



DEPARTMENT OF THE NAVY
NAVAL POSTGRADUATE SCHOOL
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NPSINST 12430.1A
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20 Oct 21

NPS INSTRUCTION 12430.1A

From: President, Naval Postgraduate School

Subj: PERFORMANCE MANAGEMENT AND APPRAISAL PROGRAM

Ref: (a) DoD Instruction 1400.25 Vol 430 of 5 August 2014
(b) DoD Instruction 1400.25 Vol 431 CH-2 of 1 July 2020

Encl: (1) NPS Appraisal Cycle Milestones
(2) Mandatory Employee Performance Elements
(3) Mandatory Supervisory Performance Elements
(4) Mandatory Contracting Officer Representative Performance Elements
(5) Guide for Faculty Performance Plans
(6) NPS Performance Rating Levels and Rating Criteria
(7) Work Agreement Intermittent Employee - Working Less Than 90 Calendar Days
(8) Work Agreement Temporary Employee - Less than One Year

1. Purpose. To implement the Defense Performance Management and Appraisal Program (DPMAP), as outlined in references (a) and (b), for all General Schedule, Wage Grade, and Administratively Determined civilian employees assigned to the Naval Postgraduate School (NPS).
2. Scope and Applicability. This instruction applies to NPS full-time, part-time, and intermittent Appropriated Funds civilian employees subject to DPMAP assessment. Excluded from this instruction are faculty members, with signed work waivers, who have specialized qualifications in positions of a scientific, professional, or analytical nature and are not employed for more than 130 working days per year; and temporary employees with appointments of less than one year who agree to serve without a performance appraisal and who will not be considered for either reappointment, pay increases, or performance-based awards.
3. Background. DPMAP provides a framework for supervisors and managers to communicate job performance expectations and to provide a fair and meaningful assessment of job performance to employees throughout the appraisal cycle. DPMAP facilitates a fair and meaningful assessment of employee performance, establishes a systematic process for planning, monitoring, evaluating, recognizing, and rewarding employee performance that contributes to mission success.
4. Responsibilities. All supervisors, managers and employees are responsible for accomplishing their responsibilities outlined in this instruction and associated references.

a. NPS President, Chief of Staff and Provost will

- (1) Implement DPMAP per this instruction.
- (2) Ensure supervisors and employees complete performance management training as outlined in paragraph 5.
- (3) Respond to Department of the Navy (DON) assessments, recommendations, and required actions within required timeframes.
- (4) Initiate the appraisal cycle and ensure required progress reviews and final performance appraisal are completed across NPS.
- (5) Monitor and receive notifications of completion of progress and final performance appraisals.

b. Human Resources Director will

- (1) Ensure the performance management process is reviewed annually for regulatory compliance and serve as the office of primary responsibility for keeping this instruction current.
- (2) Ensure that new supervisors and new employees, including those transferred or promoted, receive orientation to DPMAP procedures and requirements.
- (3) Provide the NPS President with a performance appraisal statistical report within four weeks of the final approval of all performance appraisals.
- (4) Advise the NPS President on proposed changes to this instruction.
- (5) Maintain a copy of the completed DD Form 2906 Department of Defense Civilian Performance Plan, Progress Review and Appraisal, electronically or physically, and managed per paragraph 6.

c. Higher Level Reviewer (HLR) Officials will

- (1) Hold Rating Officials (RO) accountable for executing the performance management process within the established requirements, guidelines, and milestones as identified in enclosure (1).
- (2) Perform the RO duties and responsibilities when the RO is unable to perform them.
- (3) Ensure there is consistency in the application of performance standards for like positions and similarly situated employees.
- (4) Review the critical elements of each individual employee's performance plan and individual development plan (IDP) prior to RO approval. A performance plan will not be

approved without the mandatory or recommended elements/standards identified in enclosures (2) through (5) for the employee's position.

(5) Review and approve each individual employee's final performance appraisal, ensuring performance ratings from ROs are justified by annual performance rating narrative assessments with clear distinctions made for different levels of performance and contributions per enclosure (6). A rating assessment that does not conform to all requirements must be reconciled with the RO.

d. ROs will

(1) Communicate organizational goals and priorities to employees at the beginning of the performance cycle and throughout the year as changes occur.

(2) Ensure each employee's position description is current.

(3) Ensure all subordinate employees have a performance plan and an IDP established at the beginning of the appraisal cycle.

(4) Develop a performance plan, with opportunity for consultation from the employee, for each employee within 30 days of the beginning of the appraisal cycle, within 30 days after arrival onboard or within 30 days of an employee changing positions or reporting to a new position. Per reference (a), ROs will ensure employees are on new elements for a minimum of 90 calendar days prior to the end of the appraisal cycle to receive a rating of record. If the employee does not have access to the MyPerformance Tool, the RO should consult with the Employee Relations Branch of the HRO for guidance. Supervisors who fail to ensure their employees have an approved performance plan may be subject to progressive discipline and will be ineligible to receive a rating of five on any of their established supervisory critical elements. ROs will not approve performance plans without the mandatory elements/standards identified in enclosures (2) through (4) and RO's should follow guidance and recommendations provided in enclosure (5) for Faculty performance plans.

(5) Provide meaningful and constructive feedback to an employee throughout the performance period. Conduct a minimum of three formal performance discussions: the initial performance meeting to discuss performance expectations, one progress review; and a final performance evaluation discussion.

(6) Recognize employees, as appropriate, for their accomplishments throughout the appraisal cycle.

(7) Identify and document unacceptable performance. Contact the servicing Employee Relations Specialist to ensure all required documentation is adequate and ensure guidelines are met prior to assigning an "Unacceptable" Performance Rating (level 1). A Performance Improvement Plan is not required to assign an unacceptable rating. However, an unacceptable rating requires the RO to place the employee on a Performance Improvement Plan and to provide the employee an opportunity to demonstrate acceptable performance.

(8) Request training, as appropriate and needed, for employees per the employee's IDP.

(9) Provide written annual performance rating narratives based on merit and contributions to mission accomplishment. Rating narratives must provide clear distinctions for different levels of performance and contributions. Ensure employees are provided an opportunity to complete a self-assessment for the final performance evaluation performance element rating.

(10) Ensure the appraisal cycle milestones are met as per enclosure (1).

(11) Complete a performance narrative statement if the RO leaves the organizational unit or the employee is no longer assigned to the performance plan after serving under the plan for a minimum of 90 days and there are more than 90 days remaining in the rating cycle using the "Narrative Statement Tab" in the MyPerformance Tool.

(12) Complete a rating of record, which will become the employee's rating of record for the appraisal cycle, if the employee has been assigned to the plan for a minimum of 90 days and the RO leaves the organization unit or the employee is no longer assigned to the performance plan when there are less than 90 days remaining in the cycle.

(13) Ensure intermittent employees working less than 90 days in an appraisal cycle are notified that per reference (b), they are eligible for a waiver from the applicability of this instruction. Execution of enclosure (7) or enclosure (8) constitutes a waiver for intermittent employees working less than 90 days during the appraisal cycle and for temporary employees employed for less than one year, respectively. Electronic versions of enclosures (7) and (8) are located on the Human Resources Office (HRO) intranet page.

e. Employees will

(1) Perform work as assigned

(2) Acknowledge changes made to the individual performance plan within 14 days of notification of a change (e.g., the establishment of a new performance plan, changes to performance elements or standards, and notifications of receipt of a progress review or a rating of record).

(3) Participate in the development of their performance plan critical elements and IDP.

(4) Provide feedback, to include their self-assessment, during the progress review and final performance evaluation in the MyPerformance Tool.

(5) Participate in the formal discussions with their RO. Sign progress review and final performance evaluation in the MyPerformance Tool.

f. Trusted Agents will

(1) Be a member of management.

(2) Serve as delegated, assigned authority from the rating official and HLRs, to act on their behalf in the MyPerformance Tool. The sole purpose of the trusted agent is to document the manager's decisions in the employee's record.

(3) Normally be assigned only to those positions that serve as a direct assistant to the President, Provost, Dean, Academic Chair or Staff Director.

5. Training Requirements. All NPS employees, ROs, and HLRs are required to complete one of the following to assist in executing program responsibilities:

a. Online review of DoD Performance Management and Appraisal System-DPMAP-Performance Management Overview (<https://nps.edu/web/hro/dpmap>)

b. In person training provided by NPS HRO.

6. Records Management. Records created as a result of this instruction, regardless of media and format, must be managed per Secretary of the Navy Manual 5210.1 of September 2019.

7. Review and Effective Date. Per OPNAVINST 5215.17A, Naval Postgraduate School will review this instruction annually around the anniversary of its issuance date to ensure applicability, currency, and consistency with Federal, DoD, Secretary of the Navy, and Navy policy and statutory authority using OPNAV 5215/40 Review of Instruction. This instruction will be in effect for 10 years, unless revised or cancelled in the interim, and will be reissued by the 10-year anniversary date if it is still required, unless it meets one of the exceptions in OPNAVINST 5215.17A, paragraph 9; otherwise, if the instruction is no longer required, it will be processed for cancellation as soon as the need for cancellation is known following the guidance in OPNAV Manual 5215.1 of May 2016.



P. E. OLD
Chief of Staff

Releasability and distribution:

This instruction is cleared for public release and is available electronically only via Naval Postgraduate School Intranet Web site, <https://nps.edu/group/mynps/instructions>

NPS APPRAISAL CYCLE MILESTONES

PERFORMANCE PLAN		<i>Complete by</i>
Employee creates new performance plan in the MyPerformance tool and submits to Rating Official (RO) via the “Transfer to Rating Official” function.		Within 30 days of Entry of Duty (EOD) date
RO reviews and approves new performance plan in the MyPerformance tool and submits request for Higher Level Review (HLR).		Within 30 days of EOD date or start of appraisal cycle
HLR reviews the performance plan in the MyPerformance tool and returns to RO for communication to the employee.		Within 30 days of EOD date or start of appraisal cycle
RO communicates the performance plan to the employee and returns the plan to the employee in the MyPerformance tool for final acknowledgement.		Within 30 days of EOD date or start of appraisal cycle
Employee acknowledges final DPMAP plan in the MyPerformance tool.		Within 30 days of EOD date or start of appraisal cycle
HRO begins briefing Command of outstanding FY2021 performance plans.		Within 30 days of EOD date or start of appraisal cycle
PROGRESS REVIEW		<i>Complete by</i>
Employee creates self-assessment in MyPerformance tool for each performance element; submits to RO.		Minimum once within the appraisal cycle
Supervisor completes RO assessment; schedules meeting to communicate progress review to employee then annotates method of communicate and date and sends progress review to employee via “Transfer to Employee” function for digital signature of progress review.		Minimum once within the appraisal cycle
HRO begins briefing Command of outstanding FY2021 progress reviews.		Minimum once within the appraisal cycle
APPRAISAL		<i>Complete by</i>
Employee creates self-assessment in MyPerformance tool for each element.		Within 30 days of the end of the appraisal cycle
Supervisor completes RO assessment and forwards to HLR for review. <i>NOTE: For each performance element, indicate the appropriate element rating and ensure narrative statement supports rating.</i>		Within 30 days of the end of the appraisal cycle
Once HLR reviews and approves appraisal, return to RO for delivery and digital signatures in MyPerformance Tool to finalize communication to employee.		Within 30 days of the end of the appraisal cycle
HRO begins briefing command of outstanding FY2021 appraisals.		Within 30 days of the end of the appraisal cycle
NOTES:		
<p>Rating periods are as follows:</p> <p>Evaluation period start date: <i>NEW HIRES ONLY</i>: Use our Entry on Duty (EOD) date.</p> <p>FY21 Performance Cycle: 1 October 2020 – 30 September 2021.</p> <p>FY22 Performance Cycle: 1 October 2021 – 31 March 2022</p> <p>*** On 1 APR 2022, NPS will shift to the DoD standard performance cycle of 1 April – 31 March ***</p> <p>Note: Rating Official (RO) is first-line supervisor. Higher Level Reviewer (HLR) is second-line supervisor.</p>		

MANDATORY EMPLOYEE PERFORMANCE ELEMENTS***(All employees of NPS)***

1. Execution of Administrative Requirements: Completes all actions required for Defense Performance Management and Appraisal Program (DPMAP) (i.e. development of performance plan, draft performance standards, provide performance self-assessment input, and acknowledge all actions in DPMAP system) within established timeframes and completes all required annual training, Individual Development Plan development, and validation of Navy Family Accountability and Assessment System data within established timeframes with not more than one exception. Completes OGE450 and DD577 forms, if applicable, withing filing deadline.

2. Mandatory Performance Element for All Employees That Work with Classified Information: Ensures that classified information, material, and documents are safeguarded, protected, and maintained in accordance with established regulations, policies and in compliance with SECNAV 5510.36A. Comply with all required certification and trainings requirements with regard to marking, handling, safeguarding, storing and transmissions of classified information. Report instances of spillage, failure to comply with security procedures, or other risks to sensitive information to the appropriate authorities within two hours of identified incident.

MANDATORY SUPERVISORY PERFORMANCE ELEMENTS

(All supervisors of NPS employees)

1. **Leadership.** Leads by example. Fosters high ethical standards in meeting the organization's vision, mission, and goals. Develops and implement mission-aligned vision for the organization/workgroup. Annually, develop and champion ideas to improve the organization. Fosters an environment of innovation through effective and efficient business methods that save time and resources. Creates and maintains a positive, safe work environment to maximize employee potential. Develops others' ability to perform and contribute to the organization by supporting one professional development opportunity for each employee; and provide ongoing professional feedback quarterly. Provides opportunities for all employees to leverage mentoring tools or other informal career mentoring channels. Ensures the workplace is free from all forms of discrimination (including harassment and retaliation) and proactively and expeditiously resolves workplace conflict at the lowest level. Provides an inclusive workplace; seeks and considers employee input; allows for full participation by all employees; facilitates collaboration and cooperation. Effectively works across organizational and command boundaries and ensuring effective use of public funds. For fully successful rating, execute the above with no more than two instances of failing to complete supervisory assignments within established or stated timeframes, and no more than three- five instances of failing to respond and manage workplace disputes.

2. **Managerial Proficiency.** Works with employees to create Individual Development Plans. Develops employee performance plans that identify clear and measurable tasks/results aligned with Naval Postgraduate School's mission and goals. Ensures employee performance plans include elements required by policy. Prioritizes staff work based on workload. Ensures mission-critical work is completed within established milestones. Actively monitors and evaluates employee performance, provide constructive feedback and realistically appraise performance against established standards. Holds employees accountable and promptly addresses performance/conduct issues. Timely rewards performance. Discusses expectations with employees. Promotes application of knowledge or skills. Complies with laws, regulations, or policies, such as, EEO and Merit Systems Principles. Ensures cooperation with Equal Employment Opportunity officials during inquiries. Personnel responsibilities (i.e., recruitment, promotion, and training) are completed per established procedures. 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. Ensures employees timely complete annual mandatory training. For Fully Successful rating, execute the above consistently; meet established procedures and deadlines 90 percent of the time.

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**MANDATORY CONTRACTING OFFICER REPRESENTATIVE PERFORMANCE
ELEMENTS**

1. Contracting Officer Representatives (COR) (primary and alternates). Maintain an electronic file containing records relating to COR duties during the life of the contract. COR files must be established and maintained in the Procurement Integrated Enterprise Environment (PIEE) within the Joint Appointment Module (JAM) and Surveillance and Performance Monitoring (SPM) tools, or for Assisted Acquisitions, an alternative location approved by the division director where others have access to pull post-award contract administration records. For audit support (e.g. Financial Improvement and Audit Readiness (FIAR) and Contracting Officer Audits), COR files must be current and up to date. CORs must provide all files and invoice responses within three business days of the request. At a minimum, the COR file will include the contracting officer's letter of designation, contract, all modifications, copies of invoices, and documentation of acceptance (i.e. delivery receipts for commodities, monthly reports for service contracts). CORs that do not provide 95 percent of the required documentation within the timeline will not be rated as fully successful for this objective.

2. COR Supervisor. Ensure Defense Human Resources Activity meets FIAR requirements. Puts a plan in place to ensure all CORs maintain an electronic file containing records relating to his or her COR duties during the life of the contract. The supervisor will establish processes and conduct yearly reviews for all COR files located in the PIEE within the JAM and SPM tools, or for Assisted Acquisitions an alternative location where others have access to pull post-award contract administration records. The supervisor will hold employees' accountable for keeping files current and up to date. Supervisors will take corrective action or establish performance improvement plans for CORs unable to provide all files and invoice responses within three business days of the request.

Guide for Faculty Performance Plans

Part I: DPMAP Principles and Basics

This document contains general guidance and suggestions for the faculty as they develop their annual Defense Personnel Management Appraisal Plan (DPMAP) documents. The appraisal cycle at the Naval Postgraduate School (NPS) for FY21 is 1 October – 30 September and in FY22 NPS will transition to the Department of Defense (DoD) standard by having a 6 month performance period from 1 October 2021 – 31 March 2022 and then will establish the DoD standard 12 month performance period on 1 April 2022 – 31 Mar 2023. In 2018, the NPS Faculty Council Executive Board surveyed the position descriptions for faculty, as well as administration documents that detail faculty workload and activity expectations. From these, a set of possible elements and standards that each faculty member can use to design their own DPMAP document. The possibilities are not limited to this list: individuals can and should customize both the standards and elements within them in conjunction with their supervisor.

All DoD employees must develop yearly performance plans, in collaboration with their supervisors. Evaluating performance entails assessing performance against the performance elements and standards in the employee's approved performance plan and assigning a rating of record based on work performed during the appraisal cycle. The performance plans encompass

All of the written, or otherwise recorded, performance elements and standards that set expected performance. The plan must include critical performance elements and their standards. Each employee must have a written performance plan established and approved normally with 30 calendar days of start of the performance appraisal cycle, or employee's assignment to a new position or set of duties. (DoD Instruction 1400.25, Vol. 431)

Each person's performance plan will contain a performance narrative and a specific set of evaluation criteria, grouped into categories of evaluation (called *elements*) and measured by specific goals (called the *standards*). Among other things, the narrative will ask you to describe your performance plan and to specifically address how your plan aligns with the organization's mission.

Elements are categories of evaluation; they specify the components by which each faculty member will be evaluated. The standards lay out how the elements will be measured. Standards specify the categories of activity that fall within each element, determine what specific goals the faculty member should reach in those categories of activities, and identify how will that activity be measured. Standards should be relatively precise but tailored to each faculty member's situation.

Recall from the DPMAP training slides:

- Performance elements describe what work is to be performed.
 - Performance plans must have a minimum of one critical performance element, maximum of 10, and each performance element must have associated standards that define expectations.
 - The number of supervisory performance elements on performance plans for supervisors will equal or exceed the number of non-supervisory (technical) performance elements. This guidance document does not include supervisory elements for the deans, chairs, and other administrative faculty.
 - An organization *may* have standardized performance elements.

- Standards describe how the requirements and expectations provided in the performance elements are to be evaluated. They
 - Should be written using SMART criteria: specific, measurable, achievable, realistic, and time-bound;
 - Must be written at “Fully Successful” level for each performance element; and they should
 - Avoid using absolute standards (e.g., 100 percent, always, or never) unless critical to life and safety.
(From DoD Instruction 1400.25, Vol. 431)

As you prepare these documents, please remember that each faculty must have at least one element for evaluation, and three is the faculty council’s suggested number. During the evaluation process your supervisor will assign a rating for each element, based on the standards for precise evaluation that you select. The evaluation criteria listed below are phrased in general terms: each faculty member is responsible for determining which elements apply to them, and which standards of measurement they wish to be applied for that element.

Performance Ratings¹

All employees will be evaluated on a three-point scale:

1- Unacceptable:

- Does not meet expectations for quality of work; fails to meet many of the required results for the goal;
- Is unreliable; makes poor decisions; misses targeted metrics (e.g., commitments, deadlines, quality);
- Lacks or fails to use skills required for the job; and
- Requires much more supervision than expected for an employee at this level.

3 - Fully Successful

- Effectively produces the specified outcomes, and sometimes exceeds them;
- Consistently achieves targeted metrics;

¹ For more on this, see the DPMAP training presentation #6: Evaluating Performance.

- Proactively informs supervisor of potential issues or roadblocks and offers suggestions to address or prevent them; and
- Achieves goals with appropriate level of supervision.

5 – Outstanding

- Produces exceptional results or exceeds expectations well beyond specified outcomes;
- Sets targeted metrics high and far exceeds them (e.g., quality, budget, quantity);
- Handles roadblocks or issues exceptionally well and makes a long-term difference in doing so;
- Is widely seen as an expert, valued role model, or mentor for this work; and
- Exhibits the highest standards of professionalism.

When assigning a yearly evaluation score, your supervisor will rate you against your performance plan, and each employee will be provided with a written rating of record. Within each performance element, supervisors will rate each standard, and average those to determine the score for that element. To arrive at the overall evaluation score, the supervisor will then average the performance element scores. To obtain an “outstanding” evaluation (score of 5), the employee must score 4.3 or greater on all elements, and not receive any performance elements rated at 1. To be rated “fully successful” overall, the average score of all performance element ratings will be less than 4.3, with no element rated as a 1.

Per DODI 1400.25, volume 431, a rating record of “Unacceptable” must be reviewed and approved by a higher level reviewer. Supervisors should be sure to familiarize themselves with and follow local policy before they communicate the rating to an employee. Supervisors should contact their Employee Relations Specialist in Human Resources prior to rating an employee as “Unacceptable.”

Things to Consider when Devising Your Performance Plan²

Each faculty member will take the elements and general standards that we have outlined below, and from them devise specific standards that match their position, resources, and where they are in their academic career. We have suggested categories; you have to turn these into specific and measurable goals.

The DPMAP training had suggestions of what to consider as you do this. If you would like a refresher, please consult presentation #3 from the DPMAP training – this information is all there. We’re copying the most essential information from that presentation in the text below.

- Are the standards applicable to your position?
 - Can the supervisor use the standards to appraise performance?
 - The standards should clearly describe the factors that the supervisor would look for and how well those factors should be done.

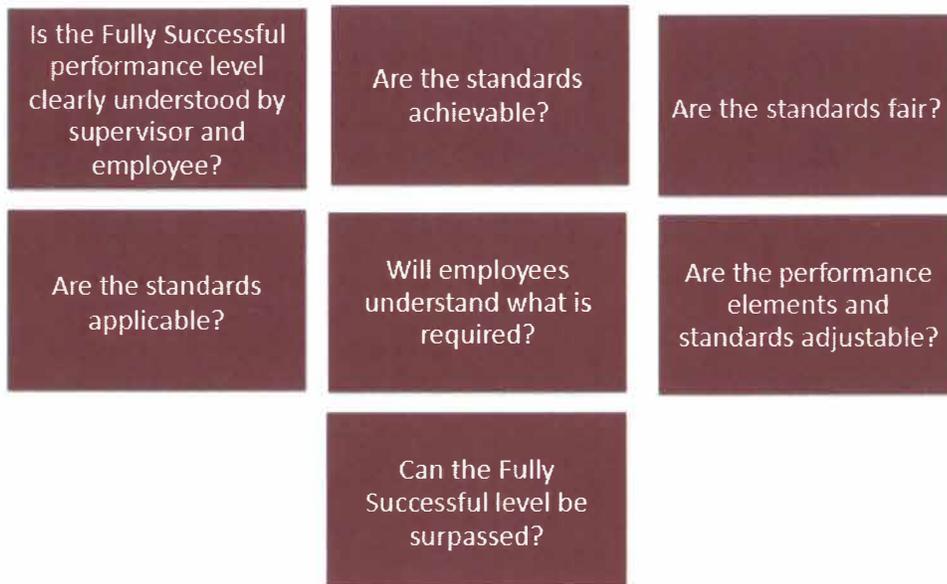
² For more on this, see the DPMAP Training Presentation Lesson #3: Planning Performance

- If the standards are generic, have they been supplemented with specific information so that employees know what they have to do to demonstrate “Fully Successful” performance?
 - Performance elements and their standards should be written clearly and be specific to the job
- Are the standards achievable and reasonable?
- Are the standards fair?
 - Are they comparable to expectations for other employees in similar positions?
 - Applying different standards to employees doing the same work does not appear on its face to be fair or valid.
 - Requiring higher-level management review of standards for similar work across an organization may be one way of ensuring equity.
 - Do the standards allow for some margin of error?
 - Requiring perfection is not fair in most instances.
 - Can the fully successful standards be surpassed?
 - Is it possible for an employee’s performance to *exceed* the standard?
 - By including “Fully Successful” standards that cannot be surpassed, the performance plan effectively eliminates the opportunity for the employee to obtain a higher assessment.
 - Are the performance elements and standards adjustable?
 - Can they be adapted readily to changes in resources?
 - Performance elements and standards can be modified during the performance appraisal cycle to meet changing organizational goals and other situations,
 - As long as the employee works under the new standards for at least 90 days.
 - This flexibility allows performance plans to be used as management tools to manage employee performance on a day-to-day and week-to-week basis.



Performance Plan Checklist

➤ When developing a performance plan, ask:



Regarding SMART Goals

The concept of SMART goals originated in management science. The concept maps imperfectly onto an academic environment. We ask that you think about the elements of a SMART goal, and decide how to best apply it to your position at NPS. You choose how to define these in a way that allow you to be “fully successful” while leaving open the possibility of exceeding the successful goal and earning an “outstanding” evaluation.

1. **S**pecific: stated as simply, concisely, and explicitly as possible. These goals should be
 - a. Defined as specific behaviors, efficiencies, or results,
 - b. Concrete and job-related, and
 - c. Stated in active voice with one action verb.
2. **M**asurable: outcome oriented, reflecting the most important aspects of performance. These goals
 - a. Can be evaluated objectively,
 - b. Identify criteria for success and failure, and
 - c. Provide a number or percent that can be tracked.
3. **A**chievable: Can be accomplished with available resources. These goals should
 - a. Present realistic requirements,
 - b. Specify an appropriate amount of work/responsibility, and
 - c. Be feasible given the employee’s competencies and the organization’s resources.
4. **R**elevant (or Realistic). These goals are

- a. Consistent with the employee's role in the work place, and
 - b. Aligned with the employee's skills, knowledge, time available, and ability to be fully successful.
5. Time-bound. These goals should
- a. State when task should be completed,
 - b. Express as a clear and unambiguous timeframe, and be
 - c. Plausible according to average workload.

For example, regarding teaching duties, a SMART goal could be stated as "Professor Xavier will teach three in-residence courses in the coming academic year." The standard of evaluation does not need to list what minimum student evaluation the professor should earn, does not have to specify any new materials to be developed, etc- unless you choose to put that information in there.

Regarding publications, you could state a SMART goal as follows: "Professor McGonagall will work on three journal manuscripts in the coming year, and will submit at least two of these for review at high ranking disciplinary journals." Whether you list the actual publication of those manuscripts is up to you, but since it is often something that is outside of your control, we suggest you do not specify that you will *publish* three journal articles in the coming year. If you focus on submitting the manuscripts for review, and then you succeed in publishing several of those manuscripts, you have now exceeded the standards that you specified – enabling you to earn an *OUTSTANDING* evaluation.

You are all smart people and can understand how this system will work. Remember: if your duties change during the year, you should adjust your DPMAP evaluation plan accordingly.

Part II: Guidance for Specific Categories of Faculty

The guidance for specific categories of faculty is based on the NPS faculty model, which lays out the expected balance of research, teaching and service for each category of faculty at NPS. Each faculty member will have a different mix of these, and your performance elements should reflect the job as written in your position description, and as determined in conjunction with your department/academic unit leadership. Position descriptions for NPS faculty can be accessed at the [NPS Wiki page for Faculty Administration](#).

NPS Academic Operations – Faculty Model - Faculty Activity Expectations (September 2016)



Instructional Faculty (NTT)

- Professor of Practice (AD7)
- Senior Lecturer (AD5)
- Lecturer (AD3)

Suggested Elements	Potential Standards
Instruction - Teaching	1) Courses taught: quantity and quality 2) Courses developed: new courses, new pedagogies 3) Participation in pedagogical training opportunities 4) Students mentored or supported outside of class 5) Supporting and encouraging students to co-author scholarly manuscripts and/or research reports
Instruction - Advising	1) Theses advised: quantity and quality 2) Informal research mentorship provided to students
Additional Elements	<p>By determination of faculty member and supervisor.</p> <p><i>NB: Instructional faculty are not expected to take on extensive research or service roles, as these are not part of the position description for these faculty. Therefore they are not included in the suggested elements and standards in this guidance.</i></p> <p><i>If an instructional faculty member wishes to take on duties outside of the position description, this should be done only with the explicit and documented consent of the relevant supervisor, and be codified in each year's DPMAP elements and standards. In these instances, the faculty member should use the relevant categories in the tenure track guidelines to help devise the elements and standards for their own annual DPMAP document.</i></p>

Research Faculty (NTT)

- Research Professor (AD7)
- Research Assoc. Prof. (AD5)
- Research Assist. Prof. (AD3)

Suggested Elements	Potential Standards
General Research Activities	1) Research conducted for in-progress manuscripts 2) Proposals written 3) New Projects Initiated 4) Conferences and workshops organized/facilitated 5) Conference papers presented

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	6) Professional development activities
Research Publications	<ol style="list-style-type: none"> 1) Scholarly manuscript preparation 2) Scholarly manuscript publication 3) Software/Hardware/Other forms of scholarly contributions and publications 4) Research conducted for in-progress manuscripts 5) Reimbursable research funding: as PI, in support of other PIs
Reimbursable Funding Portfolio	<ol style="list-style-type: none"> 1) New reimbursable funding: as PI, in support of other PIs 2) Ongoing reimbursable activities 3) Size of overall reimbursable portfolio
Additional Elements	<p>By determination of faculty member and supervisor.</p> <p><i>NB: Research faculty are not expected to take on extensive instructional or service roles, as these are not part of the position description for these faculty. Therefore they are not included in the suggested elements and standards in this guidance.</i></p> <p><i>If a research faculty member wishes to take on duties outside of the position description, this should be done only with the explicit and documented consent of the relevant supervisor, and be codified in each year's DPMAP elements and standards. In these instances, the faculty member should use the relevant categories in the tenure track guidelines to help devise the elements and standards for their own annual DPMAP document.</i></p>

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For Non-TT Faculty Associates (for research, education, plus other categories)

The categories and job descriptions vary widely. In a general sense, each faculty associate should have elements that support the same categories of activities above, especially research and instruction for FARs and FAEs).

Below are suggestions, and each faculty member will have to tailor these to their specific position. The faculty member should be careful to ensure that their supervisor is involved in the specific elements and standards determined for each year of evaluation.

Faculty Associate - Research

- FA – AD5 (~Research Manager)
- FA – AD3 (~Research Associate)
- FA – AD1 (~Research Assistant)

Suggested Elements	Potential Standards
Research Activity Support	<ol style="list-style-type: none"> 1) Support writing proposals 2) Support conducting research 3) Support writing up research
Research Financial Support	<ol style="list-style-type: none"> 1) Assistance in managing reimbursable budgets 2) Assistance working with sponsor administration and requests
Research Administrative Support	<ol style="list-style-type: none"> 1) Assistance working with NPS administration 2) Assistance in writing contracts, working in KFS, etc
Additional Elements	By determination of faculty member and supervisor.

Faculty Associate - Education

- FA – AD5 (~Education Manager)
- FA – AD3 (~Education Proc/Sys)
- FA – AD1 (~Education Proc/Sys)

Suggested Elements	Potential Standards
Instructional Assistance	<ol style="list-style-type: none"> 1) Assistance to faculty in course preparation activities 2) Assistance for instruction-related activities
Administrative Assistance	<ol style="list-style-type: none"> 1) Assistance working with NPS administration 2) Assistance in writing contracts, working in KFS, etc 3) Assistance with procurement and instructional systems
Additional Elements	By determination of faculty member and supervisor.

NPS PERFORMANCE RATING LEVELS AND RATING CRITERIA**Examples of Standard Performance Rating Levels for Each Critical Element**Level 5 – Outstanding

- Produces exceptional results or exceeds expectations well beyond specified outcomes.
- The quality and quantity of the employee's work substantially exceeds the standard with minimal room for improvement.
- The accuracy, thoroughness, and timeliness of the employee's work on this element are exceptionally reliable.
- Sets targeted metrics high and far exceeds them (e.g., quality, budget, quantity).
- Application of technical knowledge and skills goes well beyond that expected for the position.
- The employee consistently and significantly improves the work processes and products for which he or she is responsible.
- 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.
- Work products rarely require even minor revisions.
- The employee seeks additional work or special assignments at increasing levels of difficulty.
- Exhibits the highest standards of professionalism.

Level 3 – Fully Successful

- Effectively produces the specified outcomes, and sometimes exceeds them.
- The quality, quantity, and timeliness of the employee's work fully meet the requirements of the performance element.
- 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.
- The employee adheres to procedures and format requirements.
- Proactively informs supervisor of potential issues or roadblocks and offers suggestions to address or prevent.
- 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 of quality of work; fails to meet many of the required results for the goal.
- The quality, quantity, and timeliness of the work are unsatisfactory.
- 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 this 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.

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 rated 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

WORK AGREEMENT
INTERMITTENT EMPLOYEE - WORKING LESS THAN 90 CALENDAR DAYS

I, NAME, having been offered a time limited Excepted Service appointment with an intermittent work schedule to the position of Position Title, Series, Grade at the Naval Postgraduate School effective EOD understand and agree to the following:

- While on an intermittent work schedule, I am ineligible for federal benefits such as health insurance, life insurance, retirement contributions, and participation in the Thrift Savings Plan. I am also ineligible to accrue annual or sick leave.
- I will be employed on an “as needed” basis, performing work only when funding and mission requires. I will be given ten working days to respond to a call to work and will be available to report for work normally within five working days from the date of my response. There is no guaranteed minimum amount of work and I cannot be converted to a part-time or full-time work schedule.
- I understand that by serving on a time-limited appointment there is no expectation of renewal of this appointment.
- I understand that by serving on an intermittent work schedule, there will be no requirement for professional development plans.
- I understand that while serving on an intermittent work schedule with an expectation of working less than 90 calendar days during the fiscal year, I will work without being placed on a performance plan and I will not receive an annual appraisal of my performance. By not receiving an annual appraisal, I will not be eligible for performance-based recognition such as performance awards and merit step increases.

(EMPLOYEE NAME TYPED HERE)

Date of Acceptance

Supervisor Certification: I certify that this employee is not anticipated to perform work more than 90 calendar days during a consecutive 12-month period. I will inform the Labor/Employee Relations Branch if circumstances change, for guidance on properly establishing a performance plan.

Supervisor Signature

Date

Please note: Calendar day includes any day work is performed, even if only one (1) hour. Consecutive 12 month period means time from current appointment to current Not To Exceed (NTE) date.

Enclosure (7)

20 Oct 21

WORK AGREEMENT
TEMPORARY EMPLOYEES - LESS THAN ONE YEAR

I, _____, having been offered a time limited Excepted Service appointment with a seasonal work schedule to the position of _____ at the Naval Postgraduate School understand and agree to the following:

- While on a time limited appointment, I am eligible for federal benefits such as health insurance, life insurance, retirement contributions, and participation in the Thrift Savings Plan. In addition, I will earn annual and sick leave bi-weekly commensurate with my work schedule.
- I will be employed on an "as needed" basis, performing work and being placed in a non-pay status at the discretion of the Dean of _____. I will be given, at a minimum, ten working days advance notice before being placed in a non-pay status. I will also be given ten working days to respond to a recall to work and will be available to report for work normally within five working days from the date of my response. While I may be required to work full-time, 12 months each year, there is no guaranteed minimum amount of work. Decisions are based on funding, workload and mission.
- I understand that by serving on a time limited appointment there is no expectation of renewal of this appointment.
- If I am placed in a non-pay status, I will receive service credit for retirement and leave accrual purposes up to a maximum of six months per calendar year. I understand that my life insurance and health benefits will continue for up to 365 days in a non-pay status. I further understand that my life insurance will continue at no cost to me but that I will be responsible for either remitting payments directly to Defense Finance and Accounting Service or incurring a debt to be repaid upon return to a pay and duty status.

(EMPLOYEE NAME TYPED HERE)

Date of Acceptance