

Guide to Ratings Only Pay Pools FY 2011 Rating Year

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Purpose and Audience

Purpose

The purpose of this document is to provide instructions for running a ratings-only pay pool. Although many processes will work the same as in prior years, there are some areas where changes are required, and this guide will point out those areas.

This document also will provide special information for small pay pools (one or a very small number of employees).

All employees will be transitioned out of NSPS before 1 January 2012, so no payouts will result from any pay pools held this year.

Please remember that this guide does not repeat all steps that the Pay Pool Administrator (PPA) needs to take – for instance, it does not address employee notification requirements. The PPA must follow all available guidance for pay pool administration.

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Organizations and employees covered

This guide is for organizations and commands that transitioned/transition out of NSPS between 3 July 2011 and 20 November 2011, or that had employees transition out of NSPS in that timeframe.

Employees are entitled to NSPS ratings of record if they have had 90 days or more under an approved performance plan. Employees who transitioned out between 3 July 2011 and 30 September 2011 will receive early annual ratings. For organizational and/or individual transitions from 1 October 2011 to 20 November 2011, regular annual recommended ratings will be completed considering accomplishments achieved under NSPS and GS. See [Transition Guidance – Performance Management](#).

In some cases, commands and organizations will have only one or a few employees transitioning out of NSPS during this time frame, and these employees will be eligible for NSPS ratings of record for the current rating period. Commands should be careful to identify all such employees and ensure that they are incorporated into a current pay pool, or create a new pay pool so that they can receive final ratings of record.

Use of DD Form 2906

Although not encouraged, there may be situations when use of the PAA tool is not feasible. In these rare situations, use of the “fillable form” version of the NSPS performance appraisal can be used. The end product from using the fillable form should be a completed performance appraisal, printed out and signed by the appropriate parties (employee, rating official, higher level reviewer, pay pool manager).

If using the fillable form is the only option, remember that once the rating has been finalized on the form, a copy of the signed paper form must be provided to the CPAC so that the employee’s DCPDS record can be updated, and the form can be filed in the employee’s official performance folder.

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Additional information

For policy information pertinent to transitional pay pools, see the DoD and Army transition guidance under the Repeal button on the NSPS pages of CPOL: <http://cpol.army.mil/library/general/nsps/repeal.html>

For general information about pay pool structures for this transitional rating cycle, see [Preliminary Pay Pool Information](#) posted on CPOL.

For transition guidance regarding coverage by The Army Personnel Evaluation System (TAPES), see [Army Performance Management Transition Guidance](#), 10 Aug 2011.

Various documents referenced in this guide are available on the NSPS pages of CPOL. Link to the NSPS pages on CPOL: <http://cpol.army.mil/library/general/nsps/>

[Performance award guidance](#) for FYs 2011 and 2012 must be followed for this rating cycle. Funding for the first award cycle after transition is limited to 1% of the aggregate salary (base pay plus locality), effective the day before transition, for impacted employees.

If you have problems or questions, please contact your servicing CPAC for assistance.

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Key Information

Abbreviated pay pool process

The transitional pay pools covered by this guide can use an abbreviated pay pool process. Basically this means that the Pay Pool Manager can perform the role of the pay pool panel (no panel is required).

Rating effective date

The rules for the rating effective date are that it can be any date on or after the date the pay pool manager has approved the final ratings, but cannot be more than 90 days from the effective date of the transition to GS, nor in any event later than 31 December 2011.

PAA changes

The following modifications must be made on appraisals:

- *Appraisal type* must be changed to early annual for those employees who transitioned prior to 30 September 2011.
- *Rating cycle end date* must be changed to the day prior to transition to GS for early annual ratings, or 30 September 2011 for annual ratings. (This is not the same as the rating effective date, which is discussed above.)

IMPORTANT: The rating cycle end date in employees' appraisals MUST reflect a date prior to transition to GS. Failure to make this change will result in the wrong data being pulled into the CWB.

Timing

All "ratings only" pay pool work described in this guide must be completed before the rating effective date for the employee (i.e., within 90 days of the effective date of the employee's transition out of NSPS, or 31 December 2011).

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New Pay Pools If new pay pools are needed, commands/organizations should designate one or more Pay Pool Administrators (PPA), Pay Pool Managers (PPM), and Performance Review Authorities (PRA) from within the organization.

Most of the detailed instructions in this guide are intended for use by the PPA.

PPAs should create a new Pay Pool ID (PPID) and ensure it is in employees' records before the higher level reviewer approves the recommended rating. The PPM and PRA should be identified and documented in DCPDS – the PPM prior to the higher level reviewer approving and recommending a rating, and the PRA prior to completion of the pay pool process. This information must also be communicated to employees.

How Many Pay Pools? Commands may wish to combine deployed civilians who are returning at different times into one pay pool. The driver is the rule that the rating must be effective within 90 days of the transition out of NSPS, so 90 days from the transition date of the earliest returning deployee would be the latest effective date allowed for such a combined pool. As a practical matter, all pay pool actions must also be accomplished within this 90 day period.

Performance awards Performance awards are subject to OPM, DoD and Army Regulation and guidance. Funding for the first award cycle after transition is limited to 1% of the aggregate salary (base pay plus locality), effective the day before transition, for impacted employees.

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Overview of Steps

Overview of steps

The following steps will be used. They are described in more detail in subsequent sections of this guide.

Step	Action
Setting Up a New Pay Pool (If Needed)	
1	Create a New Pay Pool ID (PPID) in DCPDS
2	Identify Pay Pool Officials in DCPDS
Updating Pay Pool Data (If Pay Pool Established)	
1	Update pay pool IDs in employee records in DCPDS.
2	Check and update pay pool officials in DCPDS.
Using the Modified CWB	
3	Obtain a copy of the modified CWB.
4	Obtain an extract from DCPDS to populate the modified CWB.
5	Import the downloaded DCPDS data into the CWB.
6	Conduct the pay pool.
7	Generate the export file for upload to DCPDS.
8	Generate the DD Form 2906 supplement from the CWB and provide it to the employees' supervisors.
Updating DCPDS	
9	Upload the CWB export file to DCPDS.
10	Validate the preview on the upload screen and resolve any problems.
11	Contact your servicing CPAC to have them finalize the preview.
12	Notify the rating official that the employee's appraisal is final and ready for the rater to document the date of communication of the rating.

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Setting Up the Pay Pool

(Note that you only follow these two steps if you need to establish a new pay pool. If you have pay pools that you have used in the past, you may continue to use those pay pools for this cycle. If that is the case, skip to page 11.)

Pay Pool ID naming convention

You need to create a new Pay Pool ID for each new small pay pool that you will use.

IMPORTANT: You should NOT use an existing Pay Pool ID, since the old PPID may be in other employee records which can cause subsequent problems. Also, use of sub pay pools is discouraged and is not covered in this guide.

Suggested format: Follow the standard pay pool ID naming convention, with a few changes. Example:

SEDW00G99A

- SE = Command Code of Pay Pool Manager (sample).
- D = designator for a “deployed” civilian pay pool (you do not have to use the numeric 1, 2, or 3 as indicated in the Army nomenclature guide; this will allow you to use a PPID that may otherwise be identical to an established PPID).
- W00G99 = UIC of Pay Pool Manager (sample).
- A = Final alpha designator; change this letter for each PPID you need to create (SEDW00G99B for the second, etc.).

See [Army Pay Pool ID Nomenclature](#) for additional information on the format of the PPID.

References

This section refers extensively to the [Manage Pay Pool ID User Guide](#). You should download this guide and have it available. It will be referred to as the “PPID Guide.”

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Step 1: Create the PPID

When you log into DCPDS, select the CIV Pay Pool Administrator role, then select *Manage Pay Pool IDs* to perform steps 1 and 2 (create the PPID and identify roles). Step 1 is covered in the “Creating a Primary Pay Pool ID” section of the PPID Guide.

Use the “Create PP ID” tab to create the PPID in DCPDS and complete the following fields :

- Segment 1: Enter the PPID constructed as described above. Remember the PPID as you will be using it again.
- Personnel System Indicator: Enter “01”.
- Segments 2 thru 5: Leave blank.
- **IMPORTANT:** PP (Pay Pool) Start Date: If this is a pay pool for deployed civilians, enter a date at least one pay period or more PRIOR TO the earliest deployed employee’s return. **Remember this date** as you will be using it several more times.
- Pay Pool Description: Include the command or organization name, an indication that this is for deployed civilians, and the transition date for this pay pool, for example:

“G-8 pay pool for deployed employees transitioning to GS in Nov 2011.”

Step 2: Identify pay pool officials

Use the “Manage PP Roles” tab to identify the Pay Pool Manager and the Pay Pool Administrator for this pay pool (beginning on page 23 of the PPID Guide). At a minimum, complete the following items:

- Pay Pool ID: Enter the PPID you just created, and click the “Assign Roles” button.
- Pay Pool Administrator: Enter part or all of your name (last name first). If a list appears, select the correct name from the list. You must also include a starting date, which should be the same as the PPID start date.
- Prime Review Authority [*note that in the system, the Performance Review Authority is named “Prime Review Authority” in the system*]: Enter the name of and starting date for the designated Performance Review Authority (as above).
- Pay Pool Manager: Enter the name of and starting date for the designated Pay Pool Manager (as above).

If desired, you can add one or more alternate pay pool administrators or other officials.

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Step 3: Update PPID in employee's record

There are two methods that can be used to update an employee record with the new PPID:

- Direct update of the employee's Federal Pay Pool History data, or
- Use of the mass update process.

The direct update method is discussed in more detail below. For one or small numbers of employees, this is the easier method. However, if you want to use the mass process, it is described in detail in the PPID Guide in "The Manage Pay Pool Members Mass Process" section. If using this process, you will most likely need to use the employee's social security number as the selection criterion.

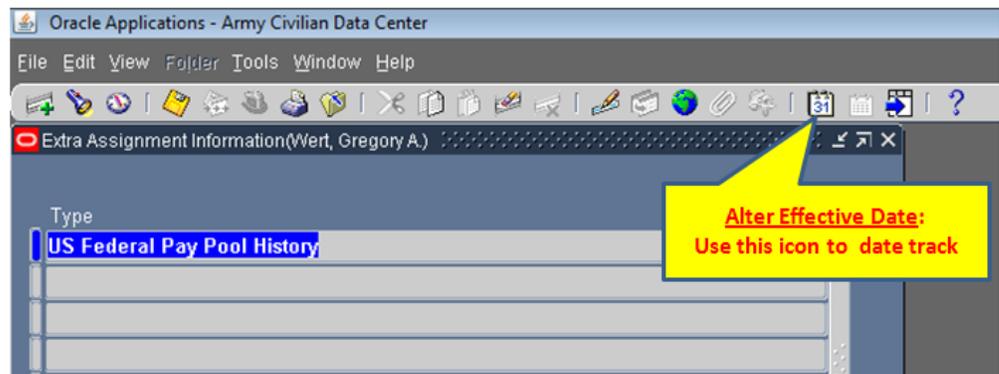
Direct update

The "Direct Update to an Employee Record by the Pay Pool Manager, Pay Pool Administrator or Performance Review Authority" section in the PPID Guide outlines the steps to update an employee record. The beginning steps of this process are shown as if they were being done by someone with HR access to DCPDS; however, most pay pool administrators do not have this access.

To get to the same screen in DCPDS, select the CIV Pay Pool Administrator responsibility, then select *Manage Employee Pay Pool ID*. This will take you to step 1, the Find Person screen as shown in the PPID Guide. Be careful to select the correct name, as there are many names that appear similar. If you are presented with a list, scroll to the right to view organizations and job titles.

Changing the date

IMPORTANT: After finding the employee whose record is to be updated, you must change the effective date using the Alter Effective Date icon (commonly called "Date Tracking"). This icon is grayed out until you have selected an employee record.



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Changing the date, cont'd

Change the date to a date prior to the employee's transition from NSPS (use the Pay Pool Start Date that you used when you created the PPID in step 1).



Change the Effective Date to the Pay Pool Start Date

Alter Effective Date

Effective Date **01-AUG-2010** Today's Date **14-SEP-2010**

OK Reset Cancel

Data needed to update the employee's record

Once you have changed the date, you can follow the steps in the PPID guide. If you have problems with this step, please contact your servicing CPAC for assistance.

Select a blank line from the "Details" section of the screen and complete the following fields on this window:

- Start Date: Use the same date as the PPID start date.
- Pay Pool ID: Enter the PPID you created earlier.
- **IMPORTANT:** End Date: Leave this blank.

The employee may already have an active PPID from a prior cycle; you do not have to do anything – it will automatically end date when you save and exit from this process.

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Updating Pay Pool Data

References

This section refers to the [Manage Pay Pool ID User Guide](#) for several tasks. If you do not have a copy, you should download this guide and have it available. It will be referred to as the “PPID Guide.”

Changing pay pool IDs

Although you can create and use a different pay pool ID each cycle, there is no requirement to do so. Unless you have a compelling reason to do so, we recommend using the same pay pool ID as in prior cycles.

Step 1: Check and update PPID in employee records

You will need to run the mass PPID update process, described in the PPID Guide under “The Manage Pay Pool Members Mass Process” section, twice.

IMPORTANT: When running the mass update, the dates you use are key. The **Process Date** and the **Start Date** must both be set appropriately to a date prior to the transition out of NSPS. See screen shot below (this screen is accessed via the *Manage Pay Pool Members* selection from the CIV Pay Pool Administrator (or CIV Alternate Pay Pool Administrator) menu):

The screenshot shows the 'Pay Pool' configuration window. It includes fields for Name, Pay Pool Identifier, Pay Pool Description, Personnel System Indicator, Start Date, End Date, Status (Unprocessed), and Process Date. Below these are 'Selection Criteria' (Agency Group, Pers Ofc, Svcs Ofc, Position Type) and a 'Multiple S' table with columns for Column, Operator, and Code. At the bottom are buttons for Execute, Process Log, Delete Preview, and Preview. Three yellow callout boxes provide instructions: 'Start Date: Use the same date as the Process Date (prior to transition from NSPS) (e.g., 1-Aug-2010 for a 15-Aug-2010 transition)', 'Process Date: Use a date prior to transition from NSPS (e.g., 1-Aug-2010 for a 15-Aug-2010 transition)', and 'End Date: Leave blank unless you want to remove the PPID from records of employees who have left. If used, use the same date as the Process Date (prior to transition from NSPS) (e.g., 1-Aug-2010 for a 15-Aug-2010 transition)'.

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Two runs of the mass process

Run the mass process once to locate new employees in your organization who do not have your PPID in their record. When running this process, be sure to include a start date that is before (earlier than) the transition date for your organization. Be sure to leave the End Date blank. These employees should stand out when you are viewing the preview because they will either not have a PPID in their record, or they will have someone else's PPID. You should select these employees to be updated.

Run the mass process a second time to end date (remove) the PPID from employees who no longer belong to you. For this run, you must include an end date when setting up the process. As above, this should be before (earlier than) the transition date for your organization, or the earliest transition date of employees in the pay pool. These employees should stand out when you are viewing the preview because their organizational information will be different than most of the other employees. De-select everyone on the preview except those employees who no longer belong in your organization. Then when you execute the mass process, the end date will populate in their records (and no other records will be affected).

Step 2: Check and update pay pool officials

Select *Manage Pay Pool IDs* from the CIV Pay Pool Administrator (or CIV Alternate Pay Pool Administrator) menu, then use the "Manage PP Roles" tab to view and/or change the pay pool officials and administrators, and their alternates, for your pay pool (covered in the "Managing Pay Pool Roles" section of the PPID Guide). If you need to change any names, you can either add an end date or replace the name with the new official.

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Using the Modified CWB

New references This section refers extensively to the following guides and tools, which you should download and have available:

- [CWB for NSPS Transitioned 2011 v4.0](#). This is the modified CWB spreadsheet that will be used to document employee ratings. You must use the modified CWB for ratings only pay pools.
 - [Upload-Download Guide \(For PP Managers\)](#). This guide describes the procedures and tools you are required to use for the NSPS Pay Pool Process.
 - [Quick Guide for NSPS Modified CWB for 2011](#). This guide describes how the transitional CWB is different from CWBs used in past cycles, including changes in the DD Form 2906 Addendum.
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Original references If you are not familiar with some of the basic processes referenced in this section, refer to the original guides. Be aware that the new references above point out the differences between the transitional pay pool processes and the older pay pool processes, but the original guides fill in some of the information that is not covered in the new references.

Step 3: Obtain a copy of the CWB Download a copy of the transitional CWB (link above). Hint: Save the downloaded version, then make a copy of it with a different name. If you have more than one pay pool, you will need a copy for each pay pool. Save the CWB(s) in separate folder(s) on your computer and remember where you saved them.

When you first open the CWB, if you get a “Security Warning” at the top of the screen, click the “Options” button and select “Enable this Content” on the Security Alert window. If you are able to, you can avoid this by identifying the location of your CWB as a “trusted site.” This is done by selecting the “Open the Trust Center” link at the bottom of the Security Alert window and then adding your folder location to the “Trusted Locations” list.

Step 4: Obtain extract from DCPDS For detailed information on obtaining an extract file from DCPDS, use the [Upload-Download Guide \(for PP Managers\)](#), pages 4-10 (you begin the process by selecting *Request CWB Extract File* from the CIV Pay Pool Administrator menu in DCPDS).

IMPORTANT: There is a new field on the CWB Download screen called “Pay Pool Transitioned.” It must be changed to “Yes.”

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Common extract problems

Common problems encountered with this process are:

- Not getting the employee record(s) you expected. This might be caused from not having the PPID in the record or having the wrong start date for the PPID in the employee's record.
 - Getting a record that has GS information instead of NSPS. This is probably because the rating cycle end date on that employee's PAA is not prior to the transition to GS (see *PAA changes*, pg. 4). This will cause problems later in the process, so it needs to be corrected before proceeding.
-

Step 5: Import extract data into the CWB

Make sure that you save the extract file from DCPDS in the same folder on your computer as the blank CWB that you are going to use for this pay pool. Use the "Import" link on the "Instructions" tab of the CWB to start the import process.

Step 6: Conduct pay pool

This is the substantive part of the entire process, when the pay pool manager reviews the assessments and recommended rating against the performance indicators and contributing factor benchmarks, and insures consistency across the organization.

Changes to objective ratings

If the PPM feels that an assessment does not support a recommended rating, he/she can ask for clarification from the rating official. Once received, the PPM makes the final determination on each individual job objective rating.

If any of these differ from the original recommendation, the pay pool administrator should make the changes in the CWB and return the appraisal to the rating official to have the objective ratings changed in the PAA using the Appraisal Administrator function. This is accessed by selecting the CIV Pay Pool Administrator (or CIV Alternate Pay Pool Administrator) responsibility, and then selecting *Appraisal Administration V3*. The appraisal is returned by changing the appraisal status to "PPM Returned for Change." These steps are described in the Appraisal Administrator guide.

Once the CWB reflects the pay pool manager's final decision, the CWB can be validated, and you can proceed to the next step.

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**Step 7: Certify
and generate
export file**

These two steps are both done on the “Instructions” tab of the CWB. Once the CWB has been validated, the PPM should “certify” the pay pool results, or direct the PPA to do so (step 6 on the CWB). At that point, the PPA can generate the export file (step 8 on the CWB). This export file will be saved by default in the same folder as the CWB. Make a note of the export file name (it will include the word “export”).

**Step 8:
Generate DD
Form 2906
Supplement**

Generate the DD Form 2906 Supplements using the “Generate Employee Notices” link on the “Instructions” tab of the CWB (step 9). This document should be forwarded to the employees’ supervisors, who will provide it to the employee.

Note: Rating officials should be sure to compare the final rating information with what is shown on the employee’s appraisal. Any changes needed in the PAA should be made prior to the final stages of the process.

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Updating DCPDS

References

- Extract/download and export/upload processes are covered in the [Upload-Download Guide \(for PP Managers\)](#) (updated September 2011).
 - There are basic instructions for rating officials to follow in resolving mismatches between the CWB and the performance appraisal in the PAA Version 3 [Finalizing 2010 Appraisals guide](#). Although this document refers to 2010 appraisals, the steps are the same.
-

Step 9: Upload export file

The process for uploading the export file to DCPDS is described in the original Extract / Upload guide (pages 11-18). Start from the CIV Pay Pool Administrator menu in DCPDS, select *NSPS - Unique*, then select *Load NSPS Payout Files*.

IMPORTANT: There is one change: you need to enter the Appraisal Effective Date on the upload screen before you will be able to use the “Load File” button. Once the upload is finalized, this date will update the rating effective date in the employee’s HR record and on the final appraisal.

The appraisal effective date should be no later than 90 days from the date of the employee’s transition to GS and not later than 31 December 2011. See *Rating effective date*, pg. 4.

Step 10: Validate the preview

Once the export file has been uploaded to DCPDS, click the “Preview / Validate” button on the upload screen to display the uploaded records. This screen will show any alerts pertaining to the records uploaded. Most commonly, an alert will reflect a difference between uploaded rating information from the CWB and rating information in the employee’s appraisal (a mismatch). Such an alert will not stop the finalization process, but needs to be corrected by the rating official before the appraisal will become a final appraisal. See the Extract / Upload guide for more detail and information on alert messages (starting on page 16, with a complete list of alerts and actions required in Appendix 2).

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Step 11: Finalization

HR access to DCPDS is required to finalize pay pool results. Pay pool administrators should therefore contact their servicing HR Processing Center (below) to have this process run:

Korea	Robert.e.johnson@us.army.mil
Northeast	chranehelpdesk@conus.army.mil
North Central	sarah.wagner2@us.army.mil
South Central	reds.cpoescr.helpdesk@conus.army.mil
Southwest	rile.SWRHelpDesk@conus.army.mil
West	chrwcp.helpdesk@conus.army.mil
Europe	nsps.payout@eur.army.mil

The finalization process does the following:

- Updates the employee's HR record with the final rating of record.
- Changes the performance appraisal to a final appraisal which will be accessible to the employee (see next step). However, the appraisal will not finalize if there are any differences between the ratings uploaded from the CWB and the ratings shown on the PAA. The rating official must make changes in the PAA before the appraisal can become final.

Step 12: Notify rating official

Once the finalization process has been run, the last step is to notify the rating officials that the employees' appraisal are final and ready for the rater to document the date of communication of the rating. When that is done, employees will be able to access their final appraisals through My Biz.

Steps that the rating official follows in this process are shown in the [guide to finalizing appraisals](#) mentioned in the References section above.
