

National Security Personnel System (NSPS) CWB Extract and NSPS Payout File Upload Processes For HR Specialist – September 2009

Table of Contents

<i>Purpose</i>	3
What is the Purpose of this Guide?.....	3
<i>CWB Extract Files</i>	3
Overview	3
<i>Extract Process</i>	4
Step 1: Select ‘CIVDOD NSPS Extract Administrator’ responsibility.....	4
Step 2: Select ‘Single Request’ and click OK.....	4
Step 3: The extract report name is ‘Download CWB Extract’.	5
Step 4: Select the Submit button the following screen will appear.....	5
Step 5: Select ‘Refresh Data’ button to re-query the request screen.....	6
Step 6: Save text file.	8
Step 6a.: Close Extract.....	8
Step 7: Review the Process Log	9
<i>Upload Process</i>	11
Step 1: Select the ‘CIVDOD NSPS Extract Administrator’ responsibility.	11
Step 2: Assign a Unique Upload Process Name	11
Step 3. Locate your export file	12
Step 4: Identify Pay Pool ID.....	14
Step 5: Load File.....	14
Step 6: Review the Status Details	15
<i>Export Process</i>	17
Step 7: Select the Preview/Validate button and view records included in the upload file.....	17
Step 8: Delete Preview.....	20
Step 10: View Process Details	22
Step 11: View Process Status	23
<i>View Appraisal Update to Employee DCPDS Record</i>	23
Step 1: Select ‘People,’ ‘Enter & Maintain’	23
Step 2: Query on employee name or SSAN.	24
Step 3: Select ‘Special Info’.....	24
Step 4: Query Special Information Type	24
Finalizing Appraisals in the PAA and Payouts	26
Overview	26
<i>Things to Consider</i>	33
Attachment 1 – CWB Extract File Data Elements.....	34
Attachment 2 - CWB Upload Process Alerts Messages.....	37
Appendix I – Performance Appraisal Administration	61
Appendix II – Post-Finalization Instructions.....	62

NSPS CWB Extract, Upload and Appraisal Finalization Processes

Attachment 3 – List of Plan/Appraisal Statuses	63
Attachment 4 – CWB Upload File Data Elements	65
Attachment 5 – List of NSPS Performance Payout Upload Errors and Process Log Messages	72
Attachment 6 – Exporting the Preview Screen	79

Purpose

What is the Purpose of this Guide?

This Quick Reference Guide introduces you to the basic navigation steps and screens necessary to obtain a DCPDS extract file to be used with the Compensation Workbench (CWB) spreadsheet, an upload process to import the NSPS performance-based payout information resulting from pay pool deliberations and an appraisal finalization process. The appraisal finalization process will include update to the US Federal Perf Appraisal Special Information Type (SIT) as well as documentation of the Pay Pool Manager's approval of the ratings in the Performance Appraisal Application.

Who should use this guide? This guide is for Human Resource Specialists only. They must have the responsibility of 'CIVDOD NSPS Extract Administrator' and the CIVDOD CWB Upload Administrator. The CIVDOD NSPS Extract Administrator title will most likely be changed to allow use by the DCIPS community.

CWB Extract Files

Overview

In order to use the Compensation Workbench (CWB) during your pay pool panel meetings and mock pay pool panel meetings, it must first be populated with information about the members of the pay pool. This information is contained in the CWB extract file. If you are extracting a file for the purposes of Mock you must indicate in your extract process that the file is to pull Mock data by selecting 'Yes' from the LOV for the Mock Data element. This file includes employees' personnel information (e.g., name, employee ID, pay pool ID, occupational series, pay band, etc.), job objective data (weights, ratings, etc.), and the recommended shares and payout distribution from the PAA. If the file is pulled for Mock purposes the data will be extracted from the Mock Pay Pool Info tab within the PAA. The Mock information will only be available from Feb 1 – Aug 31 and purged as of Sep 1. Included in the extract file are all employees assigned to the pay pool as of the Pay Pool Cycle Closeout date to include NSPS employees temporarily promoted to a non-NSPS position. Those employees temporarily reassigned to non-NSPS positions are included in the extract process. In either case, the employee's salary should be included in the CWB but their performance payout should be calculated manually. The first data element in each employee's record is their last name, as you can see in the sample file below. A complete list of extracted data elements is in Attachment 1.

Also included are the PRA Prime and Pay Pool Manager names. If these names have not been assigned in DCPDS prior to CWB Extract File, at the time the CWB spreadsheet is certified these names will be blank. If the PRA Prime name was not assigned in DCPDS it will have to be assigned in the CWB pop up window. If the Pay Pool Manager was not assigned in DCPDS the CWB Upload process will fail. The Pay Pool Manager will have to be manually assigned in the CWB pop up window as well as in DCPDS prior to the CWB Upload process. If the Pay Pool Manager name is entered manually in CWB it must match the name in DCPDS.

This file is a pipe-delimited data file, which means that each piece of data is separated by a | or a "pipe."

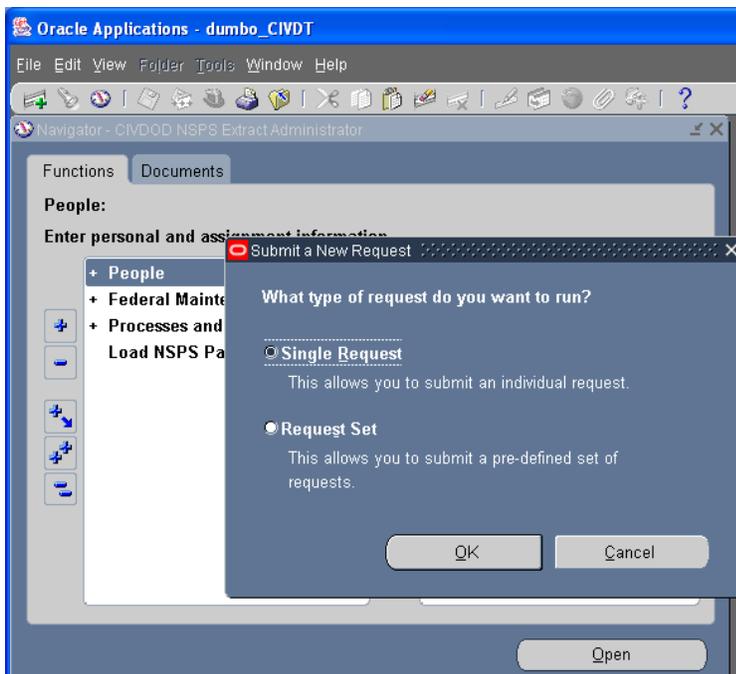
NSPS Extract Administrator Responsibility View

Extract Process

Step 1: Select 'CIVDOD NSPS Extract Administrator' responsibility then navigate to 'Submit Processes and Reports'.



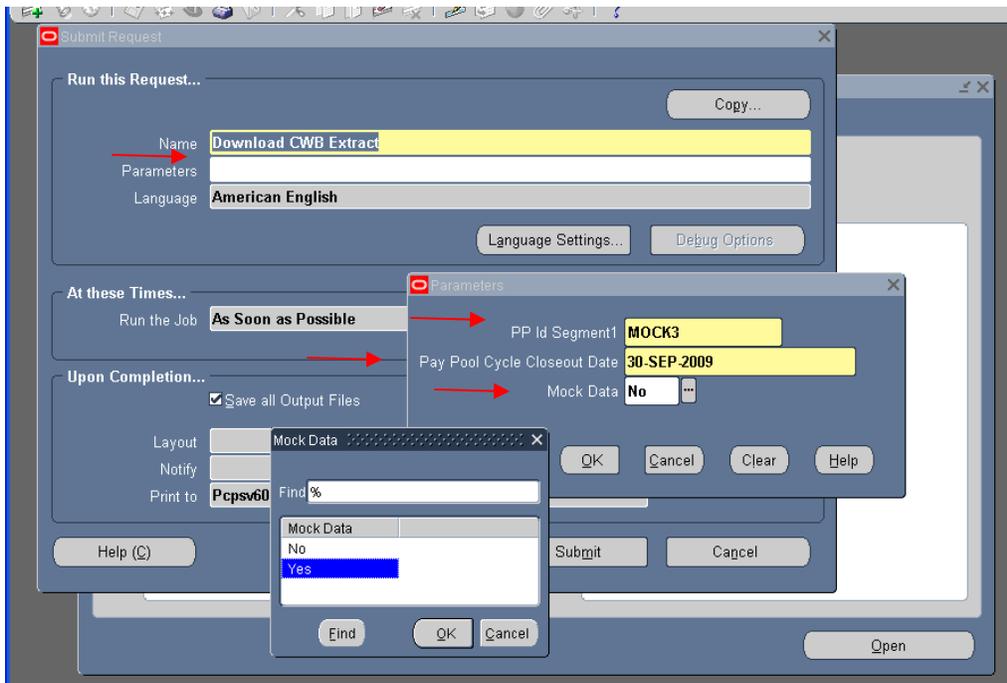
Step 2: Select 'Single Request' and select OK button.



Step 3: The extract report name is 'Download CWB Extract'.

Users can populate the 'Name' field by partially typing in the report name or obtaining it by selecting the List of Values (LOV). Once the report name field is completed, a Parameter popup window appears. To complete the 'Pay Pool Id Segment 1' field and the Pay Pool Cycle Closeout Date, type in or select the LOV and select the appropriate 'PP ID Segment 1' name and the Pay Pool Cycle Closeout Date. Select the OK button.

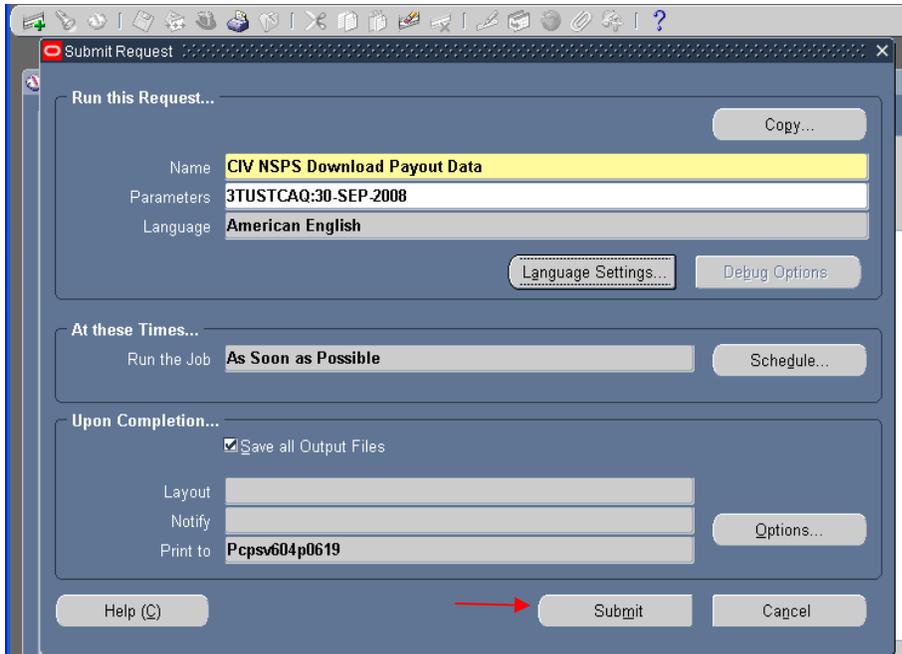
Note: If you wish to download **Mock** data you must indicate Yes using the Mock Data element LOV. Mock data will only be available from Feb 1 – Aug 31. All Mock data will be purged on Sep 1 to include any mock upload processes.



Step 4: Select the Submit button and the following screen will appear.

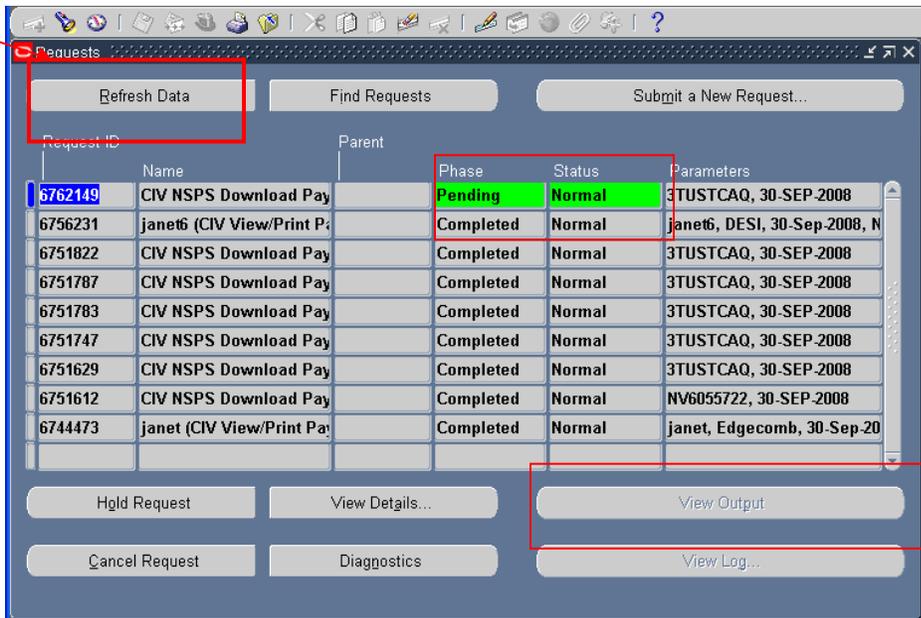
Make a note of the 'Request ID'. You will use it when checking the Process Log for errors.

NSPS CWB Extract, Upload and Appraisal Finalization Processes



Step 5: Select the 'Refresh Data' button to re-query the request screen.

When your request has completed, the Phase column will reflect 'Completed' and the status will indicate "Normal".



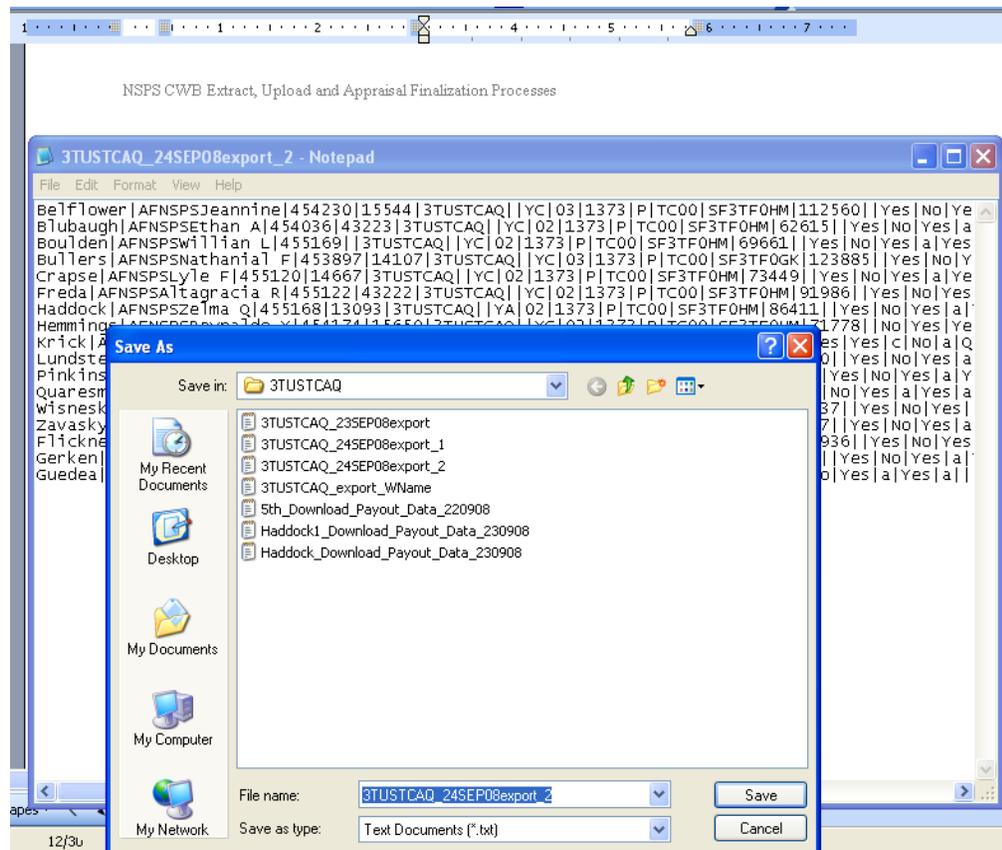
Step 6: Save text file.

The CIV NSPS Download Payout Data report needs to be saved as a text file and provided to the Pay Pool Manager/Administrator. Important Note: You will want to save the text file in the same directory where the spreadsheet is located. For example, if the file is saved in “Q” under CWB Extract, you will want to save the text file in the location “Q” and designated file.

To save the file, select the File then select ‘Save As’. The system will auto-populate the file name as CIV_NSPS_Download_Payout_Data_+ system date in ddmmyy format. Recommend you overwrite the default value with a naming convention such as **Pay Pool ID Segment 1 + current date + the word ‘Extract’** (e.g. navy01nps31DEC2006extract.txt).

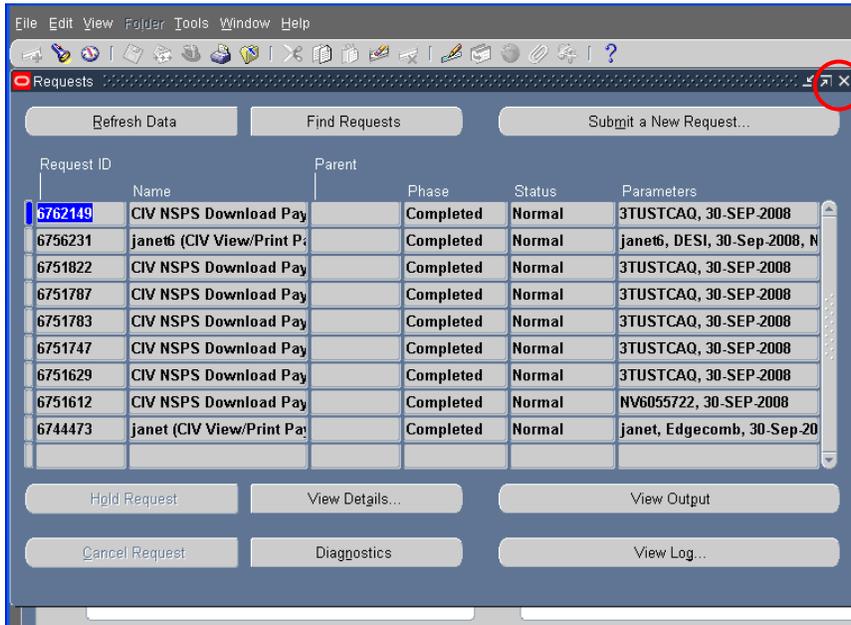
Note: If this is a Mock extract you may want to add the word mock into your file name.

Step 6a : Close Extract



NSPS CWB Extract, Upload and Appraisal Finalization Processes

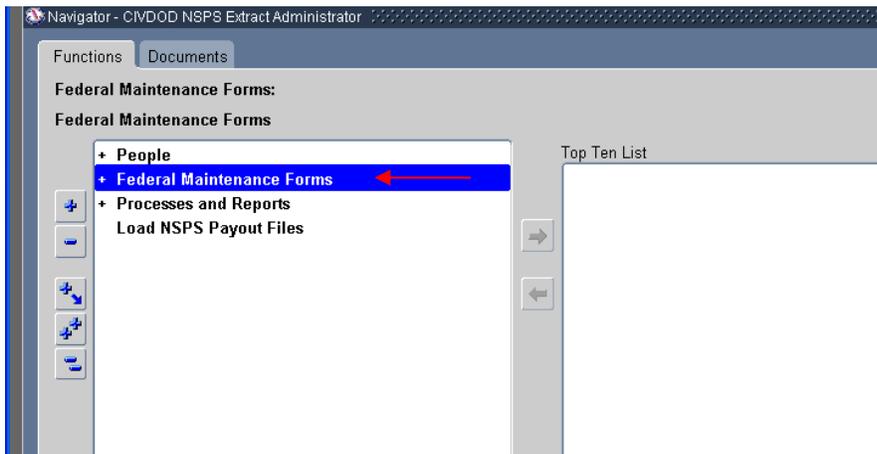
Close this form by select the 'x' located in the upper right-hand corner of the page.



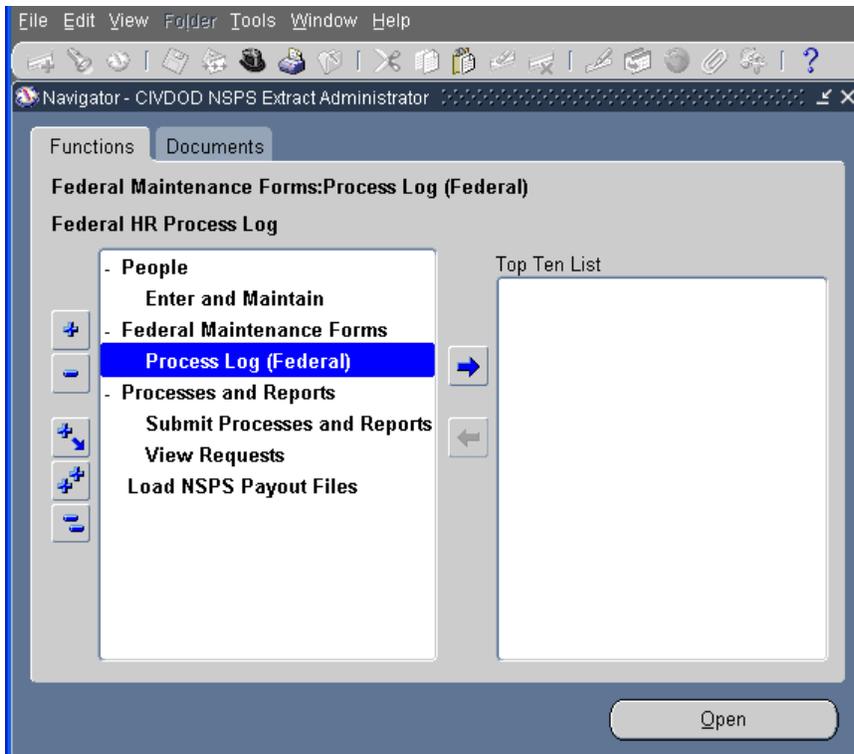
Note: A complete listing of the Extract Data Elements can be found in Appendix A.

Step 7: Review the Process Log.

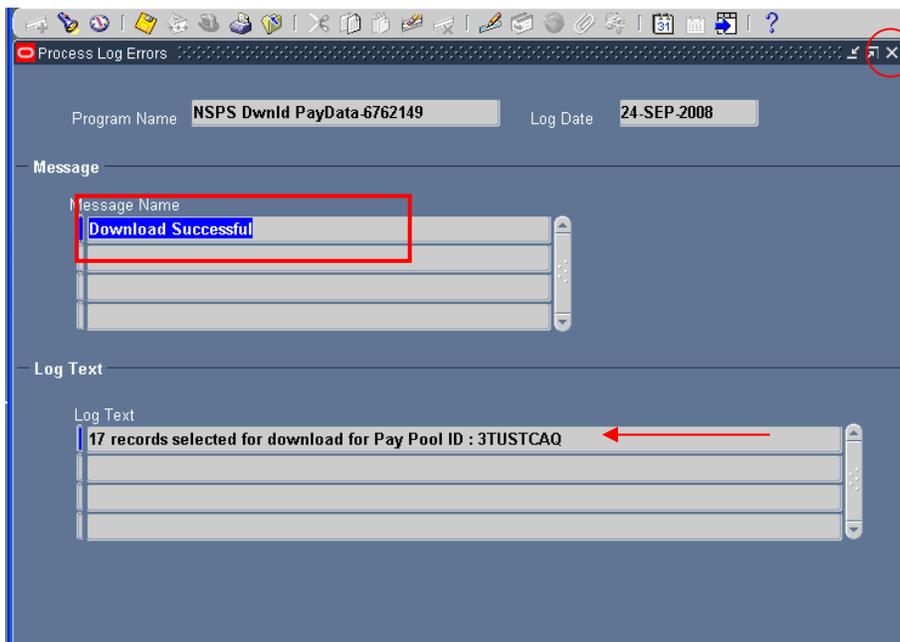
Select the Federal Maintenance Forms, then the Process Log (Federal).



NSPS CWB Extract, Upload and Appraisal Finalization Processes



Query on the Program Name using F11 key. Enter in the Program Name field Request ID (e.g., %890030%). Complete the query by entering Ctrl/F11. Note: This verifies the download is successful. Select the 'x' located on the upper right hand corner of page to close.



The Extract Process is now complete. You may provide the extract file or mock extract file to the appropriate Pay Pool Administrator or Pay Pool Manager. This file will be imported into the CWB

spreadsheet for pay pool panel decisions. This extract process can be executed as often as needed to assure pay pool panels have up-to-date human resource information. **Documentation for the CWB process can be obtained from the NSPS Readiness Tool located at <https://macbeth.cpms.osd.mil>.**

Note: Once the pay pool deliberations are complete, you will be provided a text file containing the performance payout data. This file will need to be imported into DCPDS staging tables for use in the January performance payout process.

UPLOAD PROCESS

Upload Process

Step 1: Select the ‘CIVDOD NSPS Extract Administrator’ responsibility.
Click ‘Load NSPS Payout Files’.

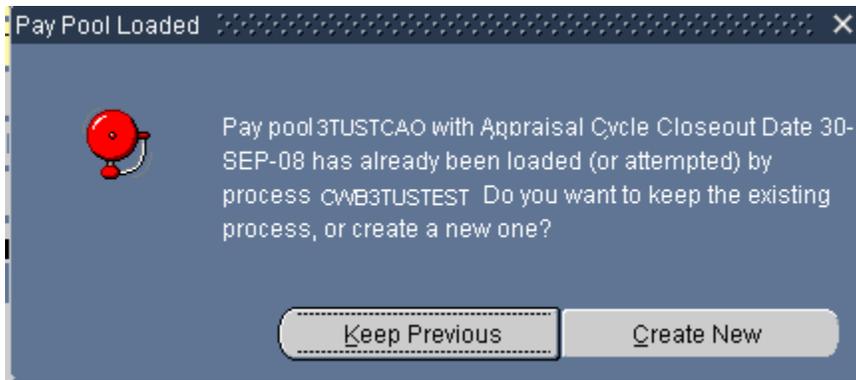


Step 2: Assign a Unique Upload Process Name

On the NSPS Performance Payout Upload screen, type a unique Upload Process Name. Upload Process Name should not exceed 24 characters.

Note: The upload process will only allow for one file upload per pay pool. This file can be modified and re-loaded as many times as necessary. If the user attempts to create a new process using a different process name, the user will receive the warning below. The user must decide if he wants to keep the original process name or replace it with a new. If a new one is created all records associated with the original process will be deleted and replaced with the new upload, see second message below. Once an upload file has been finalized no additional uploads may be accomplished by the pay pool administrator or pay pool manager.

Last year there were numerous situations where the upload process was finalized with the incorrect data. We have created a new responsibility the ‘CIVDOD CWB Upload Administrator’; this responsibility is able to upload a file following the execution of a Finalize Appraisals process by creating a new process name for the pay pool. The user will get a different edit from the one identified above. The edit will indicate that the pay pool has had an upload finalized, and will give the user the choice of uploading a new. All previously staged data will be replaced.

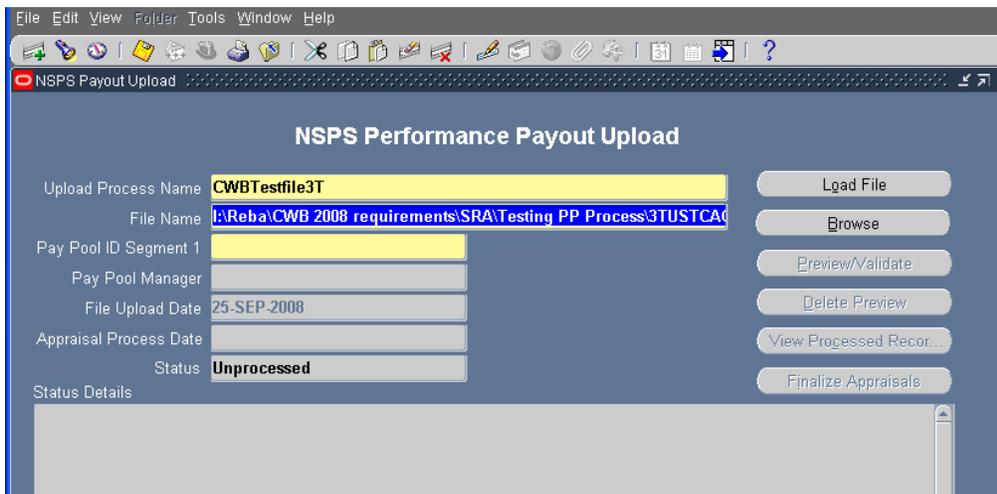
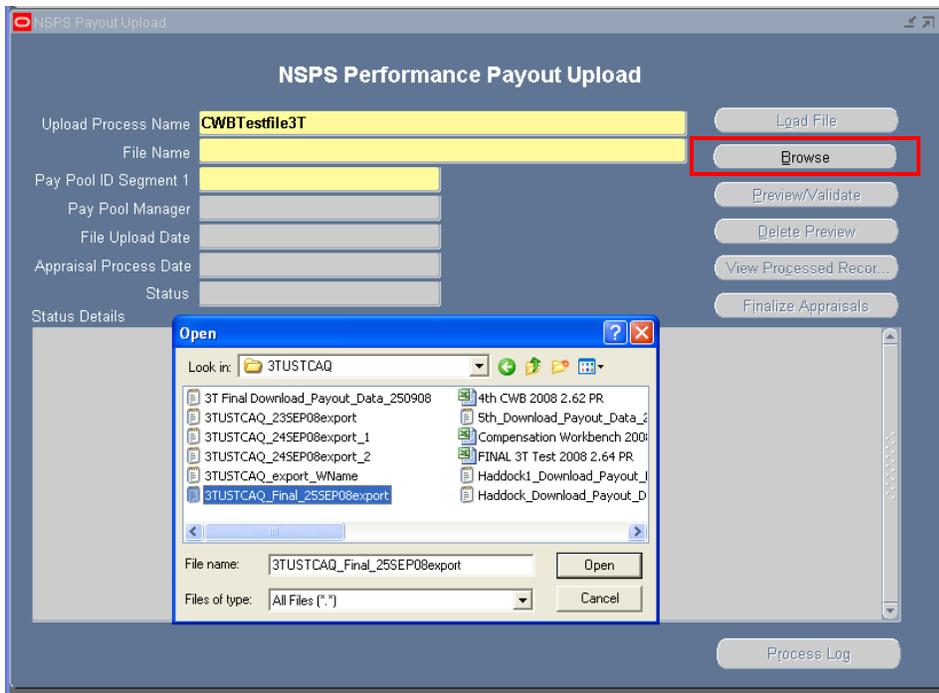


Step 3. Locate your export file

Select Browse button below to locate your export file. The combination of path and file name cannot exceed 300 characters. The file must be in a pipe delimited text format. Once the file has been selected, select the Open button. The file path and name will be populated in the 'File Name' data field. The file path and name should not exceed 240 characters.

Note: You can also load a CWB Mock Export file. There are validation rules to prevent the user from uploading mock data at the time the Final Annual Upload is taking place.

NSPS CWB Extract, Upload and Appraisal Finalization Processes



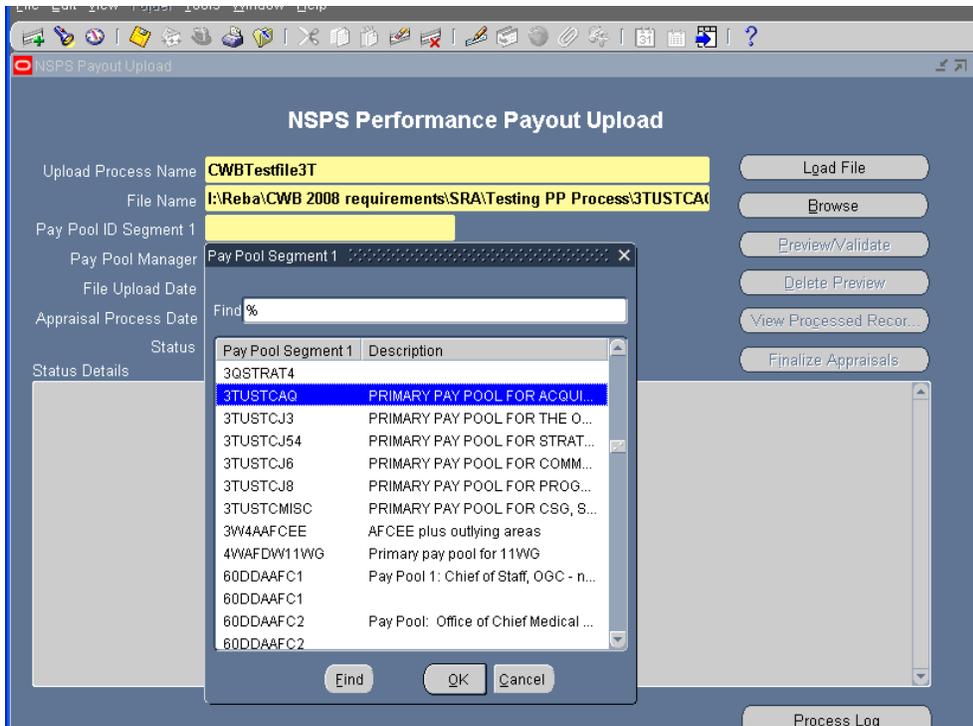
A complete listing of the CWB Upload File Data Elements can be found in Attachment 4.

The first employee's record on the CWB Upload File has summary data related to pay pool funding appended to the end. This data is populated to a new table titled IV_NSPS_MASS_CWB_LOAD. Data in this table will be added to the Corporate Management Information Systems (CMIS) and to the CSU databases for reporting purposes.

When the CWB export file contains Mock data there is a data element at the end of the employee record that indicates the data is Mock data.

Step 4: Identify Pay Pool ID

Once Pay Pool ID Segment 1 is identified, it will populate in the Pay Pool ID Segment 1 field.



Upload Process Name – Enter a unique process name that begins with “CWB” (i.e., CWB Upload); Upload Process Name should not exceed 24 characters.

File Name – Select the Browse button to locate the CWB export file on your computer. The file path and name should not exceed 240 characters.

Be careful not to select your CWB extract file that is probably in the same folder!

Pay Pool ID Segment 1 – Enter the first segment of the pay pool identifier (e.g., ArmySMO555), or click in the Pay Pool ID Segment 1 field and then use the LOV to select the appropriate pay pool ID



Step 5: Load File.

Select the ‘Load File’ button. The ‘File Upload Date’ will be populated with current date. The ‘Status’ field now reflects ‘Preview Ready’. Select ‘Preview’ button to view the records. Status Details area is populated with information such as the number of records in the upload file, number of records loaded successfully and the number of records that were not uploaded.

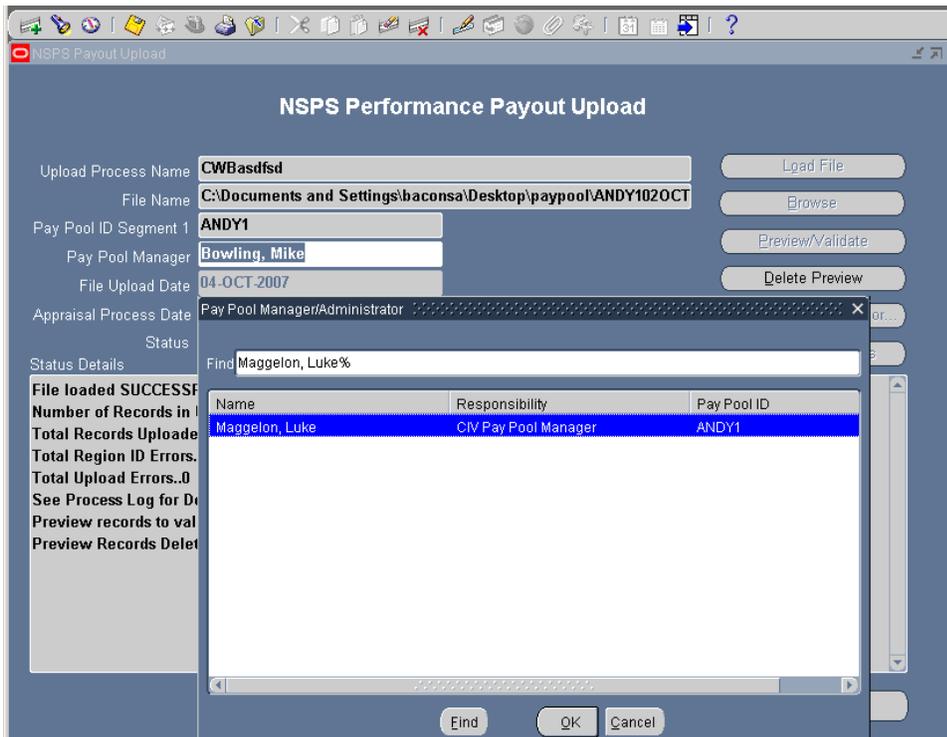
When you select Load File button and again when you select the Finalize Appraisals button, the process will validate the values provided in the CWB export files for ELEMENT_2_PCTG, GPI PCTG, or RATE_RNG_PCTG against values stored in a DCPDS table. If the values don't match at the time the Load File button is selected then the upload will fail and an error message will be provided. If the values don't match at the time the Finalize Appraisals button is selected the process will fail and the user will receive an error message. The user must make the corrections in the CWB spreadsheet Fund tab and re-export the file from CWB. Initially the DCPDS table will provide the default value identified in the CWB spreadsheet if these values are changed prior to the payout the DCPDS values will be changed accordingly.

If the Preview/Validate button does not become active, it could be that the Pay Pool Manager's name from the CWB does not match the Pay Pool Manager's name in DCPDS (this includes not having a pay pool manager assigned to the pay pool in DCPDS). To select the appropriate pay pool manager name, select the LOV in the Pay Pool Manager field.



Next, select the pay pool manager's name and select OK. Finally, place your cursor in the status details box and the Preview/Validate button should activate. Go to Step 6.

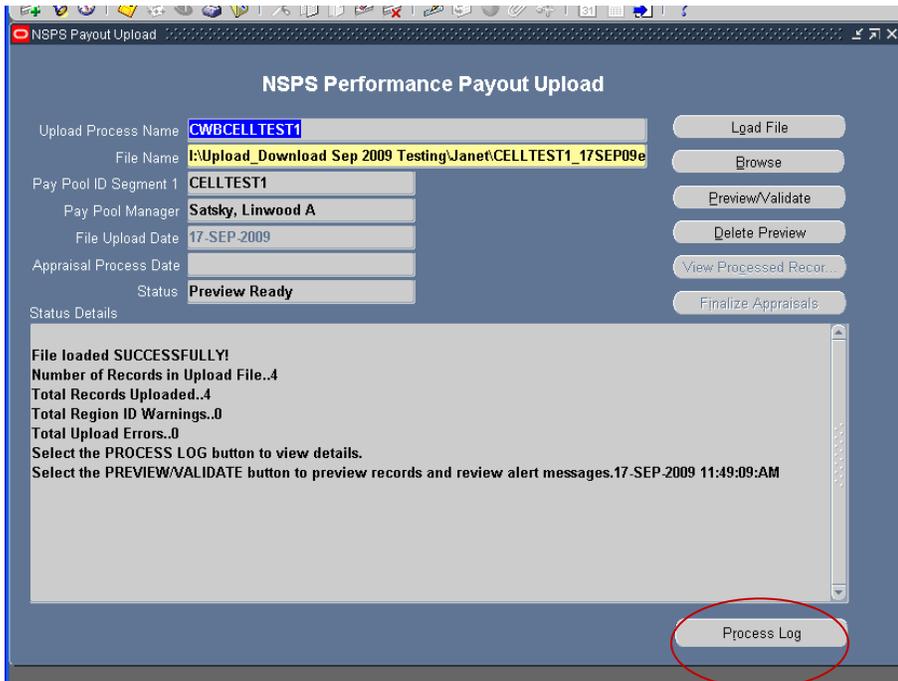
If names do not appear in the LOV, then your pay pool does not have a pay pool manager assigned to it. This must be accomplished using the manage pay pool ID module.



Step 6: Review the Status Details

The Status Details region is populated with information at different stages of the upload process, i.e., Load File, Preview/Validate and Finalize Appraisals). The user will see a count records loaded successfully, number of records with region errors, number of records with

mismatch warnings or the number of records that were deselected in the preview. See Attachment 2 for messages associated with the upload process. For any information provided in the Status Details region there is also a process log available. The process log provides additional employee information for the records included in the Status Details counts. All error and warning messages should be reviewed to determine if further action is required.



Process Status Table

The 'Status' data field is system-generated to show the progress of your request. Below is a brief explanation of the status stage:

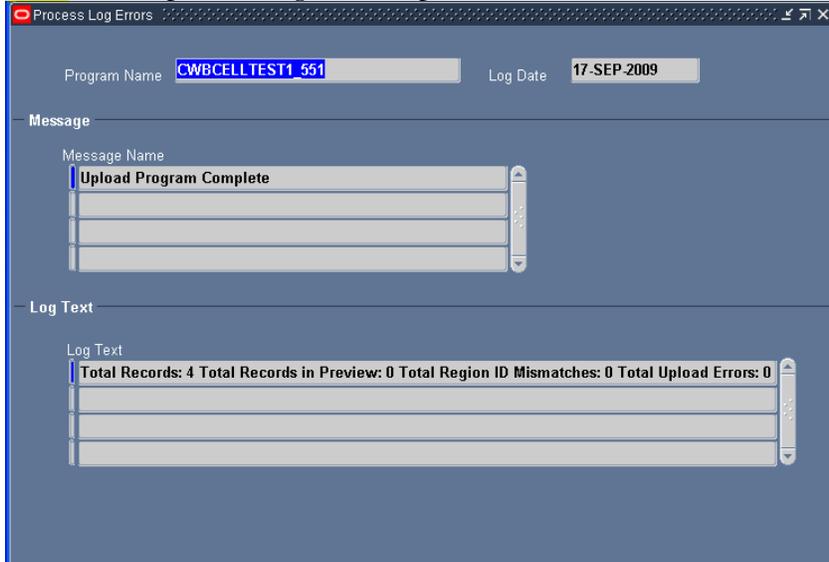
Status	Meaning
Unprocessed	User has initiated the build of the NSPS Upload Files but has not selected the Load button
File Load Error	Indicates that some records did not upload successfully
Preview Ready	User has selected the Preview button and the preview is available for viewing
Submitted	User has selected the Finalize Appraisal button
Errors	Indicates that some records did not update successfully
Processed	Indicates that all appraisal data has been updated successfully

The Mock Upload Process is complete once the user uploads the file. The Preview edits and warning messages do not apply to the Mock process.

Export Process

The user can export the data in the preview by selecting File from the top line menu and then selecting Export.

Note: A complete listing of the Upload Data Elements can be found in Attachment 4.



Step 7: Select the Preview/Validate button and view records included in the upload file

This preview screen shows you the data that is loaded from the CWB export file. Mismatches, such as a rating mismatch between the PAA and CWB, are indicated in the Alert Message column. To view the entire text of the alert message, select CTRL-E while your cursor is in an alert message cell. In addition to alert messages the user will receive details on specially situated employees.

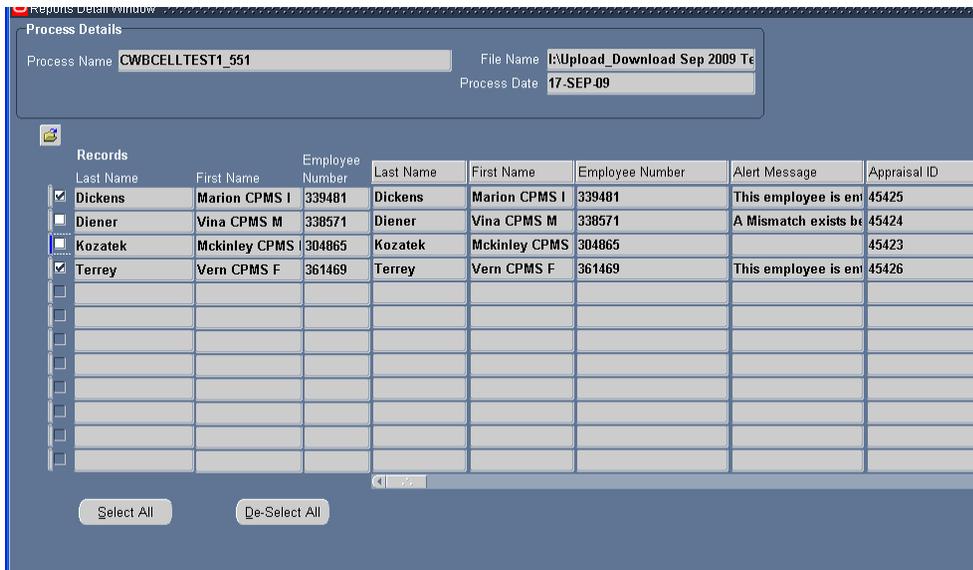
If during this process you wish to delete a preview and start over, select the Delete Preview button. You can also load another file and choose to replace the existing preview.

As a part of the preview analysis a user has the ability to select all or a smaller group of records included in the preview screen. For example: If there were 10 employees that loaded successfully but one employee no longer belongs to the pay pool, this means the pay pool ID correction took place after the upload was accomplished. Instead of reloading the upload file simply deselect the employee record by clicking in the check box next to the employee name and save your change. Deselecting the employee record indicates you do not want this employee to be included in the Finalize Appraisal process. There may be other reasons for deselecting employee records such as data mismatches between the PAA and CWB. Let's assume that some employees had rating mismatches. If the rating official has not completed the necessary changes in the PAA for these employees you may want to deselect these records and continue with the Finalize Appraisals process.

This Finalize Appraisals process can be executed more than once, so if you have deselected a few records pending PAA changes you can finalize the process for the records that are ready for processing.

NSPS CWB Extract, Upload and Appraisal Finalization Processes

Once the changes in the PAA have been made for the remaining records simply return to the Preview screen once again by selecting the Preview/Validate button. If you feel these records are ready for processing select the employee records by clicking the in check box next to the employee name and save your changes. Because there were changes to the employee record in the PAA when you select the Preview/Validate button you must select Validate instead of selecting Keep Existing Records. By selecting the Validate button you are refreshing the employee record to include the employee changes made by the rating official in the PAA.



Process Details

Process Name: CWBCELLTEST1_551 File Name: I:\Upload_Download Sep 2009 Te
Process Date: 17-SEP-09

Records	Last Name	First Name	Employee Number	Last Name	First Name	Employee Number	Alert Message	Appraisal ID
<input checked="" type="checkbox"/>	Dickens	Marion CPMS I	339481	Dickens	Marion CPMS I	339481	This employee is en	45425
<input type="checkbox"/>	Diener	Vina CPMS M	338571	Diener	Vina CPMS M	338571	A Mismatch exists b	45424
<input checked="" type="checkbox"/>	Kozatek	Mckinley CPMS	304865	Kozatek	Mckinley CPMS	304865		45423
<input checked="" type="checkbox"/>	Terrey	Vern CPMS F	361469	Terrey	Vern CPMS F	361469	This employee is en	45426
<input type="checkbox"/>								
<input type="checkbox"/>								
<input type="checkbox"/>								
<input type="checkbox"/>								
<input type="checkbox"/>								
<input type="checkbox"/>								
<input type="checkbox"/>								

Select All De-Select All

A complete listing of Alert Messages and Warnings are included in Attachment 5.

The Preview Screen will also display alert messages and warnings that should be reviewed. A complete listing of Alert Messages and Warnings are included in Attachment 5.

NSPS CWB Extract, Upload and Appraisal Finalization Processes

Reports Detail Window

Process Name: **CWBTestfile3T_464** File Name: **I:\Reba\CWB 2008 requirements**
 Process Date: **25-SEP-08**

Records

Last Name	First Name	Employee Number	Alert Message	Appraisal ID	Pay Pool ID	Pay Schedule	Pay Band	
<input checked="" type="checkbox"/>	Belflower	AFNSPSJeannin	454230	1 Error: Employee is	15544	3TUSTCAQ	YC	03
<input checked="" type="checkbox"/>	Blubaugh	AFNSPSEthan A	454036	Error: Employee is	43123	3TUSTCAQ	YC	02
<input checked="" type="checkbox"/>	Boulden	AFNSPSWilliam	455169	Error: Employee is		3TUSTCAQ	YC	02
<input checked="" type="checkbox"/>	Bullers	AFNSPSNathan	453897	Number of Objecti	14.07	3TUSTCAQ	YC	03
<input checked="" type="checkbox"/>	Crapse	AFNSPSLyle F	455120	Number of Objecti	14.67	3TUSTCAQ	YC	02
<input checked="" type="checkbox"/>	Flickner	AFNSPSGustavo	454221	Number of Objecti	15576	3TUSTCAQ	YC	02
<input checked="" type="checkbox"/>	Freda	AFNSPSAlta	455122	Error: Employee is	43222	3TUSTCAQ	YC	02
<input checked="" type="checkbox"/>	Gerken					YC	02	
<input checked="" type="checkbox"/>	Guedea					YA	02	
<input checked="" type="checkbox"/>	Haddock					YA	02	
<input checked="" type="checkbox"/>	Hemmings					YC	02	
<input checked="" type="checkbox"/>	Krick					YC	02	

Select All

Editor

Number of Objectives in the upload file does not match the number of Objectives in the record. (12)

Reports Detail Window

Process Name: **CWBTestfile3T_464** File Name: **I:\Reba\CWB 2008 requirements**
 Process Date: **25-SEP-08**

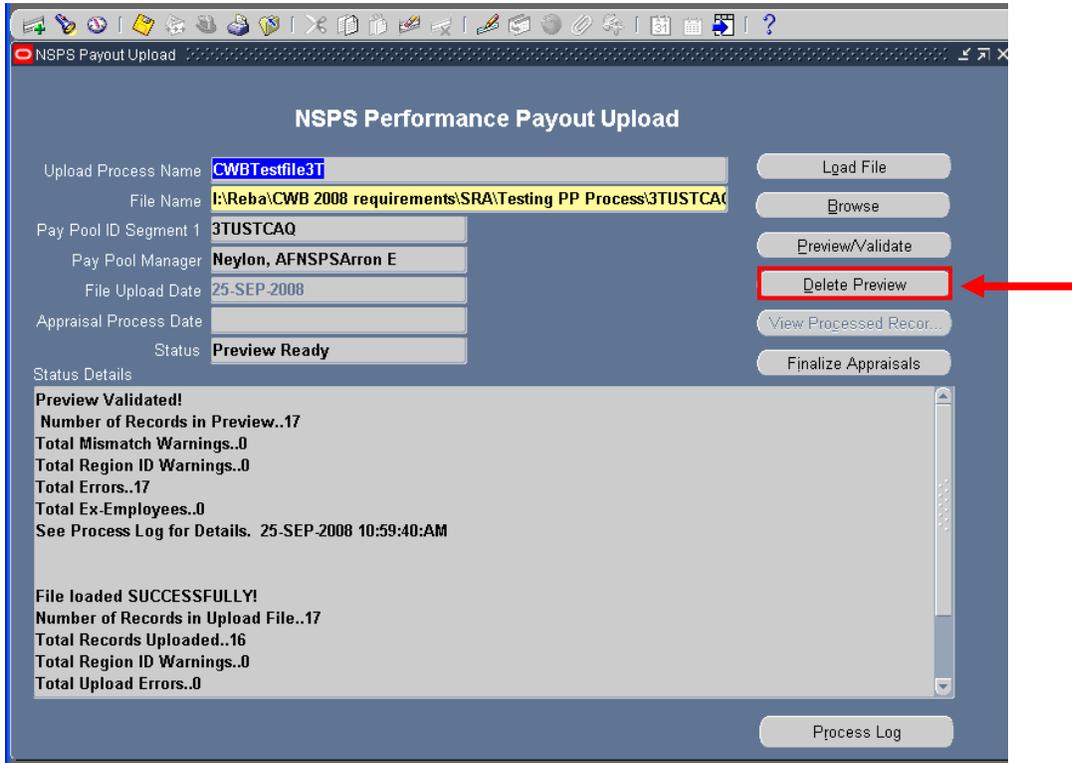
Records

Last Name	First Name	Employee Number	Specialty Sited Condition	Rating Official	Sub-Panel M
<input checked="" type="checkbox"/>	Belflower	AFNSPSJeannin	454230	Not Applicable	Bullers, AFNSPSNathan
<input checked="" type="checkbox"/>	Blubaugh	AFNSPSEthan A	454036	Not Applicable	Quaresma, AFNSPSGle
<input checked="" type="checkbox"/>	Boulden	AFNSPSWilliam	455169	Not Applicable	Quaresma, AFNSPSGle
<input checked="" type="checkbox"/>	Bullers	AFNSPSNathan	453897	Not Applicable	M2MDEFAULT, AirForce
<input checked="" type="checkbox"/>	Crapse	AFNSPSLyle F	455120	Not Applicable	M2MDEFAULT, AirForce
<input checked="" type="checkbox"/>	Flickner	AFNSPSGustavo	454221	Not Applicable	M2MDEFAULT, AirForce
<input checked="" type="checkbox"/>	Freda	AFNSPSAlta	455122	LWOP (Military)	Quaresma, AFNSPSGle
<input checked="" type="checkbox"/>	Gerken	AFNSPSVinita C	454148	LWOP (Military)	M2MDEFAULT, AirForce
<input checked="" type="checkbox"/>	Guedea	AFNSPSSina Q	455119	Not Applicable	
<input checked="" type="checkbox"/>	Haddock	AFNSPSZelma Q	455168	Not Applicable	
<input checked="" type="checkbox"/>	Hemmings	AFNSPSReynald	454174	Not Applicable	M2MDEFAULT, AirForce
<input checked="" type="checkbox"/>	Krick	AFNSPSTobias L	453906	Not Applicable	Quaresma, AFNSPSGle

Select All De-Select All

Step 8: Delete Preview.

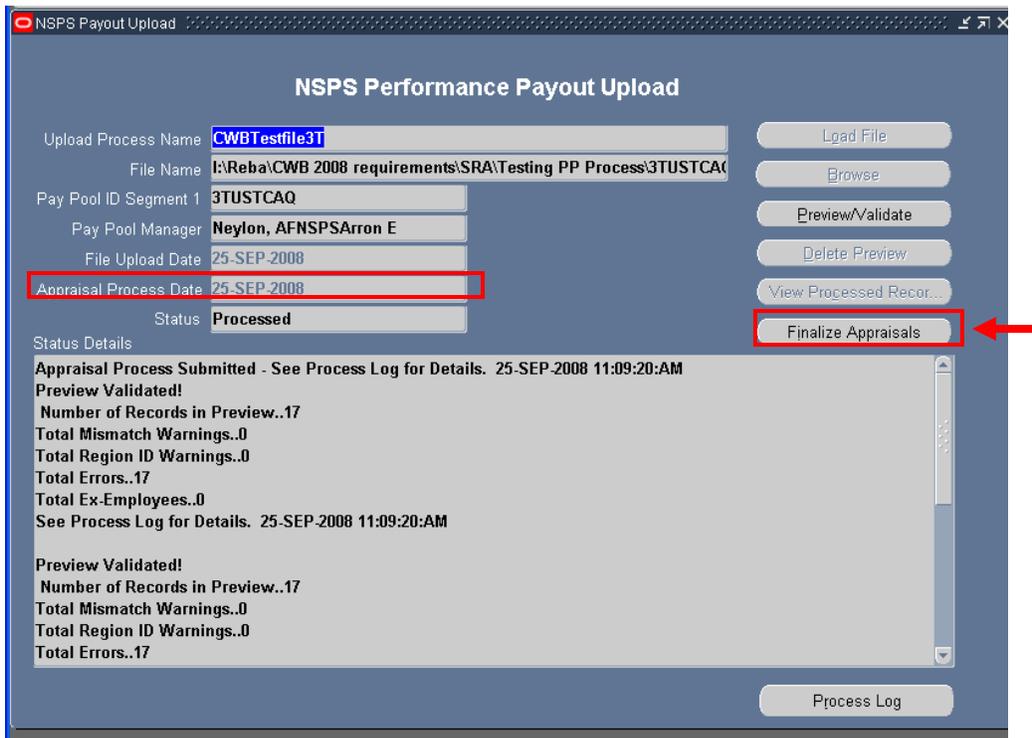
If the user determines that the staged data must be revised, they have the option to delete the preview before uploading a new file by clicking the Delete Preview button.



Step 9: Finalize Appraisals

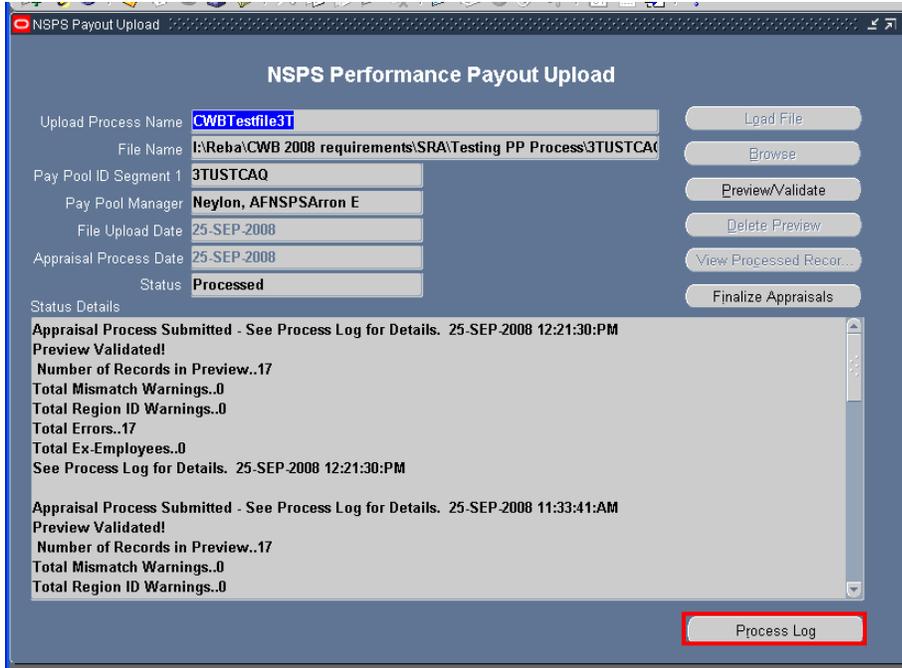
In Production, the 'Finalize Appraisals' button remains inactive until 1 January. If no mismatches exist when the Finalize Appraisals button is executed the 'Appraisal Process Date' and employee appraisal data will flow to the 'US Federal Perf Appraisal' SIT. The Current PAA Status in the Performance Appraisal Application tool will change with the execution of the Finalize Appraisals button. The new status will vary depending on the record condition at the time of update.

Note: Appropriate alert messages should be reconciled prior to selecting the 'Finalize Appraisal' button. The employee's rating of record in the US Federal Perf Appraisal SIT will be updated based on the ratings approved the pay pool manager and submitted in the CWB upload file.

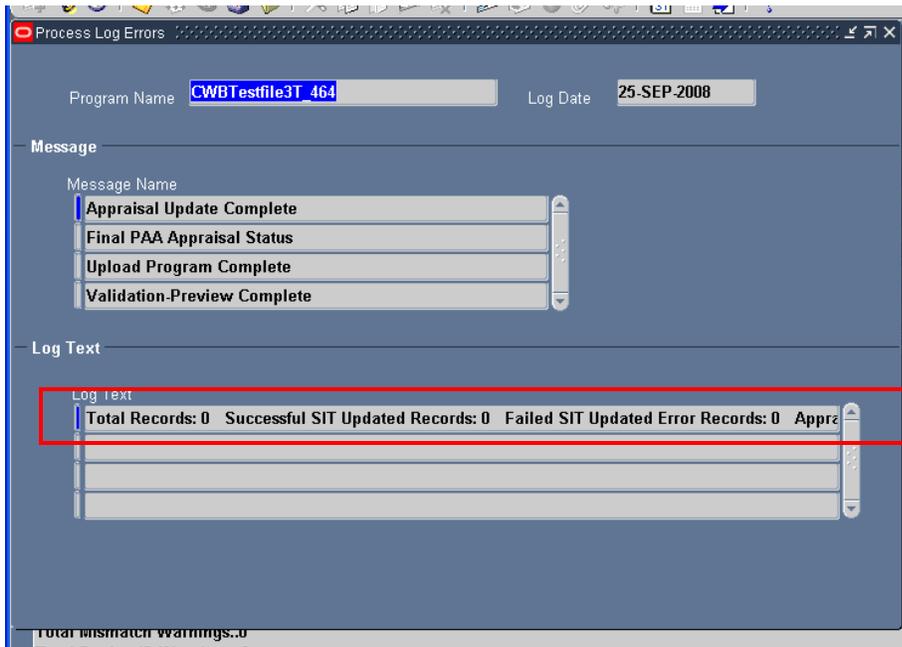


Step 10: View Process Details

Select 'Process Log' button to view details. The Process Log has been appended to include updates and errors that may have occurred with the Finalize Appraisals process. Process Log Messages can be found in Attachment 5.

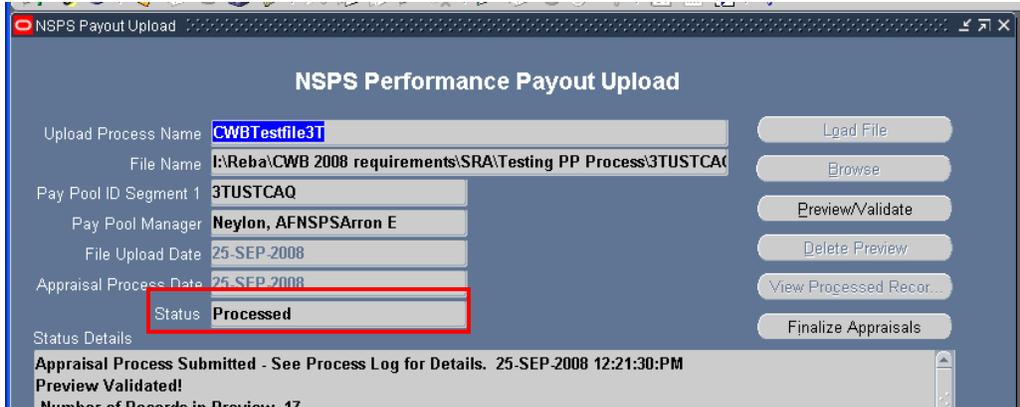


Sample view of Process Log



Step 11: View Process Status

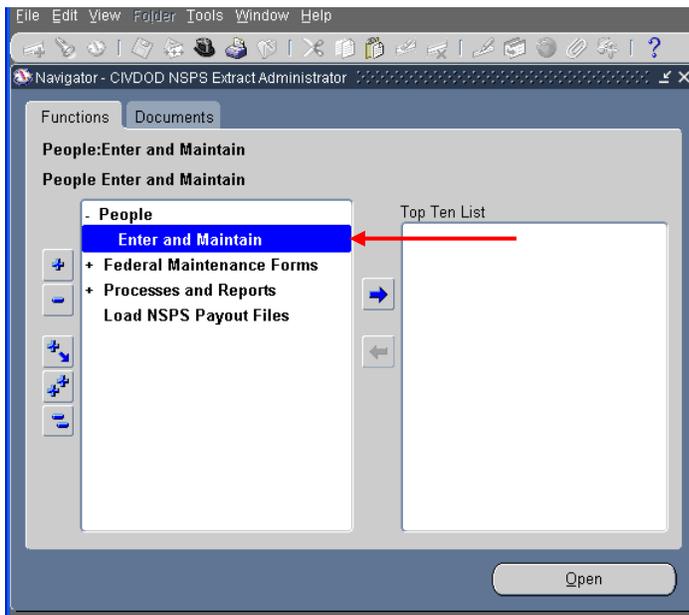
Close the Process Log and return to the NSPS Performance Payout Upload screen, and view the Status. Re-query the 'Upload Process Name' to verify that the process status has changed to Processed.



View Appraisal Update to Employee DCPDS Record

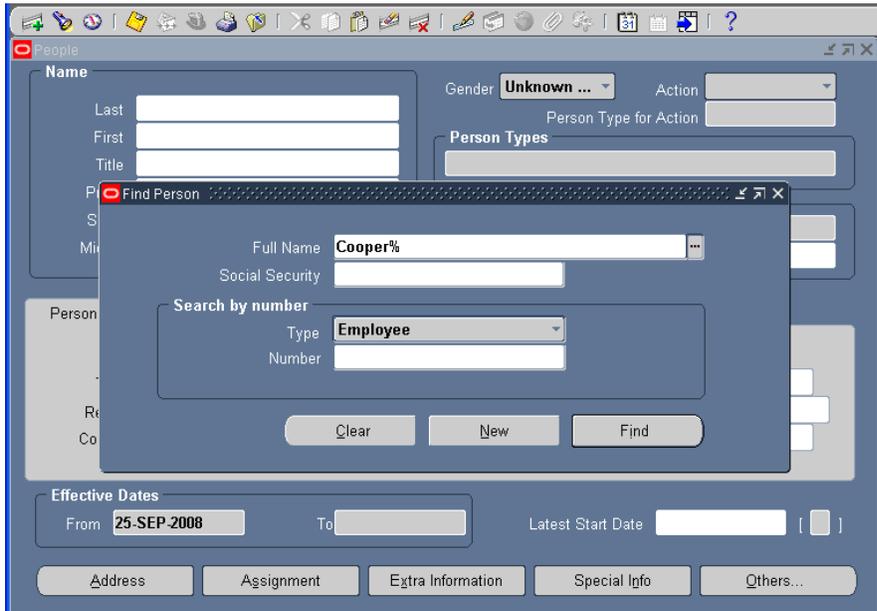
To validate that appraisal data was correctly updated into DCPDS and stored in 'US Federal Perf Appraisal' SIT.

Step 1: Select 'People,' 'Enter & Maintain'.

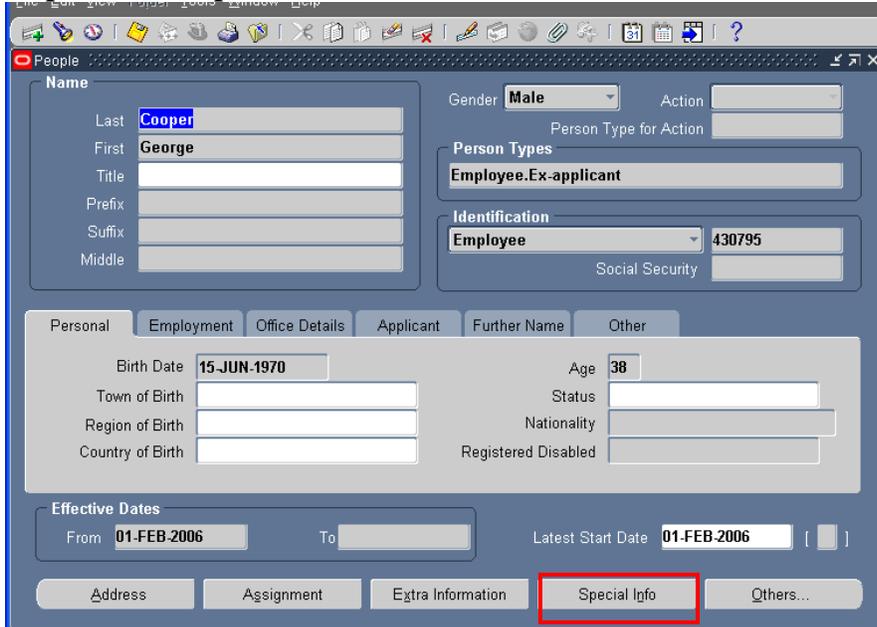


Step 2: Query on employee name or SSAN.

Select Find button.



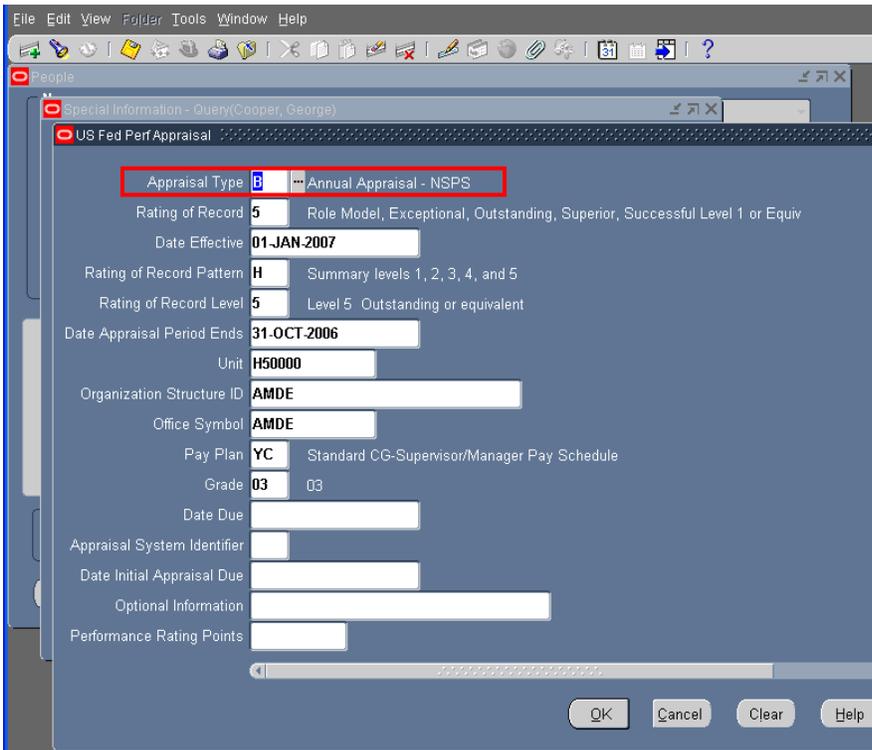
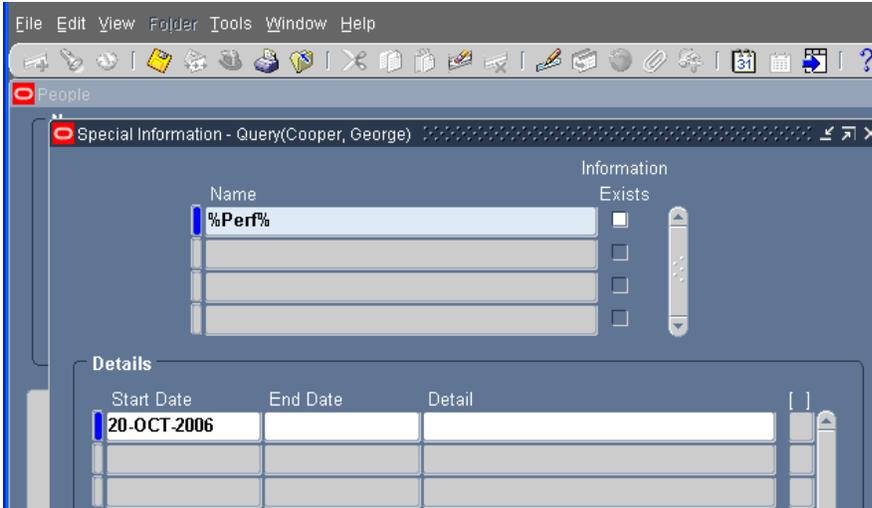
Step 3: Select 'Special Info' tab.



Step 4: Query Special Information Type

In the 'Name' field, query for the 'US Fed Perf Appraisal SIT' by using the F11 key, type in %Perf%, then use the Cntrl/F11 keys. Appraisal data should then appear under the Detail column. Click in the details block and review the appraisal data.

NSPS CWB Extract, Upload and Appraisal Finalization Processes



Finalizing Appraisals in the PAA and Payouts

Overview

Once the mismatches between the PAA and CWB are reconciled, the finalize appraisals process can be accomplished for the pay pool. This is done after January 1 of the payout year. When the appraisals are finalized, the following actions take place:

- The appraisal statuses for your pay pool's employees change from Pending PPM Approval to Approved by PPM in the PAA. The appraisals are now available to the rating officials.
- The rating of record from the CWB upload file is populated into DCPDS (into the US Federal Appraisal SIT).

This responsibility processes several pay adjustments during the first full pay period in January. The basic order in which these are processed is:

- Rate range adjustment and Local Market Supplement changes
- Salary increase from the CWB
- Bonus from the CWB

NSPS employees without a rating of record receive a salary increase equal to the full amount of the January Government-wide base pay increase.

Reconciling Mismatches Between the PAA and CWB after Finalize Appraisals has been Executed

Overview

If the data from the CWB spreadsheet does not match the PAA, the appropriate rating official will need to be notified to correct the records in the PAA. If mismatches are not reconciled, the final DD Form 2906 is not generated for the employee. However, *mismatches between the CWB and PAA do not prevent the employee's rating of record from flowing to DCPDS and the employee's payout from being processed.*

To allow a rating official to modify an employee's ratings in the PAA following the Finalize Appraisals process, a few things must occur.

1. If the plan is not approved, i.e., Plan Status equals 'Pending' and the Current PAA Status equals 'Plan Reviewed by HLR' and the Finalize Appraisals process is executed, the statuses will not change. The rating official will have the ability to update the appraisal data. In the case of this plan, the rating official has to 'Communicate' the plan to employee in order for the Plan Status to equal 'Approved'. The rating official will then have to complete the PAA to the point where the Current PAA Status equals 'Pending PPM Approval' (assign job objective ratings, enter rating official assessment, obtain employee assessment, obtain HLR approval, etc). When the Current PAA status is 'Pending PPM Approval', then the CIVDOD Performance Management Administrator - PAAV3 responsibility can change the Current PAA Status to 'PPM Returned for Change'. The PAA will then be returned to the rating official and the 'Validate' button will be available under Step 3 of the Annual Appraisal > Approvals and Acknowledgments tab. Once the rating official completes the PAA and validates the process by selecting the 'Validate' button, the Current PAA Status will then equal 'Approved by PPM'
2. Note: The 'Validate' button will only be visible if the Finalize Appraisal process was executed and the Current PAA Status equals 'PPM Returned for Change'.

Reconciling Mismatches Step-by-Step

Step 1: The rating official must accomplish all mismatches, PAA and CWB match and the Current PAA Status must equal Pending PPM Approval.

Step 2: Log into DCPDS

Step 3: Select CIVDOD Performance Management Administrator – PAA V3 responsibility from the navigator.

Department of Defense

ICE MyBiz ICE PAA V3 Logout Preferences Oracle Help

Navigator

CIVDOD Performance Management Administrator - PAA V3

- SuperUser
- Apply Action(s) to Multiple Employees (PAA)
- PAA Transfer Request
- View/Print Employee Appraisal Info
- Delegate PAA Trusted Agent Authorization

NSPS Performance Management Reports - PAA V3

- View/Print Reports
- View Previous Reports
- QC Reports

Favorites

Edit Favorites

After using your browser to access DCPDS, close all of your browser windows and restart a new browser session. Sometimes the browser can hold that information in memory (e.g. cache, etc) and some web sites know where to look to find it. For more information [Click here](#)

New Update Your Completed Training Via Self Service

Step 4: Select SuperUser from the menu.

Department of Defense

ICE MyBiz ICE PAA V3 Logout Preferences Oracle Help

Navigator

CIVDOD Performance Management Administrator - PAA V3

- SuperUser
- Apply Action(s) to Multiple Employees (PAA)
- PAA Transfer Request
- View/Print Employee Appraisal Info
- Delegate PAA Trusted Agent Authorization

NSPS Performance Management Reports - PAA V3

- View/Print Reports
- View Previous Reports
- QC Reports

Favorites

Edit Favorites

After using your browser to access DCPDS, close all of your browser windows and restart a new browser session. Sometimes the browser can hold that information in memory (e.g. cache, etc) and some web sites know where to look to find it. For more information [Click here](#)

New Update Your Completed Training Via Self Service

Step 5: Search for the employee whose appraisal status needs to be changed.

There are several ways to find an employee, but the easiest way to find a single employee is to type in the employee's last name and first name and select the flashlight icon. This will search the database for that employee. You can also search for all employees that are rated by the rating official by entering in the last name and first name into the Rating Official field.



Performance Appraisal Application (PAA)

Version 3.0

[ICE MyBiz](#) [ICE PAA V3](#) [Home](#) [Logout](#) [Preferences](#)

List of Plans/Appraisals

Search for appraisals in order to delete an appraisal, close an appraisal, update an appraisal, or track the progress of an appraisal.

TIP Please enter a Rating Official or Employee Name then click the 'Find' button.

Rating Official

Employee Name

Current PAA Status

Appraisal Year

Rating Official	Employee Name	Appraisal Effective Date	Appraisal Period Start Date	Appraisal Period End Date	Plan Status	Current PAA Status	Appraisal ID	Owner	Action
No search conducted.									

A results screen then appears. To select the employee, select the Quick Select icon. This action populates the correct full name in the Employee Name field.

Search and Select: Employee Name

Search

Select a field to 'Search By'. Next, enter a value in the text field. Partial searches must begin with the first few characters of the search field followed by the '%'; e.g., Smi% or 02%. The most common naming convention for Full Name is last name, first name, and middle initial. For best results, enter last name followed by the % and first name followed by the %, e.g. Smith% John%. Select the "Go" button. Select the 'Quick Select' icon next to your selection.

Search By

Results

	Quick Select	Employee Name	Employee Number	Organization Name	Person Type	Pay Schedule-Pay Band	Job Name
<input type="radio"/>		Eatmon, Alba U	394202	137 SWN SQ NGAFB61SFPVH01	AGR Employee	MC-35	0001.AGR
<input type="radio"/>		Eatmon, CPMSBernard D	462360	Document Auto & Production Svc DD07Z00000 01	Employee	YB-02	0303.General Support (NSPS)
<input type="radio"/>		Eatmon, CPMSKimberlie	467263	USA ARMAMENT RESEARCH & DEV CENTER ARXRW4MK03 01	Employee	YF-03	0801.Engineering (NSPS)

Select the Find button. This action populates the table with the active plans for that employee.



Performance Appraisal Application (PAA)

Version 3.0

[ICE MyBiz](#) [ICE PAA V3](#) [Home](#) [Logout](#) [Preferences](#)

List of Plans/Appraisals

Search for appraisals in order to delete an appraisal, close an appraisal, update an appraisal, or track the progress of an appraisal.

TIP Please enter a Rating Official or Employee Name then click the 'Find' button.

Rating Official

Employee Name

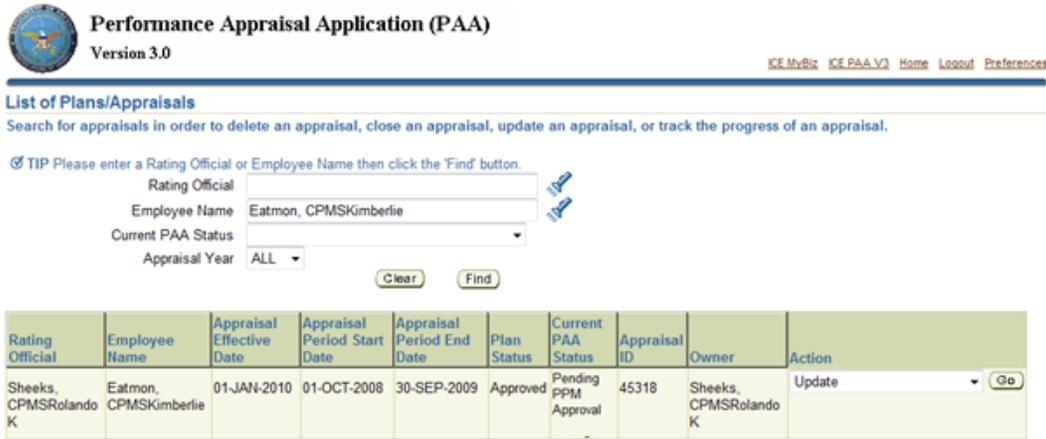
Current PAA Status

Appraisal Year

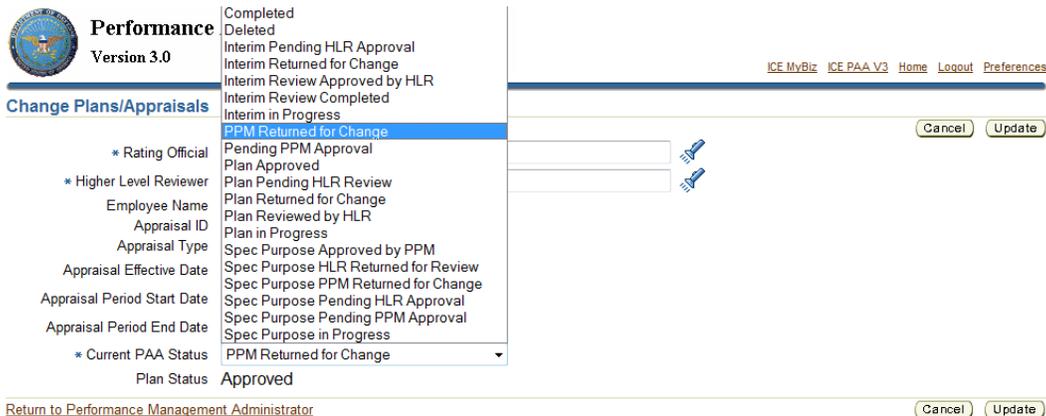
Rating Official	Employee Name	Appraisal Effective Date	Appraisal Period Start Date	Appraisal Period End Date	Plan Status	Current PAA Status	Appraisal ID	Owner	Action
No search conducted.									

Step 6: Change the appraisal status from Pending PPM Approval to PPM Returned for Change.

To change the appraisal status for an employee, identify the employee and select the Go button.



Change the Appraisal Status field from Pending PPM Approval to PPM Returned for Change, and select the Update button. The employee’s rating official is now able to modify the employee’s appraisal, including ratings and assessments.



Step 7: Rating official to complete process.

Once all mismatches have been accomplished and the PAA and CWB match, the rating official will select the Validate button in Step 3 of the Appraisals > Approvals and Acknowledgments.



Performance Appraisal Application (PAA)

Version 3.0

[ICE MyBiz](#) [ICE PAA V3](#) [Diagnostics](#) [Home](#) [Logout](#) [Preferences](#)

NSPS PAA - Rating Official

[Transfer to Employee](#) [Track Progress](#) [Return to Main Page](#)

Employee Information

Employee Name **Eatmon, CPMSKimberlie**

[Show Employee Details](#)

[Plan](#) [Interim Reviews](#) [Annual Appraisal](#) [Other Assessments](#) [Reports/Forms](#) [Manage Guest Participants](#)
[Assessments and Ratings](#) [Shares and Payout Distribution](#) [Approvals and Acknowledgments](#)

Approvals and Acknowledgments

This screen provides information regarding the status of your employee's Appraisal.

If the 'Start' button is active, select it to complete the process.

Select 'Show' to see the detailed information about the status of your Annual Appraisal.

[Need Help?](#)

[Show All Details](#) | [Hide All Details](#)

Details	Tasks	Status	Action
Show	Step 1: Rating Official - Request or Document Higher Level Review	Completed	
Show	Step 2: Higher Level - Review	Completed	
Show	Step 3: Pay Pool - Review	PPM Returned for Change	Validate
Show	Step 4: Rating Official - Document Communication to Employee	Not Started	Step 3 must be completed

The Current PAA Status changes from PPM Returned for Change to Approved by PPM.

Important: To become familiar with the columns, select the 'Need Help?' link.

Plans/Appraisals In Progress

TIP Only Employees that have a plan in progress are listed below.

Show Me Appraisal Year Create New Plan
--Choose a Plan Type--

Table Size Previous 10 11-20 Next 10

Employee Name	Current Owner	Rating Official Name	Appraisal Year	Appraisal ID	Plan Approval Date	Type	Plan Status	Current PAA Status	Action
Eatmon, CPMSKimberlie	PPM	Sheeks, CPMSRolando K	2010	45318	01-Jun-2009	NSPS	Approved	Approved by PPM	Update <input type="button" value="Go"/>
McMurry, CPMSVal B	PPM	Sheeks, CPMSRolando K	2010	45319	01-Jun-2009	NSPS	Approved	Approved by PPM	Update <input type="button" value="Go"/>

Appraisals > Approvals and Acknowledgments Step 4 is available for the Rating Official to Document Communication to Employee.



Performance Appraisal Application (PAA)

Version 3.0

[ICE MyBiz](#) [ICE PAA V3](#) [Diagnostics](#) [Home](#) [Logout](#) [Preferences](#)

NSPS PAA - Rating Official

Employee Information

Employee Name **Eatmon, CPMSKimberlie**
[▶ Show Employee Details](#)

Plan Interim Reviews **Annual Appraisal** Other Assessments Reports/Forms Manage Guest Participants

Assessments and Ratings Shares and Payout Distribution **Approvals and Acknowledgments**

Approvals and Acknowledgments

This screen provides information regarding the status of your employee's Appraisal. Select 'Show' to see detailed information about the status of your employee's Appraisal.

[Need Help?](#)

[Show All Details](#) | [Hide All Details](#)

Details	Tasks	Status	Action
▶ Show	Step 1: Rating Official - Request or Document Higher Level Review	Completed	
▶ Show	Step 2: Higher Level - Review	Completed	
▶ Show	Step 3: Pay Pool - Review	Completed	
▶ Show	Step 4: Rating Official - Document Communication to Employee	Not Started	<input type="button" value="Start"/>

Repeat steps 1-7 for each mismatch.

- If there are mismatches between the PAA and the CWB and the Current PAA Status equals Pending PPM Approval, the employee's Current PAA Status will be changed to PPM Returned for Change. When all mismatches are accomplished and the PAA and CWB match, the rating official will select the Validate button in Step 3 of the Approvals and Acknowledgments. This will change the Current PAA Status from PPM Returned for Change to Approved by PPM.

Things to Consider

Since eligibility for rate range and local market supplements are directly linked to the employee's NSPS rating of record, appraisal ratings must be updated to the US Federal Perf Appraisal SIT prior to executing the mass rate range process.

Not all NSPS appraisals will be handled through the CWB process. Certain specially situated employees, as addressed in the NSPS Specially Situated Employees guidance dtd September 2009 must be updated manually. Some employees will require a modal rating while others will require coordination between the losing and gaining pay pools.

Extract/Download: Having multiple performance plans/appraisal records increases the chance that the wrong record will be updated. Where multiple performance plans/appraisals exist or dates are questionable, contact the rating official to determine the appropriate action to take.

If the employee has two performance plans/appraisals with the same effective date and one has a recommended rating and the other does not, the extract process will download data from the one that has a recommended rating. If both performance plans/appraisals have a rating, the extract process will populate the recommended rating of record from the most recently created performance plan/appraisal record.

If an employee only has performance plans/appraisals with effective dates other than 01 Jan of the current appraisal cycle effective date, then the extract process will not download the recommended ratings and appraisal IDs for those records.

The extract process will pull in the data for an employee who receives an Early Annual Appraisal as long as the appraisal effective date is 1 Jan of the current appraisal cycle effective date and the employee was on your roles at the end of the rating cycle.

Upload: You may continue to see alert messages for issues (e.g., rating mismatches, no appraisal exists in the Performance Appraisal Application) however, these are messages that should alert the Human Resource professional to inquiry with the Pay Pool Manager/Administrator for resolution. The US Federal Perf Appraisal SIT will be updated with the value in the CWB preview upload file regardless of rating discrepancies, etc.

If there is a discrepancy between the recommended rating of record in the Performance Appraisal Application and what is provided in the CWB preview upload file, the US Federal Perf Appraisal SIT will be updated with the value in the CWB preview upload file. Rating mismatches should be reported to the Pay Pool Manager or Administrator for reconciliation with the Rating Official. The appraisal module should be updated prior to clicking the 'Finalize Appraisal' button so the ratings match. If you have rating mismatches at the time of clicking the 'Finalize Appraisal' button, the rating in the Performance Appraisal Application will not be updated nor will the appraisal status be changed to 'Approved by PPM (Pay Pool Manager)'. This will result in the DD Form 2906 not reflecting the official rating. It also does not allow the Rating Official access for completion of the appraisal.

NSPS CWB Extract, Upload and Appraisal Finalization Processes

If there is no performance plan/appraisal entered for the employee in the Performance Appraisal Application, the US Federal Perf Appraisal SIT will be updated with the value in the CWB preview upload screen. There is no system generated DD Form 2906. The Rating Official will need to input the performance plan/appraisal data into a fill able PDF DD Form 2906.

Attachment 1 – CWB Extract File Data Elements

Line No.	Data Element (from DCPDS and the PAA)
1	Last Name
2	First Name
3	Employee Number
4	Appraisal_ID
5	Pay Pool ID
6	Pay Schedule
7	Pay Band
8	Occ Code
9	Occ CAT Code
10	Org Structure ID
11	UIC/PAS
12	Basic Salary?
13	LMS Indicator
14	Retained Pay Flag
15	Rating Official
16	Sub Pay Pool Mgr
17	Average Score
18	Recommended Rating
19	Extract Date
20	Pay Pool Manager
21	Performance Review Authority
22	Appraisal Cycle Closeout Date
23	Recommended Shares
24	Salary Split
25	Obj 1 ID
26	Obj 1 No.
27	Obj 1 Title
28	Obj 1 Weight Used
29	Obj 1 Rating
30	Obj 1 CFI
31	Obj 1 Adj Rating
32	Obj 2 ID
33	Obj 2 No.
34	Obj 2 Title
35	Obj 2 Weight Used

NSPS CWB Extract, Upload and Appraisal Finalization Processes

Line No.	Data Element (from DCPDS and the PAA)
36	Obj 2 Rating
37	Obj 2 CFI
38	Obj 2 Adj Rating
39	Obj 3 ID
40	Obj 3 No.
41	Obj 3 Title
42	Obj 3 Weight Used
43	Obj 3 Rating
44	Obj 3 CFI
45	Obj 3 Adj Rating
46	Obj 4 ID
47	Obj 4 No.
48	Obj 4 Title
49	Obj 4 Weight Used
50	Obj 4 Rating
51	Obj 4 CFI
52	Obj 4 Adj Rating
53	Obj 5 ID
54	Obj 5 No.
55	Obj 5 Title
56	Obj 5 Weight Used
57	Obj 5 Rating
58	Obj 5 CFI
59	Obj 5 Adj Rating
60	Obj 6 ID
61	Obj 6 No.
62	Obj 6 Title
63	Obj 6 Weight Used
64	Obj 6 Rating
65	Obj 6 CFI
66	Obj 6 Adj Rating
67	Obj 7 ID
68	Obj 7 No.
69	Obj 7 Title
70	Obj 7 Weight Used
71	Obj 7 Rating
72	Obj 7 CFI
73	Obj 7 Adj Rating
74	Obj 8 ID
75	Obj 8 No.
76	Obj 8 Title
77	Obj 8 Weight Used
78	Obj 8 Rating

NSPS CWB Extract, Upload and Appraisal Finalization Processes

Line No.	Data Element (from DCPDS and the PAA)
79	Obj 8 CFI
80	Obj 8 Adj Rating
81	Obj 9 ID
82	Obj 9 No.
83	Obj 9 Title
84	Obj 9 Weight
85	Obj 9 Rating
86	Obj 9 CFI
87	Obj 9 Adj Rating
88	Obj 10 ID
89	Obj 10 No.
90	Obj 10 Title
91	Obj 10 Weight
92	Obj 10 Rating
93	Obj 10 CFI
94	Obj 10 Adj Rating
95	Region ID
96	Mock Data
97	Most Recent NSPS Rating
98	LMS Percent

Attachment 2 - CWB Upload Process Alerts Messages

Error: Data Type Mismatch (1)	39
Warning: Individual has become an Ex-Employee, therefore, not entitled to a performance payout (2)	39
Warning: Individual has become an Ex-Employee (3)	40
Warning: Employee is no longer covered by NSPS, therefore, not entitled to a performance-based payout (4)	40
Warning: Employee is on a temporary assignment to a non-NSPS position. Only bonus actions can be processed if the employee remains on the NSPS position at the time of payout any performance-based pay increases will be processed once the employee returns to an NSPS position. (4.1)	41
Warning: Employee was on a temporary assignment to a non-NSPS position but returned to their permanent NSPS position after 30 Sep but prior to payout effective date. Contact your personnel office for assistance in determining the employee's performance increase if applicable. (4.2)	41
Warning: Segment 1 Pay Pool ID Mismatch - DCPDS value is <insert Segment 1 of the Pay Pool ID in the employee's Assignment EIT>. Please assure rating information is provided to the gaining pay pool (5)	42
Warning: Starting Base Salary Mismatch - DCPDS value is <insert Basic Salary as of Appraisal Period End Date (date contained in the upload file)>. Please review payout information for accuracy (6)	43
Warning: Higher Level Review not completed. Current Appraisal Status is <insert APPRAISAL_STATUS>. PAA record will not be updated (7).....	44
Warning: Please review the PAA record to assure all necessary changes have been made. Current Appraisal Status is Pay Pool Manager Returned for Review (PPMFR)(7a).	45
Error: Employee is also included in the preview records for the <insert the Pay Pool ID Segment 1 value of the other preview>. Please contact <insert Pay Pool Manager's name from the upload file of the other preview> to resolve (8)	46
Warning: No PAA appraisal record exists for the employee (9)	47
Warning: Appraisal Status equals Closed or Deleted for appraisal ID (10)	48
Error: Appraisal ID in upload file has been closed or deleted. System will use Appraisal ID: <insert new Appraisal ID> (11)	49
Warning: Number of Objectives in the upload file does not match the number of objectives in the PAA Record(12).....	50
Error: A mismatch exists between one or more Obj Titles in the PAA record. Mismatches exist in Job Obj Title <insert the Job Objective Title for each mismatch separated by a comma>. PAA values are <insert the corresponding PAA value for each mismatch separated by a comma>. (13)	51
Error: Average Score mismatch - PAA value is <insert PAA Average Score value>. Please review and correct all rating information in the PAA record. (14)	52
Error: Rating Mismatch - PAA value is <insert PAA Rating value>. Please review and correct all rating information in the PAA record. (15)	53
Error: A mismatch exists between one or more Obj Weights % in the PAA record. Mismatches exist in Job Obj Numbers <insert the Job Objective Numbers for each mismatch separated by a comma>. PAA values are <insert the corresponding PAA value for each mismatch separated by a comma>. (16)	54

Error: A mismatch exists between one or more Obj Ratings in the PAA record. Mismatches exist in Job Obj Numbers <insert the Job Objective Numbers for each mismatch separated by a comma>. PAA values are <insert the corresponding PAA value for each mismatch separated by a comma>. (17) 55

Error: A mismatch exists between one or more Contributing Factor Impact values in the PAA record. Mismatches exist in Job Obj Numbers <insert the Job Objective Numbers for each mismatch separated by a comma>. PAA values are <insert the corresponding PAA value for each mismatch separated by a comma>. (18)..... 56

Error: A mismatch exists between one or more Obj Adjusted Rating values in the PAA record. Mismatches exist in Job Obj Numbers <insert the Job Objective Numbers for each mismatch separated by a comma>. PAA values are <insert the corresponding PAA value for each mismatch separated by a comma>. (19) 57

Error: The employee is entitled to a Modal rating. Please take appropriate action. (20)..... 58

Error: The employee is entitled to a performance payout based on a modal rating. Their pay pool ID changed.<Insert the pay pool ID value from the employee’s Assignment EIT as of the appraisal effective date> Please contact <insert Pay Pool Manager’s name associated with the employee’s new pay pool ID> and provide appropriate modal rating information. (21) 58

Error: A mismatch exists with the number of Shares in the PAA record. PAA values is <PAA value for Shares>. (22) 59

Error: A mismatch exists between the Salary Increase% and Bonus% in the PAA record. Values are Salary Increase% <insert corresponding PAA value for Salary Increase%>, bonus% <insert corresponding PAA value for Bonus%>. (23) 59

Error: Data Type Mismatch (1)

Cause: Data type mismatches on any column.

Example: Upload file includes alpha characters where it is expecting numeric characters

Action Required		Yes
If no action is taken:	PAA will update	No
	Appraisal Data in Employee Record will update	No
	Performance Payouts will process	No

Action Required:

1. Check and correct source data in CWB
2. Create new upload file.
3. Delete current upload file in DCPDS preview by selecting the “Delete Preview” button
4. Upload the corrected CWB export file
5. Select “Preview/Validate” to verify warning message is cleared

Warning: Individual has become an Ex-Employee, therefore, not entitled to a performance payout (2)

Cause: The employee was under NSPS as of the end of the rating cycle and was eligible for a payout; however, at the time the file was uploaded, the employee had become an ex-employee.

Example: The employee was under NSPS as of the end of the rating cycle and was eligible for a payout but separates or retires before the effective date of the payout.

Action Required		Yes
If no action is taken:	PAA will update	No
	Appraisal Data in Employee Record will update	No
	Performance Payouts will process	No

Action Required:

Communicate appraisal/performance rating to gaining rating official and HR. Employee may also be considered for an award under Chapter 45.

Warning: Individual has become an Ex-Employee (3)

Cause: The employee was under NSPS as of the end of the rating cycle and was not eligible for a payout; however, at the time the file was uploaded, the employee had become an ex-employee.

Example: The employee was under NSPS as of the end of the rating cycle but was not eligible for a performance payout and separates or retires before the effective date of the payout.

Action Required		No ¹
If no action is taken:	PAA will update	No
	Appraisal Data in Employee Record will update	No
	Performance Payouts will process	No

¹ Employee may be entitled to an award under Chapter 45.

Warning: Employee is no longer covered by NSPS, therefore, not entitled to a performance-based payout (4)

Cause: The employee was under NSPS as of the end of the rating cycle and was eligible for a payout; however, at the time the file was uploaded the employee was no longer under NSPS.

Example: The employee was under NSPS as of the end of the rating cycle and was eligible for a payout, but moves to a non-NSPS (e.g., GS) position before the effective date of the payout.

Action Required		No ¹
If no action is taken:	PAA will update	Yes
	Appraisal Data in Employee Record will update	Yes
	Performance Payouts will process	No ²

¹ Do not deselect this record if employee is entitled to a rating. PAA record and appraisal area in employee's record will be updated.

² Performance payouts will not process if the employee is no longer NSPS on the effective date of the performance payout; however, employee may be entitled to an award under Chapter 45.

Warning: Employee is on a temporary assignment to a non-NSPS position. Only bonus actions can be processed if the employee remains on the NSPS position at the time of payout any performance-based pay increases will be processed once the employee returns to an NSPS position. (4.1)

Cause: The employee is temporarily assigned to a non-NSPS position.

Example: Employee is permanently assigned to a YA-02 position but has been temporarily promoted to a GS-14 position before the effective date of the payout.

Action Required		No ¹
If no action is taken:	PAA will update	Yes
	Appraisal Data in Employee Record will update	Yes
	Performance Payouts will process	Yes ²

¹ Do not deselect this record if employee is entitled to a rating. PAA record and appraisal area in employee's record will be updated.

² Bonus Only. Any performance -based pay increases will be processed once the employee returns to an NSPS position. Employees who are temporarily promoted to non-NSPS position and are occupying that non-NSPS position on the last day of the rating cycle *are* included in the CWB extract process. The employee's salary should not be included in the CWB and their performance payout should be calculated manually.

Warning: Employee was on a temporary assignment to a non-NSPS position but returned to their permanent NSPS position after 30 Sep but prior to payout effective date. Contact your personnel office for assistance in determining the employee's performance increase if applicable. (4.2)

Cause: The employee was temporarily assigned to a non-NSPS position but has returned to his/hers permanent NSPS position after 30 Sep but prior to payout.

Example: Employee was temporarily assigned to a GS-14 position but has been returned to his YA-02 permanent NSPS position after 30 Sep but prior to the payout effective date.

Action Required		No ¹
If no action is taken:	PAA will update	Yes
	Appraisal Data in Employee Record will update	Yes
	Performance Payouts if applicable will be based on temporary assignment salary	Yes ²

¹ Do not deselect this record if employee is entitled to a rating. PAA record and appraisal area in employee's record will be updated.

Warning: Segment 1 Pay Pool ID Mismatch - DCPDS value is <insert Segment 1 of the Pay Pool ID in the employee's Assignment EIT>. Please assure rating information is provided to the gaining pay pool (5)

Cause: Segment 1 of the Pay Pool ID in the upload file does not match Segment 1 of the Pay Pool ID value in the employee assignment record in DCPDS. Note: Segment 1 is the highest level of the pay pool, additional segments represent sub-pay pools. This warning alerts the user of situations that may warrant closer review of the distribution of pay pool funds.

Example: Segment 1 is CE1W2SF in the employee record but is CE1W3SF in the upload file.

Action Required		Yes
If no action is taken:	PAA will update	Yes
	Appraisal Data in Employee Record will update	Yes
	Performance Payouts will process	No

Action Required:

Do not deselect this record if employee is entitled to a rating. PAA record and appraisal area in employee's record will be updated.

Performance payouts will not process if the Pay Pool ID Segment 1 in the spreadsheet and Pool ID Segment 1 in employee's record do not match on the effective date of the performance payout. Notify gaining pay pool.

Warning: Starting Base Salary Mismatch - DCPDS value is <insert Basic Salary as of Appraisal Period End Date (date contained in the upload file)>. Please review payout information for accuracy (6)

Cause: The employee’s base pay that was included in the upload file does not match the base pay that existed at the end of the rating cycle. This condition looks for situations where an employee’s base pay at the end of the rating cycle may have changed as a result of a retroactive personnel action that either increased or decreased the employee’s base pay.

Example: At the time the data was extracted for the CWB, the employee’s base pay as of the end of the rating cycle was \$50,000. At the time of the upload, the base pay as of the end of the rating cycle was \$52,500 due to a retroactive personnel transaction with an effective date prior to the end of the rating cycle.

Action Required		Yes
If no action is taken:	PAA will update	Yes
	Appraisal Data in Employee Record will update	Yes
	Performance Payouts will process	Yes ¹

¹ The payout information from the CWB will be incorrect, as the salary used was wrong. Follow the action plan below to correct the situation.

Action Required:

Prior to Component deadline:

1. Request new extract file from DCPDS
2. Un-certify CWB (remove check from certify box)
3. Import that employee’s record (only) into the CWB.
4. Pay pool fund will be recalculated; payouts may need to be adjusted.
5. Validate and certify CWB
6. Create new upload file
7. Delete current upload file in DCPDS preview by selecting the “Delete Preview” button
8. Upload corrected CWB export file
9. Select “Preview/Validate” to verify warning message is cleared

After Component deadline:

Do not recalculate entire pay pool. Correct payout actions for the affected employee.

Warning: Higher Level Review not completed. Current Appraisal Status is <insert APPRAISAL_STATUS>. PAA record will not be updated (7)

Cause: This condition alerts the user that the appraisal has not been approved by the Higher Level Reviewer (HLR) and affords them the opportunity to request higher level approval prior to finalizing the appraisal.

Example: The appraisal has not been approved by the Higher Level Reviewer

Action Required		Yes
If no action is taken:	PAA will update	No
	Appraisal Data in Employee Record will update	Yes
	Performance Payouts will process	Yes

Action Required:

Before "Finalize Appraisal" has been accomplished in DCPDS:

1. Return appraisal to rating official (see [Appendix I](#) for instructions)
2. Notify rating official to request or document Higher Level Approval and resubmit recommended rating to pay pool.

After "Finalize Appraisal" has been accomplished in DCPDS:

1. Appraisal will be automatically return to rating official
2. Notify rating official to complete the steps to finalize appraisal (see [Appendix II](#) for instructions)

Warning: Please review the PAA record to assure all necessary changes have been made. Current Appraisal Status is Pay Pool Manager Returned for Review (PPMRFR)(7a).

Cause: The appraisal data in the PAA does not match the appraisal data in the CWB and the Rating Official has not made the necessary changes.

Example: The pay pool manager returned an employee’s appraisal to the Rating Official for a change, but the rating official never re-submitted the appraisal back to the pay pool.

Action Required		Yes
If no action is taken:	PAA will update	No
	Appraisal Data in Employee Record will update	Yes
	Performance Payouts will process	Yes

Action Required:

Before "Finalize Appraisal" has been accomplished in DCPDS:

3. Return appraisal to rating official (see [Appendix I](#) for instructions)
4. Notify rating official to make the necessary changes and select the Resubmit to PPM button.

After "Finalize Appraisal" has been accomplished in DCPDS:

3. Appraisal will be automatically return to rating official
4. Notify rating official to complete the steps to finalize appraisal (see [Appendix II](#) for instructions)

Error: Employee is also included in the preview records for the <insert the Pay Pool ID Segment 1 value of the other preview>. Please contact <insert Pay Pool Manager’s name from the upload file of the other preview> to resolve (8)

Cause: This error is raised when an employee’s appraisal record is associated with payouts for multiple pay pools.

Example: Employee is included in Preview for pay pool ABC and also included in Preview for pay pool XYZ

Action Required		Yes
If no action is taken:	PAA will update	No
	Appraisal Data in Employee Record will update	No
	Performance Payouts will process	No

Action Required: Determine which pay pool is correct.

If employee should be in your preview, notify HR or the Manager/administrator of the erroneous pay pool to ensure employee is deleted or deselected from the other preview

If employee should not be in your preview:

Prior to Component deadline:

1. Un-certify CWB (remove check from certify box)
2. Delete that employee’s record (delete their row in the pay pool panel worksheet) from the CWB
3. Pay pool fund will be recalculated; payouts may need to be adjusted.
4. Validate and certify CWB
5. Create new upload file
6. Delete current upload file in DCPDS preview by selecting the “Delete Preview” button
7. Upload corrected CWB export file
8. Validate preview to verify warning message is cleared

After Component deadline:

Do not recalculate entire pay pool. Ensure employee is de-selected from the erroneous preview so it does not affect the employee’s PAA, Appraisal SIT or Performance Payout.

Warning: No PAA appraisal record exists for the employee (9)

Cause: The employee does not have an appraisal record for that effective date.

Examples:

1. Paper appraisal is being used.
2. PAA is being used but appraisal dates are incorrect

Action Required		Yes if using PAA
If no action is taken:	PAA will update	No
	Appraisal Data in Employee Record will update	Yes
	Performance Payouts will process	Yes

Action Required:

If PAA is being used, verify appraisal cycle and effective dates.

1. Correct appraisal period and/or appraisal effective dates using the NSPS Appraisal Administration tool (see [Appendix I](#) for instructions)
2. Validate preview to verify warning message is cleared

Warning: Appraisal Status equals Closed or Deleted for appraisal ID (10)

Cause: An appraisal record existed at the time of the extract but has subsequently been closed or deleted.

Example: An appraisal record existed at the time of the extract but has subsequently been closed or deleted.

Action Required		Yes if using PAA
If no action is taken:	PAA will update	No
	Appraisal Data in Employee Record will update	Yes
	Performance Payouts will process	Yes

Action Required:

If the closed appraisal should still be used for this cycle:

1. Reactivate appraisal using the Appraisal Administrator responsibility (see [Appendix I](#) for instructions)
2. Verify that RO has completed all necessary steps for submitting recommended ratings to pay pool
3. Validate preview to verify warning message is cleared

If the closed appraisal is being replaced with paper one, no action required.

Error: Appraisal ID in upload file has been closed or deleted. System will use Appraisal ID: <insert new Appraisal ID> (11)

Cause: The employee or Rating Official initiated a Performance Plan / Appraisal and that was the appraisal that existed at time of the extract, but the record was subsequently closed or deleted. However, an additional Performance Plan / Appraisal was created with the same Appraisal Effective Date. This warning message alerts the user that the system will update a different appraisal than the one that was downloaded; it is an opportunity for the user to make sure that the appropriate appraisal gets updated.

Example: Appraisal that existed at time of the extract was closed or deleted. However, another Performance Plan / Appraisal was created with the same Appraisal Effective Date.

Action Required		Yes
If no action is taken:	PAA will update	Yes ¹
	Appraisal Data in Employee Record will update	Yes
	Performance Payouts will process	Yes

¹ The system will update a different appraisal than the one that was loaded into the CWB

Action Required: Verify that the active appraisal is the correct one.

Warning: Number of Objectives in the upload file does not match the number of objectives in the PAA Record(12)

Cause: The number of objectives in the upload file does not match the number of objectives in the PAA.

Example: Performance objectives were added or removed from the Performance Plan / Appraisal after the extract file was loaded into the CWB.

Action Required		Yes
If no action is taken:	PAA will update	No
	Appraisal Data in Employee Record will update	Yes
	Performance Payouts will process	Yes

Action Required:

Before Finalize Appraisals has been accomplished in DCPDS:

1. Return appraisal to rating official (see [Appendix I](#) for instructions)
2. Notify rating official to correct the performance objectives and resubmit recommended rating to pay pool.
3. Validate preview to verify warning message is cleared

After "Finalize Appraisal" has been accomplished in DCPDS:

1. Appraisal will be automatically return to rating official
2. Notify rating official to correct the performance objectives and complete the steps to finalize appraisal (see [Appendix II](#) for instructions)

Error: A mismatch exists between one or more Obj Titles in the PAA record. Mismatches exist in Job Obj Title <insert the Job Objective Title for each mismatch separated by a comma>. PAA values are <insert the corresponding PAA value for each mismatch separated by a comma>. (13)

Cause: If one or more Objective titles in the upload file do not match the Objective Titles in the PAA.

Example: One or more Objective titles in the upload file do not match the corresponding Objective Titles in the PAA

Action Required		Yes
If no action is taken:	PAA will update	No
	Appraisal Data in Employee Record will update	Yes
	Performance Payouts will process	Yes

Action Required:

Before Finalize Appraisals has been accomplished in DCPDS:

1. Return appraisal to rating official (see [Appendix I](#) for instructions)
2. Notify rating official to correct the performance objectives and resubmit recommended rating to pay pool.
3. Validate preview to verify warning message is cleared

After Finalize Appraisals has been accomplished in DCPDS:

1. Appraisal will be automatically return to rating official
2. Notify rating official to correct the performance objectives and complete the steps to finalize appraisal (see [Appendix II](#) for instructions)

Error: Average Score mismatch - PAA value is <insert PAA Average Score value>. Please review and correct all rating information in the PAA record. (14)

Cause: Average Score in the upload file does not match the Average Score in the PAA.

Example: Average Score in the upload file equals 4.4; the Average Score in the PAA equals 4.6

Action Required		Yes
If no action is taken:	PAA will update	No
	Appraisal Data in Employee Record will update	Yes
	Performance Payouts will process	Yes

Action Required:

Before Finalize Appraisals has been accomplished in DCPDS:

1. Return appraisal to rating official (see [Appendix I](#) for instructions)
2. Notify rating official to correct the performance ratings and resubmit recommended rating to pay pool.
3. Validate preview to verify warning message is cleared

After Finalize Appraisals has been accomplished in DCPDS:

1. Appraisal will be automatically return to rating official
2. Notify rating official to correct the performance ratings and complete the steps to finalize appraisal (see [Appendix II](#) for instructions)

Error: Rating Mismatch - PAA value is <insert PAA Rating value>. Please review and correct all rating information in the PAA record. (15)

Cause: Rating in the upload file does not match the Recommended Rating in the PAA.

Example: The Rating in the upload file equals 4; the Recommended Rating in the PAA equals 3

Action Required		Yes
If no action is taken:	PAA will update	No
	Appraisal Data in Employee Record will update	Yes
	Performance Payouts will process	Yes

Action Required:

Before Finalize Appraisals has been accomplished in DCPDS:

1. Return appraisal to rating official (see [Appendix I](#) for instructions)
2. Notify rating official to correct the performance ratings and resubmit recommended rating to pay pool.
3. Validate preview to verify warning message is cleared

After Finalize Appraisals has been accomplished in DCPDS:

1. Appraisal will be automatically return to rating official
2. Notify rating official to correct the performance ratings and complete the steps to finalize appraisal (see [Appendix II](#) for instructions)

Error: A mismatch exists between one or more Obj Weights % in the PAA record. Mismatches exist in Job Obj Numbers <insert the Job Objective Numbers for each mismatch separated by a comma>. PAA values are <insert the corresponding PAA value for each mismatch separated by a comma>. (16)

Cause: One or more Objective Weights in the upload file do not match the Objective Weight values in the PAA.

Example: The “Objective Weight %” for Objective Number 1 in the upload file equals 25; the Objective Weight %” for Objective Number 1 in the PAA equals 35

Action Required		Yes
If no action is taken:	PAA will update	No
	Appraisal Data in Employee Record will update	Yes
	Performance Payouts will process	Yes

Action Required:

Before Finalize Appraisals has been accomplished in DCPDS:

1. Return appraisal to rating official (see [Appendix I](#) for instructions)
2. Notify rating official to correct the objective weights and resubmit recommended rating to pay pool.
3. Validate preview to verify warning message is cleared

After Finalize Appraisals has been accomplished in DCPDS:

1. Appraisal will be automatically return to rating official
2. Notify rating official to correct the objective weights and complete the steps to finalize appraisal (see [Appendix II](#) for instructions)

Error: A mismatch exists between one or more Obj Ratings in the PAA record. Mismatches exist in Job Obj Numbers <insert the Job Objective Numbers for each mismatch separated by a comma>. PAA values are <insert the corresponding PAA value for each mismatch separated by a comma>. (17)

Cause: One or more Objective Ratings in the upload file do not match the Objective Rating values in the PAA.

Example: The “Objective Rating” for Objective Number 1 in the upload file equals 3; the Objective Rating” for Objective Number 1 in the PAA equals 4

Action Required		Yes
If no action is taken:	PAA will update	No
	Appraisal Data in Employee Record will update	Yes
	Performance Payouts will process	Yes

Action Required:

Before Finalize Appraisals has been accomplished in DCPDS:

1. Return appraisal to rating official (see [Appendix I](#) for instructions)
2. Notify rating official to correct the performance objectives and resubmit recommended rating to pay pool.
3. Validate preview to verify warning message is cleared

After "Finalize Appraisal" has been accomplished in DCPDS:

1. Appraisal will be automatically return to rating official
2. Notify rating official to correct the performance objectives and complete the steps to finalize appraisal (see [Appendix II](#) for instructions)

Error: A mismatch exists between one or more Contributing Factor Impact values in the PAA record. Mismatches exist in Job Obj Numbers <insert the Job Objective Numbers for each mismatch separated by a comma>. PAA values are <insert the corresponding PAA value for each mismatch separated by a comma>. (18)

Cause: One or more Objective Contributing Factors in the upload file do not match the Objective Contributing Factor values in the PAA.

Example: The “Contributing Factor Impact” for Objective Number 1 in the upload file equals +1; the “Contributing Factor Impact” for Objective Number 1 in the PAA equals 0.

Action Required		Yes
If no action is taken:	PAA will update	No
	Appraisal Data in Employee Record will update	Yes
	Performance Payouts will process	Yes

Action Required:

Before Finalize Appraisals has been accomplished in DCPDS:

1. Return appraisal to rating official (see [Appendix I](#) for instructions)
2. Notify rating official to correct the contributing factors and resubmit recommended rating to pay pool.
3. Validate preview to verify warning message is cleared

After "Finalize Appraisal" has been accomplished in DCPDS:

1. Appraisal will be automatically return to rating official
2. Notify rating official to correct the contributing factors and complete the steps to finalize appraisal (see [Appendix II](#) for instructions)

Error: A mismatch exists between one or more Obj Adjusted Rating values in the PAA record. Mismatches exist in Job Obj Numbers <insert the Job Objective Numbers for each mismatch separated by a comma>. PAA values are <insert the corresponding PAA value for each mismatch separated by a comma>. (19)

Cause: One or more Objective Adjusted Ratings in the upload file do not match the Objective Adjusted Rating values in the PAA.

Example: The “Objective Adjusted Rating” for Objective Number 1 in the upload file equals 3; the “Objective Adjusted Rating” for Objective Number 1 in the PAA equals 4

Action Required		Yes
If no action is taken:	PAA will update	No
	Appraisal Data in Employee Record will update	Yes
	Performance Payouts will process	Yes

Action Required:

Before Finalize Appraisals has been accomplished in DCPDS:

1. Return appraisal to rating official (see [Appendix I](#) for instructions)
2. Notify rating official to correct the performance ratings and resubmit recommended rating to pay pool.
3. Validate preview to verify warning message is cleared

After Finalize Appraisals has been accomplished in DCPDS:

1. Appraisal will be automatically return to rating official
2. Notify rating official to correct the performance ratings and complete the steps to finalize appraisal (see [Appendix II](#) for instructions)

Error: The employee is entitled to a Modal rating. Please take appropriate action.
(20)

Cause: The employee was not assigned a rating during the appraisal cycle due to a special situation.

Example: The employee performed 100% union duties or the employee was on LWOP (Mil or Wkrs Comp) and did not serve at least 90 days of service under the performance plan assigned.

Action Required		Yes
If no action is taken:	PAA will update	No
	Appraisal Data in Employee Record will update	No
	Performance Payouts will process	No

Action Required:

1. The Modal rating must be calculated in the CWB for the pay pool. Notify the rating official to submit the request(s) for personnel action if appropriate.

Error: The employee is entitled to a performance payout based on a modal rating. Their pay pool ID changed.<Insert the pay pool ID value from the employee’s Assignment EIT as of the appraisal effective date> Please contact <insert Pay Pool Manager’s name associated with the employee’s new pay pool ID> and provide appropriate modal rating information. (21)

Cause: The employee was not assigned a rating during the appraisal cycle due to a special situation.

Example: The employee performed 100% union duties or the employee was on LWOP (Mil or Wkrs Comp) and did not serve at least 90 days of service under the performance plan assigned and has moved to a new pay pool as of the effective date of the payout.

Action Required		Yes
If no action is taken:	PAA will update	No
	Appraisal Data in Employee Record will update	No
	Performance Payouts will process	No

Action Required:

1. The Modal rating must be calculated in the CWB for the losing pay pool. Notify the gaining rating official to submit their request(s) for personnel action if appropriate.

Error: A mismatch exists with the number of Shares in the PAA record. PAA values is <PAA value for Shares>. (22)

Cause: the number of Shares in the PAA do not match the number of Shares in the CWB.

Example: The number of Shares in the PAA record is 4 and the number of Shares in the CWB is 3.

Action Required		Yes
If no action is taken:	PAA will update	No
	Appraisal Data in Employee Record will update	Yes
	Performance Payouts will process	Yes

Action Required:

Before Finalize Appraisals has been accomplished in DCPDS:

4. Return appraisal to rating official (see [Appendix I](#) for instructions)
5. Notify rating official to correct the number of Shares and resubmit to pay pool.
6. Validate preview to verify warning message is cleared

After Finalize Appraisals has been accomplished in DCPDS:

3. Appraisal will be automatically return to rating official
4. Notify rating official to correct the number of Shares and complete the steps to finalize appraisal (see [Appendix II](#) for instructions)

Error: A mismatch exists between the Salary Increase% and Bonus% in the PAA record. Values are Salary Increase% <insert corresponding PAA value for Salary Increase%>, bonus% <insert corresponding PAA value for Bonus%>. (23)

Cause: the Salary Increase% and Bonus% in the PAA does not match the Salary Increase% and Bonus% increase in the CWB.

Example: The Salary Increase% is 70% and the Bonus% is 30% in the PAA record and the Salary Increase% is 55% and the Bonus% is 45% in the CWB.

Action Required		Yes
If no action is taken:	PAA will update	No
	Appraisal Data in Employee Record will update	Yes
	Performance Payouts will process	Yes

Action Required:

Before Finalize Appraisals has been accomplished in DCPDS:

NSPS CWB Extract, Upload and Appraisal Finalization Processes

7. Return appraisal to rating official (see [Appendix I](#) for instructions)
8. Notify rating official to correct the Salary Increase% and Bonus% in the PAA and resubmit to the pay pool.
9. Validate preview to verify warning message is cleared

After Finalize Appraisals has been accomplished in DCPDS:

5. Appraisal will be automatically return to rating official
6. Notify rating official to correct the Salary Increase% and Bonus% in the PAA and complete the steps to finalize appraisal (see [Appendix II](#) for instructions)

Appendix I – Performance Appraisal Administration

Correcting PAA dates

1. Use either the CIVDOD Performance Management Administrator – PAA V3 or CIV Pay Pool Manager/CIV Pay Pool Administrator responsibility in DCPDS
2. Search for appraisals by employee and/or rating official name
3. Locate appraisal and select Update
4. Change appraisal date(s)
5. Save changes by clicking Update again

Reactivating closed or deleted appraisals

1. Use either the CIVDOD Performance Management Administrator - PAA V3 or CIV Pay Pool Manager/CIV Pay Pool Administrator or Alternate responsibility in DCPDS
2. Search for appraisals by employee and/or rating official name
3. Locate closed or deleted appraisal and select Update
4. Change appraisal status to Ongoing
5. Save changes by clicking Update again
6. Notify rating official to complete any unfinished steps and submit recommended ratings

Transferring appraisals back to rating official for correction

If the Current PAA Status equals anything other than “Pending Approval” or “Pending PPM Approval”, rating official already has access to the appraisal for correction.

If the Current PAA Status equals “Pending Approval”, notify HLR to complete approval process or return appraisal to rating official. If HLR is unavailable to return appraisal to rating official:

1. Use either the CIVDOD Performance Management Administrator – PAA V3 or CIV Pay Pool Manager/CIV Pay Pool Administrator or Alternate responsibility in DCPDS
2. Search for appraisals by employee and/or rating official name
3. Locate appraisal and select Update
4. Change Current PAA Status to "PPM Returned for Change"
5. Save changes by clicking Update again
6. Notify rating official to document HLR approval and submit the recommended ratings

If the Current PAA Status equals “Pending PPM Approval”

1. Use either the CIVDOD Performance Management Administrator - PAA V3 or CIV Pay Pool Manager/CIV Pay Pool Administrator or Alternate responsibility in DCPDS
2. Search for appraisals by employee and/or rating official name
3. Locate appraisal and select Update
4. Change the Current PAA Status to "PPM Returned for Change"
5. Save changes by clicking Update again
6. Notify rating official to correct the appraisal and resubmit the recommended ratings

Appendix II – Post-Finalization Instructions

After the Finalize Appraisals process is completed in DCPDS, any appraisals that still contained erroneous data or where not submitted to the PPM will be returned to the rating official:

1. Rating official must complete any missing steps and correct any appraisal information as necessary to match what was submitted in the preview.
2. Rating official clicks the “Validate” button to verify that the appraisal now matches what was submitted in the preview. Error messages will appear if appraisal still contains mismatching data or necessary steps are incomplete.
3. Once all mismatches are fixed and missing steps are complete, the Validate button will change the appraisal status to “Approved by PPM”. Rating official can then communicate the appraisal to the employee and complete the appraisal in the PAA.

Attachment 3 – List of Plan/Appraisal Statuses

The following is a list of all plan and appraisal statuses in the PAA.

Plan Status	Description
Approved	Performance Plan has been approved by the Higher Level Reviewer and communicated to the employee and any subsequent changes have also been approved.
Modified	An approved Performance Plan has been changed and the changes have not been approved.
Pending	Performance Plan has been initiated and saved but not approved.
Current PAA Status	Description
Plan in Progress:	Performance Plan has been started but not yet approved or original Performance Plan was approved and Job Objectives have been modified but not yet re-approved.
Plan Pending HLR Review:	Performance Plan has been approved by Rating Official but not by Higher Level Reviewer.
Plan Returned for Change:	Higher Level Reviewer has requested the Performance Plan be modified.
Plan Approved by HLR:	Higher Level Reviewer has approved the Performance Plan.
Plan Approved:	Performance Plan has been approved by Rating Official and Higher Level Reviewer(or modified Job objectives have been re-approved) and acknowledged by employee.
Interim in Progress:	Interim Review has been started but not yet approved.
Interim Pending HLR Review:	Interim Review has been approved by Rating Official but not by Higher Level Reviewer.
Interim Returned for Change:	Higher Level Reviewer has requested the Interim Review be modified.
Interim Review Completed	Interim Review has been approved by Rating Official and Higher Level Reviewer and acknowledged by employee.
Appraisal Pending HLR Review:	Annual Appraisal has been approved by Rating Official but not by Higher Level Reviewer.
Appraisal Returned for Change:	Higher Level Reviewer has requested the Annual Appraisal be modified.
Pending PPM Approval:	Annual Appraisal has been approved by Rating Official

NSPS CWB Extract, Upload and Appraisal Finalization Processes

	and higher Level Reviewer but not by Pay Pool Manager.
PPM Returned for Change:	Pay Pool Manager has requested the Annual Appraisal be modified.
Approved by PPM:	Annual Appraisal has been approved by Rating Official, Higher Level Reviewer, and Pay Pool Manager. An unapproved performance plan has been deleted by rating official.
Appraisal Completed:	Annual Appraisal has been approved by Rating Official, Higher Level Reviewer, and Pay Pool Manager, and acknowledged by employee.
Closeout in Progress:	Closeout Assessment has been started by not yet approved.
Closeout Completed:	Closeout Assessment has been approved by Rating Official and acknowledged by employee.

Attachment 4 – CWB Upload File Data Elements

Line No.	DCPDS Upload Table Column Heading
1	LAST_NAME
2	FIRST_NAME
3	EMPLOYEE_NUMBER
4	APPRAISAL_ID
5	PAY_POOL_ID
6	WILDCARD 1
7	PAY_SCHEDULE
8	PAY_BAND
9	OCC_CODE
10	OCC CAT ID
11	ORG STRUCTURE ID
12	UIC/PAS CODE
13	END CYCLE BASE_SALARY
14	LMS INDICATOR
15	RETAINED_PAY_FLAG
16	RATED_ELIG
17	MODAL RATING
18	INCL_SALARY_PAY_POOL
19	PAYOUT_ELIGIBILITY
20	PAYOUT ELIGIBLE
21	SPECIALLY SITUATED CONDITION
22	WILDCARD 2
23	RATING_OFFICIAL
24	SUB_PAY_POOL_MGR
25	WILDCARD 3
26	AVERAGE_SCORE
27	RATING
28	SHARES
29	PAYOUT_AMT
30	SALARY_INCR_DOLLARS
31	SALARY_INCR_PCTG
32	PRO_RATE_SALARY_INCR_PCTG
33	PRO_RATED_SALARY_INCR_DOLLARS
34	CTRL_PT_DOLLARS
35	ALLOW_OVER_CTRL_PT
36	WILDCARD 4
37	PAY_BAND_MAX
38	ADJ_SALARY_INCR_DOLLARS

NSPS CWB Extract, Upload and Appraisal Finalization Processes

Line No.	DCPDS Upload Table Column Heading
39	EPI_SALARY
40	OAR_SALARY
41	NEW_BASE_SALARY
42	WILDCARD 5
43	LMS CODE
44	NEW LMS PERCENT
45	NEW LMS AMOUNT
46	NEW ADJ BASIC PAY
47	CARRYOVER DOLLARS
48	BONUS_DOLLARS
49	TOTAL BONUS DOLLARS
50	BONUS_PCTG
51	PRO_RATE_BONUS_PCTG
52	PRO_RATED_BONUS_DOLLARS
53	EPI_BONUS
54	OAR_BONUS
55	WILDCARD 6
56	WILDCARD 7
57	OBJ_ONE_ID
58	OBJ_ONE_NUMBER
59	OBJ_ONE_TITLE
60	OBJ_ONE_WEIGHT_USED
61	OBJ_ONE_RATING
62	OBJ_ONE_CONTRACT
63	OBJ_ONE_ADJUSTED_RATING
64	OBJ_TWO_ID
65	OBJ_TWO_NUMBER
66	OBJ_TWO_TITLE
67	OBJ_TWO_WEIGHT_USED
68	OBJ_TWO_RATING
69	OBJ_TWO_CONTRACT
70	OBJ_TWO_ADJUSTED_RATING
71	OBJ_THREE_ID
72	OBJ_THREE_NUMBER
73	OBJ_THREE_TITLE

NSPS CWB Extract, Upload and Appraisal Finalization Processes

Line No.	DCPDS Upload Table Column Heading
74	OBJ_THREE_WEIGHT_USED
75	OBJ_THREE_RATING
76	OBJ_THREE_CONTRACT
77	OBJ_THREE_ADJUSTED_RATING
78	OBJ_FOUR_ID
79	OBJ_FOUR_NUMBER
80	OBJ_FOUR_TITLE
81	OBJ_FOUR_WEIGHT_USED
82	OBJ_FOUR_RATING
83	OBJ_FOUR_CONTRACT
84	OBJ_FOUR_ADJUSTED_RATING
85	OBJ_FIVE_ID
86	OBJ_FIVE_NUMBER
87	OBJ_FIVE_TITLE
88	OBJ_FIVE_WEIGHT_USED
89	OBJ_FIVE_RATING
90	OBJ_FIVE_CONTRACT
91	OBJ_FIVE_ADJUSTED_RATING
92	OBJ_SIX_ID
93	OBJ_SIX_NUMBER
94	OBJ_SIX_TITLE
95	OBJ_SIX_WEIGHT_USED
96	OBJ_SIX_RATING

NSPS CWB Extract, Upload and Appraisal Finalization Processes

Line No.	DCPDS Upload Table Column Heading
97	OBJ_SIX_CONTRACT
98	OBJ_SIX_ADJUSTED_RATING
99	OBJ_SEVEN_ID
100	OBJ_SEVEN_NUMBER
101	OBJ_SEVEN_TITLE
102	OBJ_SEVEN_WEIGHT_USED
103	OBJ_SEVEN_RATING
104	OBJ_SEVEN_CONTRACT
105	OBJ_SEVEN_ADJUSTED_RATING
106	OBJ_EIGHT_ID
107	OBJ_EIGHT_NUMBER
108	OBJ_EIGHT_TITLE
109	OBJ_EIGHT_WEIGHT_USED
110	OBJ_EIGHT_RATING
111	OBJ_EIGHT_CONTRACT
112	OBJ__EIGHT_ADJUSTED RATING
113	OBJ_NINE_ID
114	OBJ_NINE_NUMBER
115	OBJ_NINE_TITLE
116	OBJ_NINE_WEIGHT_USED
117	OBJ_NINE_RATING
118	OBJ_NINE_CONTRACT

NSPS CWB Extract, Upload and Appraisal Finalization Processes

Line No.	DCPDS Upload Table Column Heading
119	OBJ_NINE_ADJUSTED_RATING
120	OBJ_TEN_ID
121	OBJ_TEN_NUMBER
122	OBJ_TEN_TITLE
123	OBJ_TEN_WEIGHT_USED
124	OBJ_TEN_RATING
125	OBJ_TEN_CONTRACT
126	OBJ_TEN_ADJUSTED_RATING
127	REGION_ID
128	APPRAISAL_EFFECTIVE_DATE
129	MOCK DATA
130	ASSIGNED MODAL RATING
131	MODAL BASE SALARY INCREASE PCT
132	MODAL BASE SALARY INCREASE
133	PROPRATED MODAL SALARY INCREASE PCT
134	PROPRATED BASE SALARY INCREASE AMOUNT
135	MODAL BASE SALARY INCREASE AMT
136	FINAL BASE SALARY AFTER MODAL PAYOUT
137	ELEMENT_1_PCTG
138	ELEMENT_1_DOLLARS
139	ELEMENT_2_PCTG
140	ELEMENT_2_DOLLARS

NSPS CWB Extract, Upload and Appraisal Finalization Processes

Line No.	DCPDS Upload Table Column Heading
141	ELEMENT_3_PCTG
142	ELEMENT_3_DOLLARS
143	GPI_PCTG
144	RATE_RNG_PCTG
145	SHARE_VALUE_TYPE
146	SHARE_VALUE
147	CARRYOVER_DOLLARS
148	YG02_MAX
149	YG03_MAX
150	YJ04_MAX
151	EPI_SALARY_DOLLARS
152	EPI_BONUS_DOLLARS
153	OAR_SALARY_DOLLARS
154	OAR_BONUS_DOLLARS
155	APPRAISAL_CYCLE_CLOSEOUT_DATE
156	CERTIFIED_DATE
157	PAY_POOL_MANAGER
158	EMPLOYEE_COUNT
159	VERSION_NUMBER
160	PAY POOL MODAL RATING
161	RATING THREE MODAL PERCENT
162	RATING FOUR MODAL PERCENT

NSPS CWB Extract, Upload and Appraisal Finalization Processes

Line No.	DCPDS Upload Table Column Heading
163	RATING FIVE MODAL PERCENT

Attachment 5 – List of NSPS Performance Payout Upload Errors and Process Log Messages

Process log messages are generated at various stages of the NSPS Performance Payout Upload process. They are generated at the time of the upload, upon Preview/Validate and during the Finalize Appraisal process.

The following is a list of events process log Message Names associated with selecting the Load File button.

Upload Errors.....	73
Upload File Error - please check the file format and data in your file	73
Error: The CWB export did not contain a Pay Pool Manager’s name. The file must contain a Pay Pool Manager name. Please assign a Pay Pool Manager and reload the file.	73
The values for Remaining GPI (Element 2), GPI, or Rate Range Adjustment is incorrect. Valid values are <insert values from DCPDS table>.....	73
Pay Pool ID Segment 1 does not match values in upload file	74
<i>Region ID Mismatch</i>	74
Process Log Messages	75
Employee transferred to <insert the name of the physical regional database, e.g., Air Force, Army, Navy, WHS, DLA, etc.> regional database. Please assure appraisal information is provided to the gaining pay pool manager or HR professional	75
Region ID Mismatch: Please assure this record is uploaded to the appropriate DCPDS database	75
<i>Upload Program Complete</i>	75
<i>Upload Program Error</i>	76
<i>Validation – Preview Complete</i>	76
<i>Final PAA Returned for Change</i>	77
<i>Final PAA not updated</i>	77
<i>Final PAA Appraisal Status</i>	77
<i>Appraisal SIT Status</i>	78

Upload Errors

Upload File Error - please check the file format and data in your file

Message is displayed on upload

Cause: User selected the wrong file or Upload file format is incorrect.

Example: User selected the DCPDS extract file and not the CWB export file when loading the preview.

Action Required:

1. Select the correct or modified CWB export file for the pay pool
2. Click the “Load File” button

Error: The CWB export did not contain a Pay Pool Manager’s name. The file must contain a Pay Pool Manager name. Please assign a Pay Pool Manager and reload the file.

Cause: The CWB upload file did not contain a pay pool manager name or the pay pool manager in the CWB upload file does not match the pay pool manager name stored in DCPDS. The names must match for the upload to be successful. If there is a pay pool manager name stored in DCPDS at the time of download, that pay pool manager name will download and generate in the CWB spreadsheet when the CWB spreadsheet is certified.

Example: The pay pool manger stored in DCPDS is Smith, John. The pay pool manager name was changed at the time the CWB was certified to Col, Smith, John.

Action Required:

1. Select the correct pay pool manager name from the list of values provided in the upload process, found in the Pay Pool Manager data field.
2. If there is no list of values provided in the Pay Pool Manager data field this would mean that no pay pool manager has been assigned in DCPDS. This must be accomplished using the ‘Manage Pay Pool ID’ form.

The values for Remaining GPI (Element 2), GPI, or Rate Range Adjustment is incorrect. Valid values are <insert values from DCPDS table>.

Message is displayed on Upload

Cause: Values for Remaining GPI (Element 2), GPI, or Rate Range Adjustment do not match the values in the DCPDS validation table

Example: CWB Export file Remaining GPI (Element 2) value is 2.5 and the DCPDS value is 1.16

Action Required:

Ensure the correct funding values are identified in your upload file, otherwise upload will continue to fail

Pay Pool ID Segment 1 does not match values in upload file

Message is displayed on Upload

Cause: The Pay Pool ID Segment 1 value entered on the upload screen does not match the Segment 1 portion of the value in the CWB export file being staged.

Example: J.W. Smith is the Pay Pool Manager for pay pool ABC and for pay pool DEF. J.W. typed in ABC on the in the Pay Pool ID Segment 1 on the upload screen, but he mistakenly tried to load pay pool DEF's CWB export file.

Action Required:

1. Correct the Pay Pool ID Segment 1 value entered on the upload screen

OR

2. Click "Load File" button and select the correct CWB export file (for the pay pool matching the value input on the screen).

Region ID Mismatch

Validation occurs on upload

Cause: The region ID identified for this employee record does not exist on the data base.

Example: A pay pool may consist of employees that reside on separate databases. Pay pool 123 may have employees from Region 11 and Region 12. The CWB spreadsheet will include all employees. When the CWB Export File is uploaded to database for Region 11 all records that belong to Region 12 will reject. When the CWB Export Files is uploaded to Region 12 all records that belong to Region 11 will reject.

Action Required		No
If no action is taken:	PAA will update for appropriate employee(s)	Yes
	Appraisal Data in Employee Record will update for appropriate employee(s)	Yes
	Performance Payouts will process for appropriate employee(s)	Yes

Process Log Messages

Messages displayed in Process Log

Employee transferred to <insert the name of the physical regional database, e.g., Air Force, Army, Navy, WHS, DLA, etc.> regional database. Please assure appraisal information is provided to the gaining pay pool manager or HR professional

Message is displayed in Process Log on upload

Cause: Employee is now an ex-employee, separated sometime between the day after the appraisal period end date and the appraisal effective date (normally between 1 Oct and 1 Jan) but transferred to another Region.

Example: YA-02 DLA employee transfers to a YA-02 position with Navy on 25 Nov 07.

Action Required		Yes
If no action is taken:	PAA will update for affected employee(s)	No
	Appraisal Data in Employee Record will update for affected employee(s)	Not in gaining region
	Performance Payouts will process for affected employee(s)	No

Action Required:

Ensure the gaining rating official, pay pool manager or HR professional has the appraisal information.

Region ID Mismatch: Please assure this record is uploaded to the appropriate DCPDS database

Message is displayed in Process Log on upload

Cause: Employee is not on the DCPDS (Region) database the file is being uploaded to, but is on another database (Region).

Example: A pay pool with members from multiple regions, i.e., a DeCA pay pool which includes employees serviced by DeCA and by Army.

Action Required		Yes
If no action is taken:	PAA will update for affected employee(s)	No
	Appraisal Data in Employee Record will update for affected employee(s)	No
	Performance Payouts will process for affected employee(s)	No

Action Required:

Provide copy of the CWB export file to the Region which services the employee.

Upload Program Complete

Message is displayed in Process Log. Validation occurs on upload

Cause: CWB file is uploaded and summary is provided.

Example: Message provides the number of records that were loaded successfully and those that failed.

Action Required		No
If no action is taken:	PAA will update for uploaded employee record(s)	Yes
	Appraisal Data in Employee Record will update for affected employee(s)	Yes
	Performance Payouts will process for affected employee(s)	Yes

Upload Program Error

Message is displayed in Process Log. Validation occurs on upload

Cause: Records in the CWB file upload failed.

Example: Message provides employee name and reason for upload error.

Validation – Preview Complete

Validation occurs with the execution of the Preview/Validate or Finalize Appraisals button

Cause: Provides an overall status of the Preview/Validation process

Example: Total Records: 8 total Region ID Errors: 0 Total Ex-Employees: 0 Error Records: 1

Final PAA Returned for Change

Validation occurs when Finalize Appraisals is selected

Cause: Appraisal data mismatches were found when comparing data in the PAA and CWB.

Example: A list of employees where the status of the PAA record was changed to Returned for Review due to mismatches. Job Obj Title for Job Obj 3 in the PAA read ‘Test’ the Job Obj Title for Job Obj 3 in the CWB read ‘Test Plan’.

Action Required		Yes
If no action is taken:	PAA will update for uploaded employee record(s)	No
	Appraisal Data in Employee Record will update for affected employee(s)	Yes
	Performance Payouts will process for affected employee(s)	Yes

Action Required: Ensure PAA appraisal data matches CWB appraisal data.

Final PAA not updated

Validation occurs when Finalize Appraisals is selected

Cause: Current PAA Status was not equal to ‘Pending Pay Pool Manager Approval’ prior to the finalizing the appraisal process.

Example: The Current PAA Status was equal to ‘Pending HLR Approval’ prior to finalizing the appraisal process.

Action Required		Yes
If no action is taken:	PAA will update for uploaded employee record(s)	No
	Appraisal Data in Employee Record will update for affected employee(s)	No
	Performance Payouts will process for affected employee(s)	Yes

Action Required: Ensure PAA appraisal is completed and data matches all values updated in the CWB.

Final PAA Appraisal Status

Validation occurs when Finalize Appraisals is selected

Cause: The Finalize Appraisals button has been executed.

NSPS CWB Extract, Upload and Appraisal Finalization Processes

Example: A summary count of PAA record updates e.g., Total Records: 3 PAA record Updated: 2, PAA Records Returned for Change 1.

Action Required: No

Appraisal SIT Status

Validation occurs with Finalize Appraisals

Cause: CWB file is finalized and summary is provided.

Example: Message provides the number of records that had a successful SIT update and the number of records that were not updated.

Action Required		No
If no action is taken:	SIT will update for records with no errors identified	Yes
	Appraisal Data in Employee Record will update for successful employee record(s)	Yes
	Performance Payouts will process for all affected employee(s)	Yes

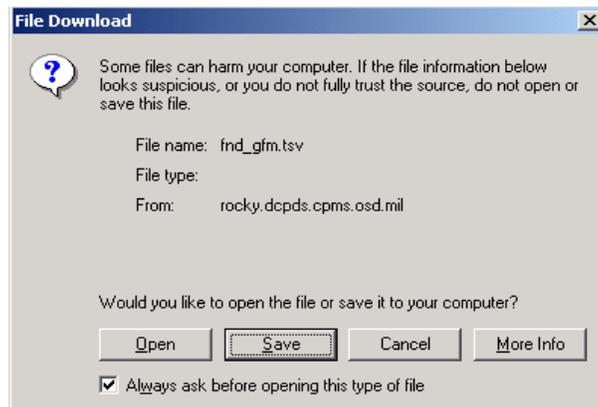
Attachment 6 – Exporting the Preview Screen

The following steps allow export of a Preview screen to an Excel spreadsheet.

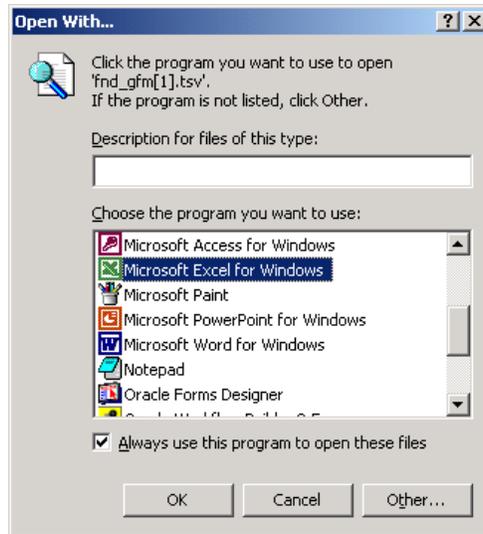
Step 1: Select File from the menu and then select Export.



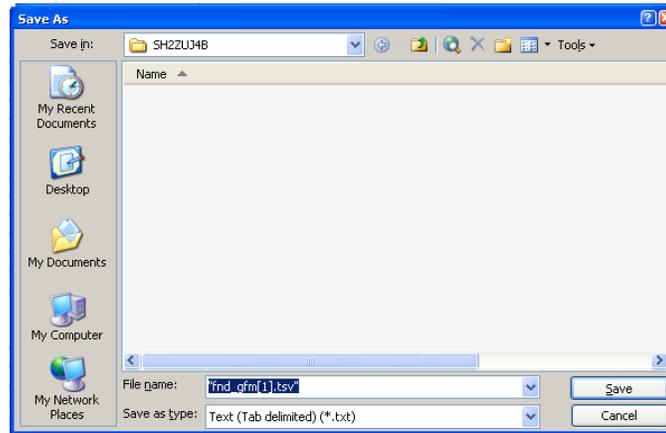
Step 2: Select Open. Hint: If the File Download window immediately disappears from your screen, hold the Control key when you select Export.



Step 3: Selecting Open displays the following screen advising that the 'TSV' file extension is unknown. Scroll down and highlight Microsoft Excel, then select OK. The file will open in Excel.



Step 4: To save the Excel file, select the Save button on the toolbar.



Step 5: Identify the file location, give the file a unique name, and change 'Save as type' to Microsoft Excel.

