Closeout Assessments in the PAA has more details on this requirement.

3. The RO must change the Rating Cycle End Date to one day prior to the effective date of the position change. After the completion of the closeout assessment, the former rating official will close the PAA by using the blue X icon “Close” functionality under the Plans and Appraisals in Progress table. The database will subsequently file the PAA into an archive file to be retrieved if needed at a later date through the search function in the PAA Completed Plans and Appraisals section.

4. The new supervisor/rating official will initiate a new performance plan with the effective date of the position change as the Rating Cycle Start Date.

The following is a Closeout PAA Dates example for an employee who converted to NSPS on January 20, 2008 and was reassigned to another duty site with a new supervisor on February 11, 2008.

Closeout Assessments Critical Dates – former supervisor completes	
Rating Cycle Start Date	January 20, 2008
Rating Cycle End Date	February 10, 2008
Appraisal Effective Date	January 1, 2009

New Appraisal Critical Dates – new supervisor completes	
Rating Cycle Start Date	February 11, 2008
Rating Cycle End Date	September 30, 2008
Appraisal Effective Date	January 1, 2009

**6. Rating Official Changes with no change to job objectives (from January 20, 2008 to July 2, 2008).**

**Steps to complete Closeout Assessments.**

1. If the employee’s position remains the same and the rating official changes, a closeout assessment is required if the employee has been on a NSPS performance plan for at least 30 calendar days.

2. A new PAA with new objectives isn’t necessary if the rating official changes and the objectives remains the same. However, the supervisor completes a closeout assessment and uses the Change Rating Official feature to transfer the existing PAA to the new supervisor.

3. Both the employee (recommended but not mandatory) and the supervisor (required) input a brief narrative description of the employee’s performance accomplishments and contributions into the PAA under the closeout assessment section.

4. **IMPORTANT** - Do not change any dates on the PAA. When a new PAA is created the date fields will default to the dates associated with any given rating period. However, for this first implementation year the Rating Cycle Start Date is either January 20, 2008 or the EOD date of the employee.

**7. New Hires and PAA Performance Plan Establishment within 90 Days of the End of the Rating Cycle (July 3, 2008 – September 30, 2008).**

**A. Steps to Establish a Performance Plan.**

1. A new employee or current Federal new to NSPS must have a NSPS Performance Plan established within 30 days of appointment.

2. The rating cycle covers a 12 – 15 month period between the date entered on duty and September 2009. For example, if employee is hired on August 5 2008 the performance plan rating cycle covers the period of August 5, 2008 to September 30, 2009, a rating cycle of approximately 14 months.

a. The employee and supervisor should follow the Quick Guide, Acknowledge and Approve a Performance Plan.

b. After the performance plan is created, the rating official should follow the Quick Guide, Acknowledge and Approve a Performance Plan., and employee, the Acknowledge a Performance Plan in Quick Guide.

c. Any employee hired during this period is included in the Pay Pool but do not receive ratings or shares for the 2008 rating cycle.

For example, the PAA dates for the employee entering on duty on August 5, 2008 is as follows:

Rating Cycle Start Date	August 5, 2008
Rating Cycle End Date	September 30, 2009
Appraisal Effective Date	January 1, 2010

**8. Blue X Close Function in PAA.**

Rating Officials have the ability to close out an assessment by using the X Close Function located in the status bar of their employees NSPS Appraisals located on the Performance Appraisal Application Main Page. This function is used in the follow situations:

1. When an employee leaves a NSPS covered position and is not expected to return to federal service, the Blue X function in PAA is used.

2. If the employee served under performance plan for at least 30 days, the supervisor/rating official provides a brief closeout assessment and closes the PAA using the X Close function under the Plans and Appraisals in the Progress table.

If you need assistance contact the NSPS Program Office at 703-588-3908 or 703-588-3993.  
Email to [DoDEA.NSPS.Inquiries@HQ.DoDEA.edu](mailto:DoDEA.NSPS.Inquiries@HQ.DoDEA.edu)