



UNITED STATES MARINE CORPS
MARINE CORPS INSTALLATIONS PACIFIC-MCB CAMP BUTLER
UNIT 35001
FPO AP 96373-5001

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COS/US

MAR 31 2020

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

Subj: LETTER OF INSTRUCTION REGARDING 2020 DEFENSE PERFORMANCE
MANAGEMENT AND APPRAISAL PROGRAM (DPMAP) PERFORMANCE
AWARDS REVIEW BOARD

Ref: (a) CMC Letter of Instruction for Awards Under the Defense Performance Management
and Appraisal Program, 12 February 2020
(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-SES/Senior-Level/Scientific or Professional
Employees for Fiscal Year 2020, 17 December 2019
(f) Under SECDEF Memorandum for Chief Management Office of the Department of
Defense Secretaries of the Military Departments, 12 November 2019
(g) OPM Memorandum for Heads of Executive Departments and Agencies, 12 July 2019
(h) DoDI 1400.25, Vol 431, 4 February 2016, Change 1, 18 June 2019

Encl: (1) Award Recommendation Spreadsheet – (to be e-mailed out to each division)
(2) Non-Disclosure Agreement
(3) DPMAP and Award Business Rules
(4) G-8 Instructions for Paying Civilian Awards to Employees Who Have Transferred
(5) Timeline

1. Situation. The Marine Corps Installations Pacific-MCB Camp Butler (MCIPAC-MCBB) Letter of Instruction (LOI) provides the procedural guidance for the 2020 DPMAP annual performance appraisal, performance award, and Quality Step Increase (QSI) selection.

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

3. Execution

a. Concept of Operations

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

(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 Quality Step Increase (QSI), or a combination of time off award and QSI.

(3) The Performance Award Review Board (PARB) reviews QSI awards 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 Staffs and Special Staff

a. Submit Award and QSI Recommendation Spreadsheet enclosure (1), to the servicing Civilian Human Resource 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 HQ and MCBB. The limit for QSI awards is no more than two percent of the appropriated fund (APF) workforce. MCIPAC-MCBB will be judicious in awarding QSIs as they represent a continuing labor obligation for the command.

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

d. PARB Board Members. Board 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 (3) for amplifying guidelines. Representatives will provide a copy of the finalized annual appraisal for their respective employee who is being considered for a QSI. All board members will sign the Non-Disclosure Agreement, enclosure (2). Exceptions to the above will require approval from the COS or CO as applicable.

e. Servicing CHRO. Will disseminate the award recommendation template to each work center 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.

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

2. Provide the PARB the list of employees recommended for QSI, as well as, validate the employee's QSI eligibility. Managers can contact CHRO for any guidance on an employee's eligibility for QSI.

3. Use the PART tool to provide all necessary reports and track decisions.

4. Use the PART's "wildcard" columns on the PART to document the PARB's decisions.

5. Provide an HR advisor at the PARB.
6. Provide guidance to management on employee eligibility for QSI.
7. Retain the final PART for two years.

(2) Rating Official. Complete annual appraisals of each appropriated fund civilian employee. Provide a written assessment for each critical element that coincides with the overall performance rating given to the employee. The following guidance is provided:

a. 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 team before assigning a rating of 1 for any critical element.

b. 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.

c. 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 Rating Official (RO) will write more than "concur" with employee's self-assessment.

d. The ROs will complete an annual appraisal with rating of records 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 has less than 90 days left in the current performance cycle and is executing Permanent Change of Station (PCS) orders, resigning, or retiring from the Federal service. All employees must meet the requirement to be on an approved performance plan for at least 90 days in order to be eligible to receive a performance rating.

e. When the RO gives an employee a summary rating of "5", he/she must identify if the employee is nominated for a QSI or not. The appraisal for these employees must articulate this outstanding rating and identify qualitative and quantitative performance in the RO comments. Per reference (h), 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. Is widely seen as an expert, valued role model, or mentor for this work.

5. Exhibits the highest standards of professionalism.

f. Active Duty ROs must log into DCPDS/MyBiz/DPMAP accounts once every 30 days to prevent their system access from being revoked.

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

4. Coordinating Instructions

a. The DPMAP and award business rules are provided in enclosure (3).

b. The DPMAP, PART and PARB Briefing slides and this LOI will be available on the CHRO website at:
<https://www.mcipac.marines.mil/Staff-and-Sections/Principal-Staff/Civilian-Human-Resources-Office/>

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

d. Timeline for completion of performance appraisals and award recommendations is given in enclosure (5). Completed rating and award recommendation spreadsheets will be sent to the servicing CHRO no later than 15 May 2020.

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

6. Command and Signal. This LOI is effective the date signed.



P. M. DAWSON

Distribution: MCIPAC List

Award Recommendation Spreadsheet

| | | | | | | | AWARD RECOMMENDATIONS - PICK ONLY ONE BLOCK | | | | | |
|-------------------------------|----------|---------------|--------------|---------------|---------------------------|------------------------|---|----------|----------|---------------------|-----------------------------|----------|
| Installation Name | UIC/ PAS | Org Structure | Organization | Employee Name | Rating Official | Higher Level Reviewer | SUMMARY RATING FROM DPMAP | MONETARY | TIME OFF | MONETARY & TIME OFF | QSI (Summary Rating of 5.0) | No Award |
| MARINE CORPS BASE CAMP BUTLER | 67400 | SC3 | G-1 | Employee 1 | Rottinger, Jennifer L. | Barten, Diane P | 4 | | | X | | |
| MARINE CORPS BASE CAMP BUTLER | 67400 | SC3 | G-1 | Employee 2 | Rottinger, Jennifer L. | Barten, Diane P | 3.5 | | | X | | |
| MARINE CORPS BASE CAMP BUTLER | 67400 | SC6A | G-1 | Employee 3 | Salvadorramos, Daniel CWO | FRANKS, MICHAEL H CWO5 | 5 | | | | X | |
| MARINE CORPS BASE CAMP BUTLER | 67400 | SC7 | G-1 | Employee 4 | Sukalski, Thomas J | Fuentes, Rebby D | 3.5 | | X | | | |
| MARINE CORPS BASE CAMP BUTLER | 67400 | SC3 | G-1 | Employee 5 | Rottinger, Jennifer L. | Barten, Diane P | | | | | | |
| MARINE CORPS BASE CAMP BUTLER | 67400 | SC1 | G-1 | Employee 6 | Sutton, Anthony K | Sukalski, Thomas J | | | | | | |
| MARINE CORPS BASE CAMP BUTLER | 67400 | SC3 | G-1 | Employee 7 | Rottinger, Jennifer L. | Barten, Diane P | | | | | | |
| MARINE CORPS BASE CAMP BUTLER | 67400 | SC | G-1 | Employee 8 | Nguyen, Van Q | Dawson, Peter M | | | | | | |
| MARINE CORPS BASE CAMP BUTLER | 67400 | SC | G-1 | Employee 9 | Dawson, Peter M | Jones, David E Col | | | | | | |
| MARINE CORPS BASE CAMP BUTLER | 67400 | SC3 | G-1 | Employee 10 | Sykes, Jasmine A | Rottinger, Jennifer L. | | | | | | |
| MARINE CORPS BASE CAMP BUTLER | 67400 | SC3 | G-1 | Employee 11 | Rottinger, Jennifer L. | Barten, Diane P | | | | | | |

Submitting Official QSI Statement:

If employees are recommended for a Quality Step Increase, by signing this form you are certifying that the employee's RO has confirmed that the nominated employee has demonstrated sustained performance of a high quality for a significant period of time and that the high quality of performance is expected to continue. You are certifying that the employee is below step 10 of his/her grade and has not received a QSI in the preceding 52 consecutive calendar weeks.

Submitting Official signature: _____ Date: _____

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.

| | |
|------------|--|
| TYPED NAME | |
| SIGNATURE | |
| DATE | |

DPMAP and Awards Business Rules

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 award.

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.

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.

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 paid out during the performance cycle.

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 (2).

PARB members and the PARB administrative support will utilize appropriate safeguards to protect employee information.

Disclosure of any employee's award prior to the award finalization is prohibited.

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.
- Employees with an overall performance rating of 5.0 are eligible to be considered for QSI, but the PARB will make the final award decision.
- 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.
- 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. 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.

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 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 employee should: (1) If the employee is 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,

Enclosure (3)

and is electronically transferred to the other Agency within DoD. 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 Federal service) Plan start date will be the date he/she checked onboard with a Plan end date of 31 March the following year.

Enclosure (3)

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 2020. 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"

Enclosure (4)

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 Mar: End of FY20 Appraisal Period
- NLT 13 Apr: Employees complete self-assessments
- NLT 22 Apr: ROs complete their assessments
- NLT 30 Apr: HLRs complete their review/concurrence and finalize appraisals
- NLT 15 May: ROs/HLRs/Commanders submit ratings and award recommendations to Servicing CHRO using enclosure (1)
- NLT 1 Jun: QSI PARB convenes/completes deliberations
- Week of 8 Jun: Servicing CHRO finalizes PART, QSI awards, and completes and QC's all mass upload spreadsheets for submission to OCHR
- 15 Jun: Employees may be notified of award decisions

Grievance. 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.