

Unit Mitigating Factors – Request-for-Consideration Process

What is a mitigating factor?

A mitigating factor is a significant occurrence beyond a unit's control that triggers a measurable impact not only on the NPA composite summary, but on the Pay for Performance overall performance rating as well. In order to qualify for consideration, there must be so significant a change in a unit indicator(s) that it will cause a downward change in the NPA composite summary resulting in the PFP Overall Performance Rating to be lowered by at least one whole point.

Certain unique situations might constitute mitigating factors. For example, a retail unit consumed by fire, an AMF destroyed by flood, or an act of terrorism that shuts down a transportation network or plant. What is considered is how the occurrence had a profound impact on the unit indicator, did this occurrence cause a downward change in the NPA composite summary and what efforts did the unit make to offset the occurrence. The criteria for determining whether an event qualifies as a mitigating factor are listed below.

Who may request unit-level mitigation?

The installation head may request unit mitigation. Individual employees are not authorized to request mitigation. If the installation head decides not to request mitigation, or if the installation head's mitigation request is not approved at any point in the process, the matter is closed and there is no further appeal.

When should an installation head consider processing a request for a mitigating factor?

When it is apparent that a unit indicator was affected by a unique occurrence that was beyond a unit's control, the installation head could consider requesting mitigation.

What is the process for requesting consideration for a mitigating factor?

1. The process begins with the installation head, who must describe the situation; he or she believes caused an adverse impact on the unit indicator(s) resulting in a lower overall performance rating as well as the efforts made to offset the occurrence. Documentation must be provided to support the impact of a particular occurrence.
2. The installation head must include documentation showing that criteria for a mitigating factor were met. The documentation must establish and substantiate:
 - a. The occurrence caused a negative result in one or more of the unit indicators
 - b. It was not already mitigated in NPA
 - c. It negatively affected the NPA composite summary by at least one whole point
 - d. The occurrence was beyond the unit's control
 - e. That the unit made efforts to offset the occurrence that impacted the unit indicator, and what those efforts were
 - f. The downward change in the NPA composite summary result in a lower PFP overall performance rating
3. If warranted, the installation head will submit the Unit Request for Consideration of Mitigating Factors and Checklist for Consideration of Mitigating Factors forms to the lead PCES district executive. The request form requires the installation head to document the following:
 - a. The NPA composite summary has been adversely affected because of the unit indicator(s). Documentation is required that clearly demonstrates that the unit indicator result would have been higher had the event not occurred. If the installation head requires assistance calculating mitigating factor effects then the installation head should contact his or her NPA coordinator and PFP coordinator.

- b. Attach the NPA Report Card Detail from the NPA Website.
 - c. The installation head must recommend an alternate unit indicator(s) result supported by sufficient documentation **NO LATER THAN SIX CALENDAR DAYS AFTER THE SEPTEMBER YTD NPA REPORT CARD DETAIL IS PUBLISHED.** The documentation must include the trends of this indicator before the occurrence, explaining clearly how the mitigating factor caused the unit result to be lower, the actions the unit performed to offset the occurrence and therefore impacting the unit's Overall Performance Rating. ***Failure to submit a new recommended overall performance rating on the request for consideration format will result in no further processing.***
 - d. The unit summary and composite summary must be re-calculated and submitted along with a copy of the NPA Report Card Detail from the NPA Website to the lead PCES district executive. If the installation head requires assistance calculating mitigating factor effects then the installation head should contact his or her NPA coordinator and PFP coordinator.
4. The lead PCES district executive reviews the forms and documentation. If approved, the package is forwarded to the Area Manager, Human Resources **NO LATER THAN FOUR CALENDAR DAYS AFTER RECEIPT OF THE INSTALLATION HEAD'S RECOMMENDATION.** If disapproved, the lead PCES district executive returns the package to the unit's installation head that submitted the request along with a written explanation.
 5. The Area Manager, Human Resources, along with the Area Manager, Operations Support (or designee) must verify that the documentation supports the mitigation and the resulting recommended change to the Overall Performance Rating. If valid, both must sign the request form and scan the form to the Director of Compensation & Benefits at Headquarters via the Perform3 email address to arrive **NO LATER THAN FOUR CALENDAR DAYS AFTER RECEIPT OF THE PCES DISTRICT EXECUTIVE'S RECOMMENDATION.** The Area Manager, Human Resources must only forward request forms to the Director of Compensation & Benefits if verified that the mitigation raises the unit's Overall Performance Rating by at least one whole point. If not valid, the Area Manager, Human Resources returns the package to the lead PCES district executive (who must notify the unit installation head within 30 days of the original submission). All associated paperwork and documentation must be maintained at the district level.
 6. The Director of Compensation & Benefits documents the request and forwards to NPA.
 7. If approved, changes are made and the Director of Compensation & Benefits confirms completion of this action back to the Area Manager, Human Resources by email message from Perform3.

NOTE: At any point during the process if the request is disapproved, the reason for the disapproval must be documented on the form. The unit installation head must be notified that the request has been disapproved and provided a copy of the form.

ALSO NOTE: As long as the unit installation head submits mitigation requests timely and properly to the PCES district executive, such requests will not be rejected based on procedural error from the managers initiating the requests to area or headquarters.

REMINDERS:

- Mitigating Factor Request for Consideration is only available for use by installation heads at a unit level.
- An installation head is defined as the person responsible for the NPA report card of the unit represented.

- Mitigation Factor Request cannot be on an indicator for which a national mitigation has already occurred. The NPA Report Card Detail from NPA must be included with the documentation.
- Mitigating Factor process pertains only to NPA unit indicators.
- The mitigating factor must affect an NPA unit indicator so adversely that the PFP Overall Performance Rating result would have been changed by at least one whole point had it not occurred.
- Any request for mitigation will be treated as an exception and must be fully documented.
- The NPA Report Card Detail from the NPA Website will be most helpful in calculating mitigation.
- Additional documentation related to the specific unit indicator performance must be submitted along with the request for consideration form.
- Area, Manager, Human Resources must submit validated request forms with attachments to the Director of Compensation & Benefits for processing no later than fourteen calendar days after the September YDP NPA Report Card Detail is published.
- The forms and documentation must be kept on file for two years by the approving district level office.
- ***Requests and supporting documentation must be submitted in time to allow for each level's approval prior to final processing by the area and submission to the Director of Compensation & Benefits no later than fourteen calendar days after the September YTD NPA Report Card Detail is published.***

Unit Request for Consideration of Mitigating Factors

Installation Head Name: _____

Title: _____

Unit Name: _____ Fin #: ____ - ____ - ____

*******PLEASE USE ADDITIONAL SHEETS OF PAPER AS NEEDED*******

1. Describe the mitigating factor by addressing each of these criteria:

- a) What was the significant occurrence?
- b) When did it occur (dates)?
- c) What specific NPA unit indicator was impacted by this occurrence?
- d) How was it beyond your control?
- e) What actions did you take to offset the effects of this event?
- f) What was the impact on the unit indicator; unit performance summary; and composite performance summary?

2. Describe the trends of the unit indicator prior to the occurrence and attach documentation.

3. Attach your NPA Report Card Detail with the proposed indicator score annotated on the report card.

4. Please record each impacted employee's full name and employee identification number.

NPA OVERALL PERFORMANCE RATING <i>(Please attached NPA Report Card Detail)</i>			
ACTUAL	_____	RECOMMENDED	_____

Installation Head Signature: _____

Date _____

Checklist for Consideration of Mitigating Factors

Lead PCES

District Executive Name: _____

Title: _____

Unit Name: _____ Fin #: ____ - ____

*******PLEASE ANSWER THE FOLLOWING QUESTIONS*******

- YES NO 1. Was the occurrence or NPA unit indicator one that was already mitigated in NPA?
- YES NO 2. Did the installation head identify the correct NPA unit indicator?
- YES NO 3. Did the occurrence cause a negative result in one or more of the unit indicators?
- YES NO 4. Does documentation support this?
- YES NO 5. Was the occurrence beyond the unit's control?
- YES NO 6. Did the unit make any effort to offset the occurrence?
- YES NO 7. Was the impact of the occurrence enough to cause a downward change in the NPA Composite Summary that may result in a lower PFP overall rating?
- YES NO 8. Have you verified that the score, cell value and end results on the NPA Report Card Detail are accurate?
- YES NO 9. Have you verified that the Overall Performance Rating from PES will be lowered by at least a whole point due to this occurrence (PES calculates to 32 decimal points and displays 5 decimals points? Anything less than .5xxxxx rounds down)

NPA OVERALL PERFORMANCE RATING <i>(Please attached NPA Report Card Detail)</i>			
ACTUAL	_____	RECOMMENDED	_____

Lead PCES

District Executive Signature: _____

Date _____

REVIEW & APPROVAL

Lead PCES District Executive

Name: _____ Title: _____

Phone: _____

Signature: _____ Date: _____

APPROVED _____ **DISAPPROVED** _____ (CHECK ONE)

Reason for disapproval: _____

Area Manager, Human Resources

Name: _____ Title: _____

Phone: _____

Signature: _____ Date: _____

APPROVED _____ **DISAPPROVED** _____ (CHECK ONE)

Reason for disapproval: _____

**Area Manager, Operations Support
(or Designee)**

Name: _____ Title: _____

Phone: _____

Signature: _____ Date: _____

APPROVED _____ **DISAPPROVED** _____ (CHECK ONE)

Reason for disapproval: _____

INTERNAL USE ONLY (HQ BLE)

Received _____ (date) _____ (initials)

INTERNAL USE ONLY (HQ NPA)

Received _____ (date) _____ (initials)

INTERNAL USE ONLY (HQ NPA)

Entered to NPA _____ (date) _____ (initials)