



UNITED STATES MARINE CORPS  
MARINE CORPS INSTALLATIONS PACIFIC-MCB CAMP BUTLER  
UNIT 35001  
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COS  
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MARINE CORPS INSTALLATIONS PACIFIC-MCB CAMP BUTLER LETTER OF INSTRUCTION  
12450

From: Chief of Staff, Marine Corps Installations Pacific-MCB Camp Butler  
To: Distribution List

Subj: LETTER OF INSTRUCTION REGARDING THE 2021 DEFENSE PERFORMANCE  
MANAGEMENT AND APPRAISAL PROGRAM PERFORMANCE AWARDS REVIEW  
BOARD

Ref: (a) DoDI 1400.25, Vol 431, 4 February 2016, Change 1, 11 July 2019  
(b) DoDI 1400.25, Vol 451, 4 November 2013  
(c) DON Civilian Human Resources Manual Subchapter 451.1  
(d) DON Human Resources Implementation Guidance 451-02 of September 2005  
(e) DON Guidance on Awards for Non-Senior Executive Service/Senior-Level/Scientific  
or Professional Employee for Fiscal Year 2021, signed 11 January 2021  
(f) Deputy Commandant Letter of Instruction for Awards Under the Defense  
Performance Management and Appraisal Program – FY 2021, 22 February 2021  
(g) MCICOM Fiscal Year 2021 Manage to Payroll Execution Guidance, 3 February  
2021

Encl: (1) Award Recommendation Spreadsheet  
(2) DPMAP and Award Business Rules  
(3) Non-Disclosure Agreement  
(4) G-8 Instructions for Paying Civilian Awards to Employees Who have Transferred  
(5) DPMAP Timeline

1. Situation. Per references, Marine Corps Installations Pacific-MCB Butler (MCIPAC-MCBB) Letter of Instruction (LOI) provides the procedural guidance for the 2021 Defense Performance Management and Appraisal Program (DPMAP) annual performance appraisal, performance award, Quality Step Increase (QSI) selection.

2. Mission. Provide guidance for performance appraisals and performance awards for MCIPAC-MCBB Appropriated Fund (APF) civilian employees at Marine Corps Base (MCB) Camp Butler, Marine Corps Air Station Iwakuni (MCASI), Marine Corps Base Hawaii (MCBH), Marine Corps Air Station Futenma (MCASF), Camp Fuji, Camp Mujuk, and Camp Blaz.

3. Execution

a. Concept of Operations

(1) Performance appraisals are completed for each APF civilian employee with an approved performance plan for at least 90 days.

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(2) Performance awards are not automatic. Employees must receive an overall rating of fully successful or higher and be recommended for a performance award by their rating official (RO). Employees may be eligible for a monetary award, a time-off award, a combination of monetary and time-off award, a QSI, or a combination of a time-off award and QSI.

(3) The Performance Award Review Board (PARB) reviews QSI award nominations based on the written justification contained in the annual appraisal, and awards QSIs based on board voting.

b. Tasks

(1) Commanding Officers, Assistant Chiefs of Staff and Special Staff

(a) Submit Award and QSI Recommendation Spreadsheet, enclosure (1), to the servicing Civilian Human Resources Office (CHRO) with the summary rating and award recommendation for each employee.

(b) The Chief of Staff (CoS) will chair the QSI PARB for MCIPAC-MCBB. Commanding Officers at, MCBH, MCASF, MCASI, Camp Fuji, Camp Mujuk and Camp Blaz will conduct their own QSI PARB. The Commanding Officer or their designee will chair the PARB at these respective commands. The limit for QSI awards is no more than two percent of the APF workforce. Each respective command will be judicious in awarding QSIs as they represent a continuing labor obligation. Those command with 50 or fewer APF employees may award one QSI.

(2) PARB Members. Members will be determined by the respective PARB Chair for the QSI PARB. At a minimum, the board must be comprised of at least five voting members from senior military and civilian pay grades. Refer to enclosure (2) for amplifying guidelines. Exceptions will require approval from CoS or Commanding Officers as applicable.

(a) Provide a copy of the finalized annual appraisal for their respective employee who is being considered for a QSI.

(b) Sign the Non-Disclosure Agreement, enclosure (2).

(3) Servicing CHRO

(a) Disseminate the award recommendation template to each division/organization and coordinate completion of all annual appraisals in DPMAP and document all performance awards in the Performance Award Review Tool (PART) for their respective installations.

(b) Populate the PART with required data elements for award recommendations and provide additional material necessary for the PARB's review process.

(c) Provide the PARB the list of employees recommended for QSI, as well as validate the employee's QSI eligibility. Managers may contact CHRO for any guidance on an employee's eligibility for a QSI.

(d) Use the PART to provide all necessary reports and track decisions.

- (e) Use “wildcard” columns on the PART to document the PARB’s decision.
- (f) Provide CHRO advisors at the PARB
- (g) Retain the final PART results for two years.

(4) Rating Officials. Complete annual appraisals of each employee. The Rating Official (RO) will provide a written assessment of each critical element that coincides with the overall performance rating given to the employee.

(a) The following guidance is provided:

1. If issuing a rating of 1- Unacceptable, ensure that this is not the first time an employee is being notified that they are not performing at the fully successful level. Please contact CHRO Labor and Employee Relations before assigning a rating of 1 for any critical element.

2. If issuing a rating of 3 – Met Expectations: Employee achieved each critical element on time, requiring little supervision or rework. Achieved requirements and ensured the continuation of the goals and mission of the commands/unit/office. Justification provided should address how the employee met the established performance standards.

3. If issuing a rating of 5 – Greatly exceeded expectations: Accomplished more than required to a superior level without supervision. Recognized by senior and peers for outstanding performance. Contributed to the efficiency of the agency. Contributions had great impact on the success of the goals and mission of the command/unit/office. Justification provided should address how the employee exceeded the established performance standards. The RO will write more than “concur” with employee’s self-assessment.

(b) ROs will complete an annual appraisal with ratings of record for employees when one of the following events occur:

1. The employee has completed 90 days or more in the current performance cycle on an approved performance plan; or

2. When the employee is transferring out between 1 January 2021 and 31 March 2021, resigning, or retiring from the Federal service, and the employee was on an approved performance plan for at least 90 days.

(c) When a summary rating of “5” is given to an employee, the RO must identify whether or not the employee is nominated for a QSI. The appraisal for these employees must articulate this outstanding rating and identify qualitative and quantitative performance in the RO comments. Per reference (a), these are examples of the comments and justification to illustrate the performance rating at level 5:

1. Produces exceptional results or exceeds expectations well beyond specified outcomes.

2. Sets targeted metrics high and far exceeds them. (e.g. quality, budget, quantity).

3. Handles roadblocks or issues exceptionally well and makes a long-term difference in doing so.

4. Widely seen as an expert, valued role model, or mentor for this work.

5. Exhibits the highest standards of professionalism.

(5) Higher Level Reviewer (HLR). Review RO's rating and assessment. If in agreement with the justification supports the rating, concur/approve and then return the DPMAP appraisal to the RO. If the HLR does not agree with the justification supporting the rating, the HLR will provide input to the RO and return the appraisal to the RO for corrective action.

4. Coordination Instructions.

a. The DPMAP and award business rules are provided in enclosure (2).

b. This LOI and other information to assist employees, ROs, HLRs, Assistant Chief of Staff, and Special staff will be available on the MCIPAC-MCBB CHRO Labor and Employee Relations website at:

<https://www.mcipac.marines.mil/Staff-and-Sections/Principal-Staff/G-1/Civilian-Human-Resources-Office/US/US-Employee-Labor-Relations-and-Benefits/>

c. Instructions for paying monetary award to employees who have transferred during the reporting period are given at enclosure (4).

d. The timeline for completion of performance appraisals and award recommendations is given at enclosure (5).

5. Administration and Logistics. The point of contact is the servicing CHRO Director.

6. Command and Signal

a. Command. This LOI is applicable to all installations of MCIPAC.

b. Signal. This LOI is effective the date signed.



P.M. DAWSON

DISTRIBUTION: List A

## Award Recommendation Spreadsheet

									AWARD RECOMMENDATIONS - PICK ONLY ONE BLOCK				
Installation	UIC/ PAS	Org Struct ID	Division	Employee Name	Employee Number	Rating Official	Higher Level Reviewer	SUMMARY RATING FROMDPMAP	MONETARY	TIME OFF	MONETARY & TIME OFF	QSI (Summary Rating of 5.0 only)	No Award
MARINE CORPS BASE CAMP BUTLER	67400	SC3	CHRO	Employee 1	123456	Rating Official 1	HLR 1	3.5	X				
MARINE CORPS BASE CAMP BUTLER	67400	SC3	CHRO	Employee 2	123457	Rating Official 2	HLR 2	4		X			
MARINE CORPS BASE CAMP BUTLER	67400	SC3	CHRO	Employee 3	123458	Rating Official 3	HLR 3	5				X	
MARINE CORPS BASE CAMP BUTLER	67400	SC3	CHRO	Employee 4	123459	Rating Official 4	HLR 4	4.4			X		
MARINE CORPS BASE CAMP BUTLER	67400	SC3	CHRO	Employee 5	123460	Rating Official 5	HLR 5						
MARINE CORPS BASE CAMP BUTLER	67400	SC3	CHRO	Employee 6	123461	Rating Official 6	HLR 6						
MARINE CORPS BASE CAMP BUTLER	67400	SC3	CHRO	Employee 7	123462	Rating Official 7	HLR 7						

## **DPMAP and Awards Business Rules**

1. Where practical, Assistant Chiefs of Staff (AC/S), Section Directors and Deputies should be participants of the Quality Step Increase (QSI) Performance Award Review Board (PARB). If a PARB member is recommended for a QSI, they may not participate in making decisions about their own awards and must exit the board meeting when their award is being considered.
2. Employees who transferred to another Federal agency and received a rating of record could be eligible for an award. Divisions have the discretion to award an employee who received a rating of record prior to their departure. It is the Division's responsibility to coordinate the award with the CHRO, the gaining command, and the G-8. Time-Off award is not transferrable once an employee leaves the Department of the Navy. Employees are only eligible for one performance ratings based award per fiscal year.
3. An employee is not entitled to an award, regardless of the rating level.
4. Employees who have been on an approved performance plan for less than 90 days will not be eligible for a rating of record and will not participate in the awards process.
5. The element ratings and rating of record are determined by Rating Official and the Higher Level Reviewer and shall not be changed by the PARB.
6. All aspects of an individual's compensation profile should be considered when making award recommendations, to include recent promotions, within-grade increases, and any time off awards received during the performance cycle.
7. Anyone with access to award recommendations, as well as the PARB participants, will be informed in writing as to the non-disclosure policy and will be required to sign a Non-Disclosure Agreement prior to accessing award recommendations and/or PARB deliberations. See Enclosure (3).
8. PARB members and the PARB administrative support will utilize appropriate safeguards to protect employee information.
9. Disclosure of any employee's award prior to the award finalization is prohibited.
10. Monetary and time off award distributions will be determined by the Performance Award Review Tool (PART); which factors the summary rating for that determination.
  - A summary rating of 3.0 – 3.6 may receive up to a 3 day (24 hours) time off award; 3.7 – 4.2 may receive up to a 4 day (32 hours) time off award; and 4.3 – 5 may receive up to a 5 day (40 hours) time off award.
  - To be eligible for a QSI, the employee must have a summary rating of 5. The employee must be below step 10 of the grade and not have received a QSI in the prior 52 weeks. Additionally, the high level of performance must be expected to continue.
  - In the event that a QSI eligible employee is not awarded a QSI, he/she would receive a monetary award, time off award, or a combination of monetary and time off in lieu of a QSI.

- Consideration should be given for getting a good distribution across all grades for the QSIs. The funding for QSI is separate from cash awards.
- Commands must exercise care in recommending QSIs as they represent a continuing labor obligation for the Command.
- An employee may not receive both a monetary award and a QSI in the same rating period.
- When a QSI will put an employee into Step 4 or 7, care will be taken to ensure the QSI is in the best interest of the employee due to the placement in a longer waiting period for within-grade increases (WGI). Employees in Step 4 have to wait 2 years between steps up to Step 7 for the next step increase. Employees in Step 7 have to wait 3 years between steps up to Step 10 for the next step increase.
- If an employee is due for a step increase (WGI) at the time that the QSI is to be awarded, recommend that the WGI be executed prior to the QSI in order for the employee to maximize the benefit of the QSI.

11. There may be reasonable situations where an employee may need to be on an extended cycle. This would be applicable for an employee checking onboard with less than 90 days remaining in the performance cycle. Typically, employees have 30 days to create their Performance Plan upon checking onboard but must be on an approved performance Plan for 90 days or more to receive a rating of record. If an employee reports with less than 90 days left in the cycle, management could extend the performance plan beyond 31 March to afford the employee an opportunity to be on a performance plan for 90 days and receive a rating of record. Keep in mind that extensions should not interfere with the PARB process. An extension may not be more than 30 days; nor go past 30 April. This strategy would allow the employee to: (1) Be on an approved Plan for 90 days; (2) Receive a rating of record; and (3) Be eligible for processing of an award if recommended by management. If an employee reports too late into the performance cycle for the above scenario to apply, the following options are available: (1) If the employee transfers within 90 days of the end of the rating cycle, and has performed at least 90 calendar days under an approved plan, the losing Agency is required to do an Annual Appraisal before the effective date of the employee's transfer. This appraisal then serves as the employee's annual appraisal for the appraisal year, and is electronically transferred to the gaining Agency within the Department of Defense. If the appraisal does not get completed prior to the employee's transfer, it cannot be completed in the MyPerformance Tool and must be done in hard copy and e-mailed to the gaining Agency; or (2) The employee's (new to the Federal service) will be on the performance plan for longer than 12 months. In such instance, the start date of the performance plan will be the date he/she checked onboard with an end date of 31 March the following year.

12. Failure to receive an award, the amount of an award, and the type of award is not grievable through the administrative grievance procedure or the negotiated grievance procedure.

### **Non-Disclosure Agreement**

As a PARB CHAIRPERSON, MEMBER, AC/S, Special Staff, Commander or ADMINISTRATIVE SUPPORT to the above, I participate in, or am privy to, decisions related to DPMAP awards. I understand that award recommendations and PARB deliberations (whether written or oral) are confidential, are for official use only (FOUO), and may include personally identifiable information protected by the Privacy Act.

The award process will include information and discussions relating to DPMAP ratings of record and employee performance; funding determinations; and recommended and final awards.

I agree not to disclose award information to persons other than the AC/S, Special Staff, or Commander of the respective section, on an as needed basis, to the CHRO point of contact. I agree to coordinate any other disclosure of the awards process with the servicing legal office prior to releasing any information, including disclosures for official inquiries and investigations

I understand that violation of this Non-Disclosure Agreement may subject me to disciplinary action, discharge and/or to the civil and criminal penalties of the Privacy Act.

<b>TYPED NAME</b>	
<b>SIGNATURE</b>	
<b>DATE</b>	



## **G-8 Instructions for Paying Civilian Awards to Employees Who Have Transferred**

**DOD FMR Vol 8: Chap 3.** The procedure to process award payments to separated employees is as follows:

### "D. Payment to Separated Employees

4. When possible, the employee can be reestablished on the payroll using the last known information on the employee's master account record for applicable deductions and mailing address.

5. If the employee cannot be reestablished, payment can be made using an SF 1034 (Public Voucher for Purchases and Services Other Than Personal)."

CHRO & Prior Supervisor must coordinate with Payroll to try to reestablish the employee that is due a cash award. Individual RPA/SF-50 would then process as normal once they are reestablished. If the employee cannot be reestablished by payroll, then the prior supervisor must coordinate with their BEA technician to process a SF1034 to pay the employee directly.

If for some reason the above financial regulations cannot be followed, the only other options are outlined below. Regardless of the method of funds transfer the employee's prior supervisor at MCIPAC is the responsible party for coordinating/tracking the progress of each step from start to finish. Contact with all involved parties must be established by **31 July 2021**. The following must be completed:

- 1) Establish contact with new supervisor at gaining command
- 2) Establish that the new supervisor/command are willing to accept and process the award via the method below
- 3) Provide the new supervisor/command a copy of the award documentation
- 4) Establish financial technician POC at gaining command that will be coordinating the acceptance of the funds
- 5) Establish gaining Human Resource office POC
- 6) Follow the details below specific to the type of transfer:

### MCIPAC → Different Marine Corps Organization

**OPBUD transfer** (transfer of funds between Marine Corps budget offices)

May require 4-6 weeks just to process the funds transfer between organizations

*\*\*\*Gaining command must be able to utilize fund type BSS1-1106\*\*\**

**Identify and contact the following:** G-8 Budget Labor Analyst, your MCIPAC BEA Technician, Gaining Supervisor, Gaining Budget Tech, and a representative from gaining Human Resource Office to process the award.

### MCIPAC → US Navy

**NAVCOMP Form 2275** "Order for Work and Services"

May take several weeks for BEA Techs from both organizations to coordinate accounting data and complete transfer **Identify and contact the following:** your MCIPAC BEA Technician,

Gaining Supervisor, Gaining Budget Tech, and a representative from gaining Human Resource Office to process the award.

MCIPAC → Army/Air Force/Other DoD Agency

**MIPR** “Military Interdepartmental Purchase Request”

**Identify and contact the following:** your MCIPAC BEA Technician, Gaining Supervisor, Gaining Budget Tech, and a representative from gaining Human Resource Office to process the award.

MCIPAC → Non-DoD Agency

**Award cannot be processed**

Payroll information must be reestablished or direct payment made via SF1034

Make sure your BEA Tech uses OCSOC **11YW** for all funds transfers so they can be tracked as “Performance Awards”

## **Timeline**

31 March 2021:	End of FY 21 Appraisal Period
No later than 23 April 2021:	Performance appraisals reviewed, approved, and acknowledged by employee
No later than 7 May 2021:	Assistant Chiefs of Staffs and Special Staff will submit ratings and award recommendations to Servicing CHRO using enclosure (1)
No later than 4 June 2021:	QSI PARB convenes/completes deliberations
No later than 18 June 2021:	Servicing CHRO will submit awards to the Office of Civilian Human Resource – San Diego