

UNIT MITIGATION 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 cell.

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 (which is determined by occupational code) may request unit mitigation. Individual employees are not authorized to request mitigation.

All mitigation requests must be completed on-line through the Performance Evaluation System (PES)

- Note: If the Unit is not computer based then the Installation Head must complete the required documentation and request the Lead PCES District Executive submit the mitigation on their behalf.

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 and determined the occurrence meets the required criteria for mitigating factors.

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

UNIT INSTALLATION HEAD – COMPLETES ON-LINE REQUEST FOR CONSIDERATION WITHIN SPECIFIED PERIOD OF TIME (SEE ATTACHED UNIT MITIGATION TIMELINE)

Unit Installation Heads are identified in PES as an employee whose End-of-Year (EOY) record is a Postmaster, District Manager, Manager ISC, Manager Network Distribution Center, Manager Remote Encoding Center, Senior Plant Manager, or Plant Manager

The initial request for consideration must describe the situation that caused an adverse impact on the unit indicator(s) and resulted in a lower overall performance rating as well as the efforts made to offset the occurrence.

The installation head must attach 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 cell from # to #
- d. The occurrence was beyond the unit's control

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- 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

After completing the on-line questionnaire **if it is determined that the mitigating factors are met**, the Unit Installation Head will attach required supporting documentation and submit the Unit Request for Consideration of Mitigating Factors to Lead PCES District Executive for review and consideration. The Unit Installation Head will receive email confirmation upon request being submitted.

Required supporting documentation includes:

- a. Documentation must be consolidated into one .pdf that clearly demonstrates how NPA Composite Performance 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.
- b. Attach the corresponding NPA Unit Report Card Detail from the NPA Website.
<https://npa.usps.gov/npahome/main.do>
- c. The installation head must recommend an alternate unit indicator(s) result supported by sufficient documentation. 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 by at least one cell.
- d. The Unit Performance Summary and NPA Composite Performance 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 via the on-line process

If at any time the Unit Installation Head requires assistance calculating mitigating factor impacts, they should contact his/her NPA coordinator.

ALL Supporting documentation must be consolidated into one pdf file and attached prior to submitting to PCES District Executive or next higher level.

LEAD PCES DISTRICT EXECUTIVE LEVEL ON-LINE REVIEW – COMPLETED WITHIN SPECIFIED PERIOD OF TIME (SEE ATTACHED UNIT MITIGATION TIMELINE)

The Lead PCES District Executive reviews the request and supporting documentation, and submits approval recommendation.

- If disapproved, the Unit Installation Head will receive email notification of disapproval and reason for disapproval; Unit will have 3 days from the disapproval notification to submit **directly** to the Area for review and consideration.
- If approved, the Unit Installation Head will receive email notification of approval and request being sent to Area Manager Human Resources and Area MOS for review and recommendation to Area Vice President.
- All recommendations (Approval/Disapproval) require comments at the PCES District Executive Level review (150 Character Minimum / 500 Character Maximum)
- Additional documentation may be attached at this level (**one pdf file only**)
- Decision and status email notifications sent to Unit Installation Head / original submitter

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AREA HR MANAGER / AREA MOS ON-LINE REVIEW – COMPLETED WITHIN SPECIFIED PERIOD OF TIME (SEE ATTACHED UNIT MITIGATION TIMELINE)

The Area Human Resources Manager and Area Manager Operations Support (or their designee) must verify that the documentation supports the mitigation request and the resulting recommended change to the Overall Performance Rating; and submit recommendation to the Area Vice President for approval decision.

- All recommendations require comments at the AHRM / Area MOS review level (150 Character Minimum / 500 Character Maximum)
- Additional documentation may be attached at this level (one pdf file only)
- Decision and status email notifications sent to Unit Installation Head and Lead PCES District Executive

AREA VICE PRESIDENT ON-LINE REVIEW – COMPLETED WITHIN SPECIFIED PERIOD OF TIME (SEE ATTACHED UNIT MITIGATION TIMELINE)

Area Vice President (or Designee) will review and approve/disapprove the mitigation based on recommendations from AHRM and Area MOS.

- **If disapproved by the Area VP, the request for consideration is closed and there is no further appeal**
- If approved, the request will be sent to Headquarter Indicator Owner/Sponsor and NPA Reporting Team for verification and validation
- All Approval/Disapproval recommendations require comments at the AVP level (150 Character Minimum / 500 Character Maximum)
- Additional documentation may be attached at this level (one pdf file only)
- Decision and status email notifications sent to Unit Installation Head, Lead PCES District Executive, AHRM and Area MOS

HQ INDICATOR OWNER/SPONSOR ON-LINE VALIDATION - COMPLETED WITHIN SPECIFIED PERIOD OF TIME (SEE ATTACHED UNIT MITIGATION TIMELINE)

Upon receipt of AVP submission, HQ Indicator Owner/Sponsor will review and validate impacts to their respective NPA Unit Indicator

Upon completion of the review the request will be sent to NPA Reporting Team for FINAL verification and Mitigated NPA Report Card publication.

- Comments are required at the HQ Indicator Owner/Sponsor level (150 Character Minimum / 500 Character Maximum)
- Additional documentation may be attached at this level (one pdf file only)
- Decision and status email notifications sent to Unit Installation Head, Lead PCES District Executive, AHRM, Area MOS, and Area VP

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NPA REPORTING TEAM ON-LINE VERIFICATION – COMPLETED WITHIN SPECIFIED PERIOD OF TIME (SEE ATTACHED UNIT MITIGATION TIMELINE)

NPA Reporting Team is required to review and verify for Final Unit Mitigated NPA Report Card publication.

- Comments are required at the NPA Reporting Team level (150 Character Minimum / 500 Character Maximum)
- Additional documentation may be attached at this level (**one pdf file only**)
- Decision and status email notifications sent to requester and all other process owners

FY2019 MITIGATION TIMELINE			
EVENT	START DATE	END DATE	# DAYS
September YTD NPA Scorecard Published	Thursday, October 24, 2019		
Unit Installation Head - Submissions in PES	Monday, November 4, 2019	Sunday, November 17, 2019	14
Lead PCES District Executive - Review, approve / disapprove	Monday, November 18, 2019	Saturday, November 23, 2019	6
Unit Installation Head - If disapproved opportunity to resubmit	Sunday, November 24, 2019	Thursday, November 28, 2019	5
Area HR Manager & Area MOS - Review, make recommendation	Friday, November 29, 2019	Wednesday, December 4, 2019	6
Area VP - Approve / Disapprove	Thursday, December 5, 2019	Sunday, December 8, 2019	4
26 Days			
HQ Stakeholder / NPA Team Validation & Response	Monday, December 9, 2019	Wednesday, December 11, 2019	3
Mitigation NPA Posting Date	Friday, December 13, 2019		

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Unit Request for Consideration of Mitigating Factors

Installation Head Name: _____

Title: _____

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

******* THERE ARE NO CHANGES TO THE QUESTIONNAIRE*******

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
(Please attach NPA Report Card Detail)

ACTUAL _____ RECOMMENDED _____

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Checklist for Consideration of Mitigating Factors

Lead PCES District Executive Name: _____

Title: _____

Unit Name: _____ Fin#: ____ - ____

******* THERE ARE NO CHANGES TO THE QUESTIONNAIRE *******

- 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 one cell 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
(Please attach NPA Report Card Detail)

ACTUAL _____ RECOMMENDED _____