

12430
731000D/045
13 Jul 04

MEMORANDUM

From: Head, Civilian Personnel Division (Code 731000D)

Subj: PERFORMANCE REVIEW BOARD (PRB) 2004

- Encl: (1) Demo employees eligible for rating as of 6/30/04 (if applicable)
(2) Demo employees ineligible for rating as of 6/30/04 (if applicable)
(3) Special Act or Service Award Report as of 6/30/04 (if applicable)
(4) General Schedule (GS) and Wage Grade (WG) employees as of 6/30/04
(if applicable)
(5) Processing Requirements
(6) Quality Step Increases

1. Enclosure (1) is a listing of your department's Demo employees who are eligible for a rating as of 30 June 2004. It also includes the Demo salaries for each of those eligible employees. Enclosure (2) lists those Demo employees in your department who are ineligible for a rating as of 30 June 2004 and the reason for their ineligibility. Information for employees in the Student Educational Employment Program (SEEP) who are eligible for academic bonuses and guidelines on eligibility for the number of bonuses will be provided by separate memo.

2. The increment and bonus pay pools are mathematical representations of dollar limits that department managers must observe for increments (i's) and bonuses (b's). The limits of these pools are calculated as percentages of the Demo salaries of the employees in the department who are eligible to receive performance ratings. Departments need to track the movements of their employees from 30 June 2004 to 31 July 2004 and to incorporate these changes into the Demo eligibles/ineligibles listings, enclosures (1) and (2), with the appropriate changes made to the Demo salaries.

a. The value of your increment (i) pay pool is 2.4% of the sum of the salaries of those Demo employees in your department who are eligible for a rating. Increments are tied to specific ratings and may be given only to employees who are eligible for a rating.

b. The value of your bonus (b) pay pool is 0.8% of the sum of the salaries of those Demo employees in your department who are eligible for a rating. In addition to the bonuses (b's) which will result from the current performance process, Special Act or Service Awards already given to your Demo employees during the performance year, must be charged against the 0.8% bonus (b) pay pool. Enclosure (3) lists awards given by your department during the performance year. Again, departments need to track

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the payments of Special Act or Service Awards from 30 June 2004 through 31 July 2004 and make the appropriate changes to enclosure (3).

c. Supervisors are required to indicate the reason for the selection of a bonus (b). Two choices are provided: (1) the bonus award is due to a single event or one-time accomplishment during the performance year, or (2) the bonus award is due to the accumulated accomplishments for the entire performance year. Note: Employees with a Less than Fully Successful assessment are not eligible for a bonus.

3. Enclosure (4) is a listing of your department's GS and WG employees as of 30 June 2004. Departments need to track the movements of their employees from 30 June 2004 to 31 July 2004 and to incorporate these changes into enclosure (4).

4. Enclosure (5) provides guidance for documenting Performance Appraisal forms. Performance ratings for GS and WG employees will be recorded as follows:

- a. "P" for "Acceptable" performance rating;
- b. "F" for "Unacceptable" performance rating;
- c. "D" for "Deferred" rating for employees who have not served for a minimum of 90 days under an approved performance plan.

Enclosure (6) provides instructions for the processing of Quality Step Increases (QSIs).

5. Departments must submit their Demo performance ratings electronically to Judy Dutcher (judy.dutcher@navy.mil), Code 732000D, by **12 August 2004**. GS and WG performance ratings must be submitted by **1 September 2004** to Judy Dutcher (judy.dutcher@navy.mil), Code 732000D. **Please return the electronic file(s) in the same format as received.**

6. Competencies/departments must submit certification (hard copy/memo, not e-mail) that the above electronically transferred information is in compliance with statutory and regulatory requirements to Kitty Reeve, Code 731000D, no later than **1 September 2004**.

7. Process or procedural information on the electronic transfer of performance rating data can be obtained from Judy Dutcher, (judy.dutcher@navy.mil), Code 732000D, at DSN 437-8112 or (760) 939-8112. Information concerning the performance rating process and procedures can be obtained from your Personnel Management Advisor.



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Distribution:

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PROCESSING REQUIREMENTS (Reference NAWCWDINST 12430.1 of 21 Dec 2000)

The following guidance will assist you in issuing final ratings to employees covered under Pass/Fail. The process should be completed NLT 31 August 2004.

ALL GS and WG EMPLOYEES ON THE ROLLS AS OF 31 JULY 2004, MUST RECEIVE A 2004 FINAL RATING OF RECORD.

To receive a rating of record, an employee must have served for a minimum of **90 days** under an approved performance plan, in the same position and under the same first level supervisor. If necessary, the employee's appraisal period will be extended beyond the cycle ending date to insure the minimum 90-day appraisal period is met. In this case, a "D" (deferred) rating is given.

Step 1. Performance management includes continuous open communication between the supervisor and the employee throughout the appraisal year. First line supervisors are encouraged to solicit feedback of the employee's performance from as many applicable sources as appropriate, i.e. team leaders, integrated program teams, customers. The supervisor is responsible for providing the employee a written rating of record within 30 days after the end of the appraisal period.

Step 2. The supervisor should check "Rating of Record" on the Performance Appraisal form and assign a summary rating.

Step 3. The first line supervisor signs and dates the form indicating that the rating of record meeting was conducted.

Step 4. The employee then signs and dates the form.

NOTE: Signatures indicate only that the review has been accomplished. The signature of the reviewing official is only required in the event of an "Unacceptable" rating.

Step 4a. Unacceptable Performance. If an employee's performance is determined to be "Unacceptable" in one or more critical element(s), the supervisor must communicate the performance deficiency and the expectations to the employee in writing. The employee must have been afforded a performance improvement period well before the rating of record meeting. The Personnel Management Advisor in the Human Resources Department **must** be contacted for guidance on the procedural requirements and the second level supervisor should be advised of the issues.

Step 5. A copy of the completed form is given to the employee, the original is kept by the supervisor or other management official in the employee's performance file, and the rating (**P, F, or D**) is recorded electronically onto the data disk.

QUALITY STEP INCREASES

If the employee is to be recommended for a Quality Step Increase (QSI) in recognition of high quality sustained performance above that ordinarily found in the type of position covered, that recommendation needs to be submitted using the NAWCWD AWARD NOMINATION FORM, NAWCWD 12451/1 (Rev 1-2002). To be eligible for a QSI, General Schedule employees must meet all the following criteria:

- the employee's last rating of record must be "Acceptable" or higher;
- demonstrated sustained performance of high quality significantly above that expected at the "Acceptable" level (i.e., exceeded the "Acceptable" criteria depicting unusually good or excellent quality or high quantity of work provided ahead of schedule and with less than normal supervision);
- made a significant contribution to the organization's mission;
- there is an expectation that the high quality performance will continue in the same position and grade for 60 days after the effective date of the QSI;
- has not received a QSI within the last 52 weeks.
- is not retiring or transferring to another agency.

The approved NAWCWD Award Nomination form must be submitted to the appropriate department contact for processing.

Enclosure (6)