



**DEPARTMENT OF THE NAVY**  
NAVAL SERVICE TRAINING COMMAND  
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NSTCNOTE 12000  
N1  
27 Mar 12

NSTC NOTICE 12000

From: Commander, Naval Service Training Command

Subj: NAVAL SERVICE TRAINING COMMAND (NSTC) FY12 PERFORMANCE  
MANAGEMENT SYSTEM BUSINESS RULES

- Ref:
- (a) DON Memo, Interim Performance Management System for Non-Bargaining Unit Positions from the NSPS to GS, of 10 Sep 10
  - (b) NETC Headquarters FY12 Performance Management System Business Rules
  - (c) OCHR Fact Sheet, Appraisal Period End of Year Process Interim Performance Management System, of Sep 11
  - (d) DON Handbook Version 2.0, DON Interim Performance Management System Covering Positions Transitioning to GS from NSPS, of Sep 10
  - (e) DON Memo, addressing the Supervisory Performance Management Critical Element, of 3 Dec 10
- Encl:
- (1) Interim Performance Management System (IPMS) Annual Appraisal Guidelines
  - (2) Interim Performance Management System (IPMS) Performance Awards Review Board (PARB) Guidelines

1. Purpose. To provide specific performance management guidance in conjunction with references (a) through (e), utilizing enclosures (1) and (2).

2. Background. For the FY11 performance cycle, the Department of the Navy (DON) granted Echelon I and II commands the flexibility to delink from the prescribed framework of the Interim Performance Management guidance. Reference (a) allowed modifications to the recognition and reward process. Naval Education and Training Command (NETC) granted Echelon III commands the ability to develop a process for their activities that adheres to the requirements in references (a) through (e). This process meets both NETC and DON requirements under the Interim Performance Management System (IPMS).

3. Policy and Objectives. The goal of the DON interim

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performance management system is to involve employees in improving organizational effectiveness by integrating processes that:

a. Communicate and clarify mission and organizational goals and objectives;

b. Identify employee, team and supervisory accountability for the accomplishment of goals and objectives, as identified in critical elements on performance plans;

c. Involve employees in improving organizational effectiveness and in assessing employee, team and organizational effectiveness and performance;

d. Use appropriate measures of performance to recognize and reward employees and use the results of a performance appraisal as a basis for appropriate personnel actions;

e. Involve employees and their representatives, if appropriate, in program development and implementation; and

f. Encourage employees to take responsibility to continuously improve, support team endeavors, develop professionally and perform at their full potential.

4. Performance Appraisals. Annual performance appraisals will be conducted in accordance with enclosure (1).

5. Performance Awards Review Board (PARB). PARBs will be conducted to review performance-based award recommendations for employees under the IPMS in accordance with enclosure (2).

6. Awards Funding.

a. Sound business practices will be used in recommending and making final decisions on awards, such as:

(1) Availability of funds/fiscal soundness; and,

(2) Overall contribution to the mission of the organization.

b. In accordance with reference (b), the awards budget will be funded at the aggregate level of 1.00 percent of total adjusted salaries (base salary and any applicable locality pay) for each individual PARB. Each PARB will be assigned funding

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dependent on the number of employees reviewed and who are on board on the last day of the previous fiscal year (30 September 2011).

c. The 1.00 percent cap includes funding for both performance awards (i.e., those tied to a rating) given at the end of the cycle and contribution awards (e.g., "on-the-spot" and special act awards) given throughout the year.

d. NSTC PARBs shall distribute the 1% award cap using 0.5% for contribution awards and 0.5% for PARB approved performance awards. FY12 contribution awards should be submitted to NSTC N1 no later than 15 August 2012. Any unused contribution award funds will be added to the PARB award cap.

e. Due to funding concerns, NETC has directed its subordinate commands to reduce performance award bonus amounts to reflect the amount of compensation received during the appraisal period for job related awards, time-off job related awards and QSIs received in accordance with reference (b).

f. Per reference (c), Quality Step Increases (QSIs) are restricted to FY10 spending levels. Because QSIs were not awarded during FY10 while under National Security Personnel System (NSPS), the amount of funding available for QSIs for FY12 is determined based on the average value of QSIs awarded in 2005 and 2006, expressed as a percentage of aggregate salaries (base + locality) and shall not exceed 0.17%. No QSIs were given for NSTC employees in 2005 or 2006. QSIs will therefore not be available for rewarding employee performance in the FY12 rating cycle.

g. Award recommendation levels for the PARB will be in accordance with enclosure (2).

## 7. Responsibilities.

### a. Commanding Officer/Activity Director.

(1) Adhere to the requirements in references (a) and (b) and implement this instruction.

(2) Ensure performance standards are set and performance appraisals are completed on time and in accordance with references (a) through (e) for employees whose award recommendations are reviewed by the PARB.

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(3) Ensure signed copies of employees' annual performance appraisals are maintained by the activity's Performance Management Coordinator for four years after the date of the appraisal, per the General Records Retention Schedule.

b. Senior Rating Official (SRO).

(1) The SRO approves employee performance plans, determines concurrence/non-concurrence with the Rating Official's (RO) recommended ratings and, if recommended for an award, submits the Department of Navy (DON) Interim Performance Management System Recognition and Rewards Notification Form found in enclosure (2) to the respective PARB.

(2) Reviews established performance plans from ROs and ensures there are no more than three critical elements and that the critical elements have only one performance standard. For supervisors, ensure one critical element is Supervisory and is assigned a supervisory performance standard, in accordance with the guidance in enclosure (1). Ensure one non-supervisory performance standard is assigned for the remaining two critical elements for supervisors. Return critical elements to ROs for correction if requirements are not met in accordance with references (a) and (b).

(3) The SRO will attempt to resolve any disagreements with the RO's rating and reward recommendations. If agreement cannot be reached, the SRO has the final decision on the performance rating and the reward recommendation, and the SRO will justify reasons for non-concurrence in the "Command Use Block" located below the Rating of Record section or on the Annual Performance Rating section as applicable.

(4) If RO gives a rating of "unacceptable," ensure the unacceptable performance has been properly documented and corrective actions have been considered in accordance with reference (d) and enclosure (1). If documentation of unacceptable performance is not provided, the SRO must not approve the unacceptable rating.

c. Rating Official (RO).

(1) ROs will normally be the employees' first level supervisor. In accordance with enclosure (1), ROs will develop each employee's performance plan, with employee input to the extent possible, forward employee performance plans to the SRO

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for approval, and conduct required progress reviews and assessments.

(2) For annual assessments, the RO will recommend a rating of acceptable or unacceptable and utilize enclosure (1) to determine the employee's Career Stage Performance Awards Standard.

(3) ROs will notify employees of their approved rating of record and of any approved award amount within 75 days of the end of the appraisal period (14 December). The RO will be notified of the approved award amount no later than 3 December and should not brief employees on the award amount prior to receiving the notification.

(4) The RO will utilize references (a) through (e) and enclosures (1) to conduct annual appraisals for the PARB. Specific responsibilities of the RO can be found in enclosure (1).

(5) The RO is required to notify the employee at any time throughout the performance period if his/her performance is unacceptable. Proper documentation must be provided if an RO gives an employee a rating of unacceptable, and if the unacceptable performance persists, corrective action should be taken in accordance with reference (d) and enclosure (1).

(6) Contact HRO for assistance if at any time during the appraisal period an employee's performance is determined to be unacceptable and follow all guidelines and requirements set forth by HRO. A rating of record of "Unacceptable" may not be assigned unless all HRO provided requirements have been met.

d. Employees.

(1) Employees are required to provide narrative self-assessments of their accomplishments for each of their critical elements on the performance plan form no later than 15 days after the end of the appraisal period, in accordance with reference (a) and (b).

(2) Employees given an acceptable rating of record will be considered eligible for an award. Eligibility does not guarantee the employee will be recommended for, or receive, an award.

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(3) Employees should inform supervisors no later than 31 August 2012 if a time-off award is preferred to a monetary or performance award. Job related time-off and job related monetary awards will reduce the amount of compensation an employee is eligible to received based on his/her performance plan award recommendation, in accordance with NETC guidance in reference (b). Providing this information does not guarantee an employee will either be recommended for, or receive, an award. There is no entitlement to an award.

(4) Employees may address concerns relating to aspects of the performance appraisal process through the administrative grievance procedure. Ratings on individual elements (acceptable/unacceptable) and the summary level rating (acceptable/unacceptable) are grievable. The reward recommendation score, not receiving an award, the amount of an award, and/or the type of award given are not grievable.

e. Command/Activity Performance Management Coordinator.

(1) Responsible for tracking the completion of appraisals and ensuring they are completed on time.

(2) Provide PARB Administrator with completed appraisals and award recommendations for PARB.

(3) Establish and maintain new employee, new RO, and new SRO indoctrination process to include access to regulations, performance management requirements and mandatory training (e.g., locations, dates, etc.).

(4) Maintain signed copies of employees' annual performance appraisals for four years after the date of the appraisal, per the General Records Retention Schedule.

(5) Coordinate with NSTC N1 on matters related to the IPMS, including disseminating IPMS information and additional requirements as needed.

f. Performance Awards Review Board (PARB).

(1) The PARB will consist of a PARB Chair, a minimum of three members (all supervisors of civilian employees) and one non-voting administrator as outlined in 4.g. and enclosure (2).

(2) To ensure fairness, sound business practices, and adherence to Merit System Principles across the organization,

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the PARB will review and approve, disapprove, or modify award recommendations. The Board will record final reward decisions and provide the rationale for any changes to submitted recommendations.

(3) PARBs will adhere to the guidance set forth in enclosure (2).

g. PARB Chair.

(1) The PARB Chair will conduct the PARB in accordance with enclosure (2).

(2) The PARB Chair is responsible for identifying the members who will serve on the PARB, the PARB Administrator, and the Activity Performance Management Coordinator. PARB Chairs may also assign a backup PARB Administrator at their discretion.

(3) The PARB Chair will ensure the review of all award recommendations are completed on time, between 23 October 2012 and 2 November 2012.

(4) The PARB Chair will submit completed PARB results to the NSTC N1 PARB Administrative Coordinator. Results will then be forwarded by the Administrative Coordinator to Commander, NSTC via the NSTC Chief of Staff for approval. Approved results will be forwarded to NETC HQ prior to being sent to the respective Human Resources Servicing Centers (HRSCs) for the processing of awards, in accordance with reference (b).

h. PARB Administrator.

(1) Ensure all materials, implementing issuances, policies, procedures, reference materials and ratings of record are available for each applicable PARB.

(2) Provide administrative and logistical support to the PARB.

(3) Assist the PARB Chair with conducting PARB meetings.

(4) During PARB convenings, as required, communicate to the SRO or RO for PARB revised ratings to provide the opportunity for further justification before a PARB change becomes final. Identify 24 hour timeframe in which a response is due from the RO or SRO.

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(5) Input PARB decisions into a tracking tool for record keeping and submission to the NSTC PARB Administrative Coordinator.

(6) Perform data analysis reporting as needed.

(7) Provide records management of all PARB deliberations on ratings of record.

(8) Ensure that records are destroyed upon completion of PARB, as required.

(9) Identify to the NSTC PARB Administrative Coordinator all civilian employees recommended for consideration of an annual award.

(10) Coordinate with the NSTC PARB Administrative Coordinator to identify all ROs and SROs associated with assigned PARBs.

(11) Collect the final Interim Performance Management System Reward Notification Forms for the assigned PARB. Ensure all ratings are provided.

(12) Prepare the PARB results documentation for the PARB Chair.

(13) Coordinate the signing of required non-disclosure agreements.

i. NSTC PARB Administrative Coordinator.

(1) Provide logistic support to PARB Data Administrators to ensure accuracy of employee, RO, and SRO data.

(2) Coordinate with PARB Data Administrators to record all civilian employees recommended for consideration of an annual award.

(3) Perform data tracking and analysis on PARB results, as required.

(4) Upon completion of PARBs, submit results to Commander, NSTC via NSTC Chief of Staff for review and approval. Submit results to NETC HQ prior to sending to the HRSCs in accordance with reference (b).

(5) Advise PARB Administrators of job related awards previously awarded to employees throughout the performance period.

j. NSTC Performance Management Coordinator (N1).

(1) Provide employee listings with base salary to NSTC N8 as outlined in this instruction to ensure proper allocation of funds.

(2) Ensure approved awards are submitted to the servicing HRO.

(3) Coordinate the establishment of accurate hierarchies for NSTC employees with the HRSCs.

(4) Coordinate the establishment and disestablishment of MyWorkplace accounts when ROs and SROs transfer to and from NSTC activities.

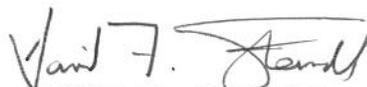
(5) Coordinate with and provide information to PARB Data Administrators on all associated SROs, ROs, and employees, including identification of any special circumstance employees as defined in reference (a).

(6) Monitor and track all personnel associated with the Performance Management process, including military RO/SRO rotations and new arrivals and civilian separations and accessions. Maintain a database of all personnel under the IPMS, as well as their associated ROs and SROs.

(7) Perform for NSTC the responsibilities in paragraph 7.e.

k. NSTC N8.

Ensure adequate funding is allocated for the performance and contribution awards budget to be funded at the aggregate level of 1.00 percent of total adjusted salaries (base salary and any applicable locality pay) for employees on board the last day of the previous rating cycle.

  
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**Interim Performance Management System Annual Appraisal  
Guidelines**

The purpose of this document is to outline the Annual Appraisal Process for the Department of the Navy Interim Performance Management System (IPMS). This document contains the following sections are included to assist in completing annual appraisals:

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For more detailed information on the requirements of the IPMS, refer to the DON Handbook Version 2.0, DON Interim Performance Management System Covering Positions Transitioning to GS from NSPS, of Sep 10.

Performance plans, appraisals and reward recommendations should be completed using the Department of Navy (DON) Interim Performance Appraisal Form, OPNAV12430/6, of September 2011.

**Section 1: Rating Official Responsibilities**

1. Rating Officials (ROs) must meet with employees for all of the events listed below:
  - a. Establishing the performance plan;
  - b. Progress review (does not require Senior Rating Official (SRO) review)
  - c. Additional progress reviews that may be required
  - d. Close-out rating
  - e. Annual appraisal and awards discussion
2. In addition to the mandatory meetings, a formal counseling session is required as soon as practicable when an employee's performance is assessed as unacceptable on one or more critical element(s). Documentation for these counseling sessions can vary. Contact your HRO Employee Relations Specialist for guidance as needed.
3. Contact HRO for assistance if at any time during the appraisal period an employee's performance is determined to be unacceptable and follow all guidelines and requirements set forth by HRO. A rating of record of "Unacceptable" may not be assigned unless all HRO provided requirements have been met.
4. When unable to perform the required duties as a RO, the next level supervisor will perform the RO duties and responsibilities.
5. ROs must consider employee self assessments and prepare written assessments of employee performance and contribution to mission no later than 30 days after the end of the appraisal period. Written assessments will be used to justify the summary level ratings of record "Acceptable" or "Unacceptable" to the SRO (formerly the Higher Level Reviewer).
6. Performance Plans must be completed and approved no later than 30 days after the beginning of a rating cycle, within 30 days after permanent assignment to a new position or within 30 days after an employee is assigned, detailed, temporarily promoted or for a reassignment that is expected to last more than 120 days. "Approved" entails approval and signature by the RO, SRO, and the employee.
7. Regardless of the duration of the detail or temporary assignment, the permanent supervisor will be responsible for completing the recommended rating of record, taking into account

recommendations made by the temporary supervisor. Award recommendations will be submitted to the Performance Awards Review Board (PARB) based on the employee's official permanent position of record.

8. The RO is required to consider the self-assessment and prepare a written assessment of employee performance and contribution to mission no later than 30 days after the end of the appraisal period. Written assessments will be used to justify ratings of record to the SRO.

9. The performance plan consists of "career stages." Career stages and their associated mandatory performance standards are provided in reference (a) Appendix C. Performance standards are used to determine if an employee's performance on a critical element is acceptable or unacceptable.

a. NSTC commands use performance patterns based on series and grade, to determine career stages for positions. However, ROs may determine that a particular position or particular employee is at a different career stage than that shown in section (3) and (4) of this document but will need to provide amplifying justification. Only one career stage may be used to cover all critical elements on a performance plan.

b. The performance standards associated with the career stage contained in reference (a), Appendix C must be documented in the "Critical Element Performance Standards" section of the approved performance plan established for the employee. If a performance plan contains a supervisory critical element, then the supervisory performance standard must also be documented in the approved performance plan.

c. Performance standards are defined for three stages in the advancement pattern of a position or career – entry, journey and expert, assigned in accordance with sections (3) and (4).

d. After the PARB's final reward decisions are forwarded to the respective HRSC, the RO (or SRO if the RO is not available) will communicate the contribution level, award amount (if any) and if a QSI was awarded to the employee. This information will be recorded on the DON Interim Performance Management System Reward Notification Form found at the end of this document.

e. To be eligible for a performance award, an employee must complete the minimum 90 days under the approved performance plan in the same position. Provisions for the extensions and

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exceptions to the minimum 90-day performance period covered under reference (a). Ensure performance plans are completed for each non-bargaining unit employee and forwarded for award consideration, if eligible, to the respective PARB.

**Section 2: Guidance on Determining Career Stage and Performance Standards to be Used**

- 1a) **Non-supervisor positions:** Refer to section (3) of this document to determine whether the occupational work series of the employee's position is classified as Professional and Administrative Work, Technician Work, or Clerical Work.
- 1b) **Supervisor positions:** If an employee has supervisory responsibilities (as indicated by having "Supervisor" or "Manager" in the title of his/her position), one of the three critical elements required must be the critical element in section (6). Supervisors' performance is appraised using the Supervisor Career Stage Performance Standards, section (5). For employees with supervise employees, but do not have "Supervisor" or "Manager" in their position title, the Supervisory Critical Element is optional.
- 2) Determine the GS grade level of the position.
- 3) In conjunction with the type of work identified by the series, utilize section (4) of this document to identify which of the three career stages the employee is in: Entry, Journey, or Expert.
- 4) After determining the type of work and the career stage, refer to the Performance Standards in section (5) for non-supervisory critical elements and section (6) for supervisors' critical elements.
- 5a) **Non-supervisor positions:** For each critical element in a non-supervisor employee's performance plan, determine whether the employee's performance in completing the critical element being is "acceptable" or "unacceptable" by comparing the employees performance to the Performance Standards in section (5) for the appropriate career stage (Entry, Journey, or Expert).
- 5b) **Supervisor positions:** For supervisors' critical elements, compare the employee's performance of the required DON/NETC Standard Supervisory Critical Element/Job Objective with the "Supervisory" Career Stage found in section (6). For the remaining two critical elements, determine the career stage of the employee (Journey or Expert) as detailed above in step 4, and use the Supervisor Career Stage Performance

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Standard to determine whether performance of the critical element is "acceptable" or "unacceptable."

- 6) ROs may recommend a reward level for each critical element if an employee has an overall rating of record of "Acceptable." To determine the appropriate reward level to recommend, the RO should compare the employee's performance to the appropriate career stage Performance Awards Standard in section (8). The reward score given for each critical element should be the numeric value, 1 through 3, corresponding to the level of performance at which the employee completed the critical element.

Example:

A non-supervisory GS-0326-6 Administrative Assistant.

Series determination (section (3)): 0326 → CLERICAL WORK  
GS grade level (section (4)): GS-6 → JOURNEY  
Performance Standard used (section (5)): Performance Standard for Non-Supervisors → Career Stage: Journey

Rating Official compares the employee's performance to the Performance Standard and determines the employee meets the "acceptable" element level.

The Rating Official then uses the journey level of the Career Stage Performance Award Standard to determine the Reward Level to recommend for each of the employee's three critical elements.

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**Section 3: NSTC POSITION SERIES SORTED BY WORK TYPE****SUPERVISORY**

Of the 3 Critical Elements 1 must be the DON/NETC Standard Supervisory Critical Element if "supervisor" or "manager" is in the title of the respective position. The other 2 critical elements should be rated against the appropriate career stage, based on series and grade. If a position supervises but does not have "supervisory" or "manager" in its title, the supervisory critical element is optional - but if used, must be the standard supervisory critical element provided in reference (b).

**PROFESSIONAL AND ADMINISTRATIVE WORK**

GS-9\* -- trainee/entry; target level/journey

## SERIES

00018 Safety Mgr/Specialist  
00080 Security Specialist  
00301 Protocol Officer/Operations Mgr/DAPA/Events Coordination/  
Training Scheduling Specialist/Area Manager  
00341 Admin Officer  
00343 Program Analyst/Management Analyst/  
00346 Logistics Mgmt  
00501 Financial Mgmt Specialist  
00505 Financial Mgr  
00905 Attorney  
00950 Paralegal Specialist  
01035 Public Affairs Specialist  
01051 Music Specialist  
01071 AV Production Specialist  
01102 Procurement Analyst  
01515 Ops Research Analyst  
01530 Statistician  
01601 Facilities Support  
01640 Facilities Mgmt  
01701 Instructional Training Specialist  
01712 Training Instructor  
01720 Education Program  
01730 Education Research  
01750 Instructional System  
01801 Investigator  
01810 Investigative Operations  
02001 Supply Specialist  
02003 Supply Mgmt

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02210 Information Technology

TECHNICIAN WORK

GS-9\* -- trainee/entry; target level/journey

SERIES

00086 Security Assistant  
00335 Computer Assistant  
00342 Support Services  
00344 Program Assistant  
00503 Financial Technician  
01411 Library Technician  
01702 Education/Training Technician  
01801 Investigative Operations Assistant  
02005 Supply Technician

CLERICAL WORK

GS-7\* 00326 normally not graded above the GS-7 level

SERIES

00203 Human Resources Assistant  
00303 Executive Ass't/Administrative Ass't/Public Affairs Ass't/  
00318 Secretary  
00326 Office Automation

### Section 4: Career Stage Crosswalk

The performance standards are defined for three different stages in the advancement pattern of a position or career – entry, journey and expert. The following crosswalk is provided to assist rating officials in determining career stage.

1. For **professional work** and **administrative work**, the following is generally applicable:

(a) **Professional work** – Requires knowledge in a field of science or learning characteristically acquired through education or training equivalent to a bachelor’s or higher degree with major study in or pertinent to the specialized field, as distinguished from general education. Professional occupational series follow a two-grade interval pattern and are identified as professional in the series definitions. Examples include Psychologists (0180), Computer Scientists (1550), and Computer Engineers (0854).

(b) **Administrative work** – Involves the exercise of analytical ability, judgment, discretion, and personal responsibility, and the application of a substantial body of knowledge of principles, concepts, and practices applicable to one or more fields of administration or management. While these positions do not require specialized education, they do involve the type of skills (analytical, research, writing, judgment) typically gained through a college level education, or through progressively responsible experience. Administrative occupational series follow a two-grade interval pattern. Examples include Human Resources Specialist (0201), Management and Program Analyst (0343), and Technical Writer (1083).

<b>Level</b>	<b>Grades</b>
Entry (Typically based on education alone)	GS-05 GS-07 GS-09*
Journey (Typically requires a combination of education and experience)	GS-09* GS-11 GS-12
Expert (Primarily based on experience)	GS-13 and above

*\*May be considered either entry or journey depending on the position and career progression.*

2. For **technician work**, the following is generally applicable:

(a) **Technician work** – Typically associated with and supportive of a professional or administrative field. It involves extensive practical knowledge, gained through experience and/or specific training less than that represented by college graduation.

Technician employees carry out tasks, methods, procedures, and/or computations that are laid out either in published or oral instructions and covered by established precedents or guidelines. Technician work, however, typically follows a one-grade interval pattern and does not require the application of knowledge and skills equivalent to those required for two-grade interval work. Examples include Safety Technician (0019), Medical Technician (0645), and Dental Assistant (0681).

Level	Grades
Entry	GS-04 GS-05
Journey	GS-06 GS-07 GS-08 GS-09*
Expert	GS-09* GS-10 GS-11 GS-12

*\*May be considered either entry or journey depending on the position and career progression.*

3. For **clerical work**, the following is generally applicable:

(a) **Clerical work** – Involves structured work in support of office, business, or fiscal operations. Clerical work is performed in accordance with established policies, procedures, or techniques; and requires training, experience, or working knowledge related to the tasks to be performed. Clerical occupational series follow a one-grade interval pattern. Examples include Correspondence Clerk (0309), Legal Assistant (0986), and Equipment Operator (0350).

Level	Grades
Entry	GS-03 GS-04
Journey	GS-05 GS-06 GS-07*
Expert	GS-08 GS-9 GS-10

*\*May be considered an expert for those series that normally are not graded above the GS-07 level.*

### **Section 5: Performance Standards for Non-Supervisors**

The performance standards listed below are the sole source against which critical elements can be assessed for non-supervisory employees. To ensure consistency across the DON, the performance standards may not be augmented or altered.

<b>Career Stage</b>	<b>Element Level</b>	<b>Performance Standard</b>
Entry	Acceptable	<p>With guidance and assistance:</p> <p>Accomplished the stated critical element, achieving desired results that were sound, accurate, and thorough or documented; met applicable authorities, standards, policies, procedures and guidelines.</p> <p>Planned, organized, prioritized and scheduled own work activities to deliver the critical element in a timely and effective manner.</p> <p>Demonstrated ability to work well with others.</p>
Entry	Unacceptable	<p>Though guidance was provided:</p> <p>Failed to achieve all or part of the stated critical element by failing to provide products or services that were sound, accurate, thorough, documented and/or failed to meet applicable authorities, standards, policies, procedures or guidelines; or</p> <p>Failed to plan, organize, prioritize and schedule own work activities to deliver the critical element in a timely and effective manner; relied on others to redo or complete work assignments; or</p> <p>Demonstrated poor cooperation or inability to work with others.</p>

<b>Career Stage</b>	<b>Element Level</b>	<b>Performance Standard</b>
Journey	Acceptable	<p>Completed the stated critical element by achieving results that met applicable standards, policies, procedures, and guidelines.</p> <p>In achieving critical elements and work assignments, adhered to work/project schedules; organized or prioritized own tasks to complete assignments; adjusted own work priorities to achieve desired results.</p> <p>Demonstrated ability to work well with others.</p>
Journey	Unacceptable	<p>Failed to achieve all or part of the stated critical element; or Failed to provide products that were sound, accurate, thorough and documented, and regularly failed to meet applicable authorities, standards, policies, procedures and guidelines; or</p> <p>Failed to plan, organize, prioritize, and schedule own work activities to deliver the critical element in a timely and effective manner; relied on others to frequently assist with or redo work assignments; or</p> <p>Demonstrated poor cooperation or inability to work with others.</p>

<b>Career Stage</b>	<b>Element Level</b>	<b>Performance Standard</b>
Expert	Acceptable	<p>Delivered on each critical element with broad and significant impact that was in alignment with the mission and objectives of the organization as well as applicable authorities, standards, policies, procedures and guidelines anticipating and overcoming significant obstacles.</p> <p>Established priorities and coordinated work across projects, programs or people, balancing work demands and anticipating and overcoming obstacles to achieve a timely and positive outcome.</p> <p>Demonstrated high standards of professional conduct and represented the organization or work unit effectively.</p>
Expert	Unacceptable	<p>Failed to achieve all or part of the stated critical element; or</p> <p>Failed in the accomplishment of priorities and coordination of work across projects, programs or people; consistently failed to balance work demands resulting in an untimely and unproductive product or event; or</p> <p>Demonstrated poor cooperation or inability to work with others.</p>

### **Section 6: Supervisor Career Stage Performance Standards**

The performance standards listed below are the sole source against which critical elements can be assessed. To ensure consistency across the DON, the performance standards may not be augmented or altered.

<b>Career Stage</b>	<b>Element Level</b>	<b>Performance Standard</b>
Journey	Acceptable	<p>Completed the stated critical element by achieving results that met applicable standards, policies, procedures, and guidelines.</p> <p>In achieving critical elements and work assignments, adhered to work/project schedules; organized or prioritized own tasks to complete assignments; adjusted own work priorities to achieve desired results.</p> <p>Demonstrated ability to work well with others.</p>
Journey	Unacceptable	<p>Failed to achieve all or part of the stated critical element; or Failed to provide products that were sound, accurate, thorough and documented, and regularly failed to meet applicable authorities, standards, policies, procedures and guidelines; or</p> <p>Failed to plan, organize, prioritize, and schedule own work activities to deliver the critical element in a timely and effective manner; relied on others to frequently assist with or redo work assignments; or</p> <p>Demonstrated poor cooperation or inability to work with others.</p>

<b>Career Stage</b>	<b>Element Level</b>	<b>Performance Standard</b>
Expert	Acceptable	<p>Delivered on each critical element with broad and significant impact that was in alignment with the mission and objectives of the organization as well as applicable authorities, standards, policies, procedures and guidelines anticipating and overcoming significant obstacles.</p> <p>Established priorities and coordinated work across projects, programs or people, balancing work demands and anticipating and overcoming obstacles to achieve a timely and positive outcome.</p> <p>Demonstrated high standards of professional conduct and represented the organization or work unit effectively.</p>
Expert	Unacceptable	<p>Failed to achieve all or part of the stated critical element; or</p> <p>Failed in the accomplishment of priorities and coordination of work across projects, programs or people; consistently failed to balance work demands resulting in an untimely and unproductive product or event; or</p> <p>Demonstrated poor cooperation or inability to work with others.</p>

<b>Career Stage</b>	<b>Element Level</b>	<b>Performance Standard</b>
Supervisory	Acceptable	<p>Achieved expected results by effectively carrying out established supervisory responsibilities.</p> <p>Demonstrated adequate EEO and Affirmative Action awareness in areas of supervision and leadership.</p> <p>Supported use of Alternative Dispute Resolution to resolve conduct and performance concerns at the lowest level and early timeframe to ensure the workplace provided a harmonious climate.</p>
Supervisory	Unacceptable	<p>Failed in the accomplishment of priorities and coordination across projects, programs, and people; consistently failed to balance work demands of employees resulting in untimely or unproductive products or events; or</p> <p>Failed to demonstrate adequate EEO and Affirmative Action awareness in areas of supervision and leadership; or</p> <p>Failed to support the use of Alternative Dispute Resolution to resolve conduct and performance concerns to ensure the workplace provides a harmonious climate; or</p> <p>Failed to provide timely performance feedback as required during the rating cycle or to take appropriate corrective action to address instances of inappropriate conduct and/or unacceptable performance.</p>

**Section 7: DON/NETC Standard Supervisory Critical Element/Job Objective**

1. Manages an aligned, engaged, and high-performing team through leading by example and developing and executing a mission-aligned vision for the organization. Creates a positive, safe work environment that allows employees to excel. Upholds high standards of integrity and ethical behavior. Performs all supervisory duties including:

(a) Ensuring compliance with applicable laws, regulations, and policies including Merit System Principles and Prohibited Personnel Practices.

(b) Effectively attracting and retaining a high-caliber workforce and acting in a responsible and timely manner on all steps in the recruitment and hiring process.

(c) Providing opportunities for orientation and tools for enabling employees to successfully perform during the probationary period and beyond.

(d) Identifying current and future position requirements to ensure that recruitment is appropriately focused and timely.

(e) Completing all performance management tasks in a timely manner including clearly communicating performance expectations throughout the appraisal period, holding employees accountable, making meaningful distinctions in performance and rewarding excellent performance, promoting employee development and training, and promptly addressing performance and conduct issues.

(f) Acting as a good steward of public funds.

(g) Maintaining a safe work environment and promptly addressing allegations of noncompliance.

(h) Ensuring that Equal Employment Opportunity (EEO) principles are adhered to throughout the organization and promptly addressing allegations of discrimination, harassment, and retaliation.

**Section 8: Career Stage Performance Awards Standard**

The following are the performance awards standards by which performance on individual critical elements is assessed in order to assign a score as described in paragraph 1 of this appendix.

<b>Career Stage</b>	<b>Rewards Score</b>	<b>Performance Awards Standard</b>
Entry	1	<p>With considerable guidance and assistance:</p> <ul style="list-style-type: none"> <li>- Accomplished the stated critical element, achieving desired results that were minimally sound, accurate, and thorough or documented; met applicable authorities, standards, policies, procedures and guidelines.</li> <li>- Planned, organized, prioritized and scheduled own work activities to deliver the critical element in a timely and effective manner.</li> <li>- Demonstrated ability to work well with others.</li> </ul>
Entry	2	<p>With minimal guidance and assistance:</p> <ul style="list-style-type: none"> <li>- Effectively achieved the stated critical element.</li> <li>- Achieved results that were technically sound, accurate, thorough and documented and met applicable authorities, standards, policies, procedures and guidelines.</li> <li>- Planned, organized, prioritized and scheduled own work activities to deliver the critical element in a timely and effective manner, making adjustments to respond to changing situations as necessary.</li> <li>- Demonstrated high standards of teamwork.</li> </ul>
Entry	3	<p>Without guidance or assistance:</p> <ul style="list-style-type: none"> <li>- (Measured in addition to Entry 1 and 2 above)</li> <li>- Contributed results beyond what was expected; results were far superior in quality, quantity and/or impact to the stated critical element.</li> <li>- Represented the organization or work unit effectively through model team cooperation.</li> </ul>

Career Stage	Rewards Score	Performance Awards Standard
Journey	1	<ul style="list-style-type: none"> <li>- Completed the stated critical element by achieving results that met applicable standards, policies, procedures, and guidelines.</li> <li>- In achieving job objectives and work assignments, adhered to work/project schedules; organized or prioritized own tasks to complete assignments; adjusted own work priorities to achieve desired results.</li> <li>- Demonstrated ability to work well with others.</li> </ul>
Journey	2	<ul style="list-style-type: none"> <li>- Effectively accomplished the stated critical element by achieving results that were technically sound, accurate, thorough and documented and met applicable authorities, standards, policies, procedures and guidelines.</li> <li>- Planned, organized, prioritized and scheduled own work activities to deliver the critical element in a timely and effective manner, making adjustments to respond to changing situations as necessary.</li> <li>- Demonstrated high standards of teamwork and cooperation.</li> </ul>
Journey	3	<ul style="list-style-type: none"> <li>- (Measured in addition to Journey 1 and 2 above)</li> <li>- Achieved outcomes and results that are superior in quality, quantity, timeliness and/or impact to what would ordinarily be expected at this level.</li> <li>- Contributed to organizational performance well beyond what is expected.</li> <li>- Persisted in overcoming obstacles and put forth extra effort to accomplish difficult assignments.</li> <li>- Represented the organization or work unit effectively through model team cooperation.</li> </ul>

Career Stage	Rewards Score	Performance Awards Standard
Expert	1	<ul style="list-style-type: none"> <li>- Delivered on each critical element with broad and significant impact that was in alignment with the mission and objectives of the organization as well as applicable authorities, standards, policies, procedures and guidelines anticipating and overcoming significant obstacles.</li> <li>- Established priorities and coordinated work across projects, programs or people, balancing work demands and anticipating and overcoming obstacles to achieve a timely and positive outcome.</li> <li>- Demonstrated high standards of professional conduct and represented the organization or work unit.</li> </ul>
Expert	2	<p>(Measured in addition to Expert 1 above)</p> <ul style="list-style-type: none"> <li>- Effectively demonstrated performance in each critical element that contributed to the mission and goals of the organization as well as applicable authorities, standards, policies, procedures and guidelines.</li> <li>- Adapted established methods and procedures when needed.</li> <li>- Demonstrated high standards in representing the organization or work unit through teamwork, cooperation and leadership.</li> </ul>
Expert	3	<p>-(Measured in addition to Expert 1 and 2 above)</p> <ul style="list-style-type: none"> <li>- Contributed results far superior in quality, quantity and/or impact to the stated critical element.</li> <li>- Accomplishments and outcomes were of such magnitude that they contributed to the organization exceeding its mission goals and objectives for the year.</li> <li>- Created new and innovative methods and processes that contributed significantly to the success of the organization.</li> <li>- Represented the organization or work unit through model teamwork, cooperation and exemplary leadership.</li> </ul>

Career Stage	Rewards Score	Performance Awards Standard
Supervisory	1	<ul style="list-style-type: none"> <li>- Achieved expected results by effectively carrying out established supervisory responsibilities.</li> <li>- Demonstrated adequate EEO and Affirmative Action awareness in areas of supervision and leadership.</li> <li>- Instituted measures to foster productivity and safety.</li> <li>- Provided timely performance feedback at a minimum of two times during the performance cycle. Took appropriate corrective action to address instances of inappropriate conduct and/or unacceptable performance.</li> </ul>
Supervisory	2	<ul style="list-style-type: none"> <li>- Established priorities and coordinated work across projects, programs or people, effectively balancing work demands and anticipating and overcoming difficult obstacles to achieve a timely and positive outcome.</li> <li>- Provided clear guidance to others by translating organizational goals into concrete objectives, plans, priorities, and assignments.</li> <li>- Proactively instituted measures to foster increased productivity and safety.</li> <li>- Developed employee or team performance and/or potential through mentoring and coaching.</li> </ul>
Supervisory	3	<ul style="list-style-type: none"> <li>-(Measured in addition to Supervisory 1 and 2 above)</li> <li>- Contributed business results beyond what was expected; results were far superior in quality, quantity, and/or impact to the stated objective.</li> <li>- Supervisory contributions were exemplary and the results achieved went well beyond what was expected in terms of quality, quantity, timeliness and/or impact.</li> <li>- Identified and utilized innovative and/or creative methods that accomplished work and provided long-range support for Human Capital Strategic Goals. Actively sought out information for and engaged in Strategic Workforce Planning for the work</li> </ul>

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		<p>unit.</p> <ul style="list-style-type: none"><li>- Maintained positive working relationships with employees and labor organizations. Encouraged and fostered organizational use of problem solving and Alternative Dispute Resolution techniques and programs to maintain or improve production and harmony in the workplace. Instituted proactive and innovative measures to foster increased productivity and safety.</li><li>- Managed and recognized employee performance in keeping with DON policy; provided timely feedback, and held a minimum of two formal performance meetings during the rating cycle; developed employee or team performance and/or potential through mentoring and coaching. Took timely and appropriate corrective action.</li></ul>
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**Interim Performance Management System (IPMS) Performance Awards  
Review Board (PARB) Guidelines**

The purpose of this document is to outline the Performance Awards Review Board (PARB) process. This document contains the following sections to assist in completing PARB requirements:

1)	Performance Awards Review Board Responsibilities ...	2
2)	Performance Awards Review Board Structure .....	4
3)	NSTC PARBs - FY11 Rating Cycle .....	6
4)	Award Recommendation Levels .....	10

**Section 1: Performance Awards Review Board Responsibilities**

1. Upon completion of the annual performance rating cycle, Rating Officials (ROs) will submit completed appraisals to the Performance Awards Review Board (PARB) for review and approval of recommended performance awards. Appraisals and reward recommendations will be completed using the Department of the Navy (DON) Interim Performance Appraisal Form, OPNAV 12430/6, of September 2011.

2. The PARB Chair is responsible for conducting PARB meetings.

3. The PARB will use the following procedures/methods for reviewing and approving or disapproving recommended employee awards.

a. All PARB members shall be provided with a copy of these rules and have signed a Non-disclosure Agreement prior to attending any PARB deliberations.

b. PARB members will be provided copies of all appraisals to be reviewed.

c. The recommended process for reviewing appraisals and award recommendations is as follows:

(1) Each PARB member shall serve as a "briefer" responsible for a block/group of appraisals that they will brief to the rest of the PARB.

(2) The PARB Chair and the PARB Administrator will be responsible for selecting the composition of the block/group of individual appraisal records assigned to each PPP Member.

(3) When reviewing the appraisals, PARB members shall not review employees for whom they are the RO or Senior Rating Official (SRO).

(4) Each briefer should discuss the RO's recommended rating, the SRO's rating if applicable, and their own independent assessment of the employee's appraisal and the recommended award.

(5) Upon completion of the brief, remaining PARB members will vote to either concur or not with the recommendations provided to the PARB from the briefer. Note that award

recommendation levels must be in accordance with section (4) of this document.

(6) If the PARB does not concur with briefed recommendations, it will use a voting process to recommend to the PARB Chair the award level to assign the employee.

(7) The PARB Chair will make the final determination on the award level to assign.

(8) When RO's/SRO's recommendations are not accepted and/or are modified by the PARB, the PARB Administrator will communicate back to the RO/SRO the revised reward levels along with the rationale for the modifications. The RO shall then be given the opportunity to, within 8 (workday) hours, provide further justification before the change becomes final.

(9) The PARB Chair will review the RO/SRO additional justification provided and, based on the justification provided:

(a) Determine the final rating of record, or

(b) Assign back to the PARB for a second review and reward level determination.

**Section 2: PERFORMANCE AWARDS REVIEW BOARD STRUCTURE**

1. The PARB Chair cannot be an employee within the group of employees being reviewed by the PARB.
2. Civilian PARB members may be employees within the group of employees being reviewed by the PARB, but cannot review each other's award recommendations. Military PARB members must review the award recommendations for the civilian PARB members.
3. PARBS will be constructed along organizational lines as outlined in this enclosure and will review and approve all performance awards so as to achieve fairness and adherence to merit system principles.
  - (a) The NSTC Great Lakes PARB will be for NSTC Staff (UIC 00210), Officer Development Director and Citizenship Development Director with the NSTC Chief of Staff as the Chair.
  - (b) The NSTC Pensacola Programs, UIC 3560A, will be chaired by the Director of Citizen Development.
  - (c) The Recruit Training Command (RTC), UIC 0763A, will be chaired by the RTC Executive Officer.
  - (d) The Officer Training Command (RTC), UIC 62661, will be chaired by the OTC Executive Officer.
  - (e) The Naval Reserve Officer Training and Department of Naval Science Units will be comprised of one PARB with the Officer Development Director as the PARB Chair.
4. The PARB does not have the authority to change a rating of acceptable or unacceptable which has been approved by the Senior Rating Official. PARBS will assign a Contribution Level (CL) to each employee who is rated Acceptable.
5. PARBS will be provided an award fund consistent with the funding allocations. Awards issued may not exceed the approved funding allocation.
6. A PARB Administrator will be designated to assist the PARB. This role provides administrative processing that makes the board run smoothly. The administrator will compile all the data elements and material required for the board review process. Additionally, the administrator will run all necessary reports, track decisions and monitor board funding during the

proceedings. The PARB Administrator will be sourced from the organization for which the PARB is being held. The PARB Administrator is responsible for ensuring the form at the enclosure is filled out for every employee and that the form is retained by the PARB Chair (or designee) for two years.

**Section 3: NSTC PARBs - FY12 Rating Cycle**

NSTC Great Lakes and OD and CD Directors  PARB Chair - NSTC Chief of Staff		Billets Authorized	Onboard 30-Sep-11
		39	37
Direct Reports to the COS		8	8
UIC	ORGANIZATIONAL ELEMENT		
00210	Manpower, N1	7	7
	Logistics & IT Mgmt, N4/6	5	4
	Ops, Analysis & Rqmts, N3/5/7	8	8
	Office of General Counsel	2	2
	Learning Strategies, N9	1	1
	Comptroller, N8	5	5
	Inspector General	1	1
	Flag Staff	2	1

NSTC Pensacola Programs  PARB Chair - Director Citizenship Development		Billets Authorized	Onboard 30-Sep-11
		52	51

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UIC	ORGANIZATIONAL ELEMENT		
3560A	Deputy Director, OD	2	2
	Unit Ops, OD5	3	3
	Professional Development, OD3	2	2
	Selection and Placement, OD2	8	8
	Student Ops, OD4	7	7
	Director, CD	5	5
	CD Operations	14	14
	NJROTC Area 3 Manager, Great Lakes	1	1
	NJROTC Area 4 Manager, Warminster, PA	1	1
	NJROTC Area 5 Manager, Norfolk, VA	1	1
	NJROTC Area 6 Manager, Charleston, SC	1	1
	NJROTC Area 7 Manager, Orlando, FL	1	1
	NJROTC Area 8 Manager, New Orleans, LA	1	1
	NJROTC Area 9 Manager, Millington, TN	1	1
	NJROTC Area 10 Manager, San Antonio, TX	1	1
	NJROTC Area 11 Manager, San Diego, CA	1	1
	NJROTC Area 12 Manager, Jacksonville, FL	1	1
	NJROTC Area 13 Manager, Seattle, WA	1	1

UIC	ORGANIZATIONAL ELEMENT	Billets Authorized	Onboard 30-Sep-11
	Recruit Training Command	60	60
	PARB Chair - Recruit Training Command XO		
0763A	Direct reports to XO	6	6
	Command Master Chief	1	0

Administrative Department	8	8
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	Master at Arms Department	8	7
	Military Training Department	3	3
	Public Affairs Office	4	4
	Religious Ministries	2	2
	Safety	1	1
	Student Control Department	3	4
	Supply Department	5	5
	Technical Training Department	19	20

	Officer Training Command	Billets Authorized	Onboard 30-Sep-11
	PARB Chair - Officer Training Command XO	5	5
UIC	ORGANIZATIONAL ELEMENT		
62661	Direct reports to XO	2	2
	Training & Readiness Department	2	2
	Academics Department	1	1
	NROTC units	Billets Authorized	Onboard 30-Sep-11
	PARB Chair - Director, Officer Development	188	176
UIC	NROTC ACTIVITY		
3426B	SOUTH FLORIDA	2	2
3582A	EMBRY-RIDDLE	3	3
50045	ARIZONA STATE	3	3
62191	MIT CAMBRIDGE MA	2	3

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63209	NEW MEXICO	2	2
63210	IOWA STATE	2	2
63211	MICHIGAN	3	3
63212	TEXAS	2	2
63213	CAL BERKELEY	2	2
63214	COLORADO	3	3
63215	CHICAGO CONS	6	5
63216	MISSOURI	2	2
63217	OREGON STATE	2	2
63219	HOUSTON CONS	6	4
63221	UCLA CONS	6	5
63222	KANSAS	2	2
63223	NEBRASKA	2	2
63224	WISCONSIN	2	2
63225	MARQUETTE	3	3
63226	MINNESOTA	2	2
63227	IDAHO	3	3
63228	TULANE	3	3
63229	OKLAHOMA	2	2
63296	AUBURN TUSKEGEE	4	4
63299	NORTH CAROLINA CONS	7	7
63230	NOTRE DAME	3	3
63231	UTAH	2	2
63232	WASHINGTON	3	3
63234	ILLINOIS	3	3
63235	PURDUE	3	
63291	CORNELL	2	2

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63294	ROCHESTER	2	2
63295	RPI	2	2
63301	ATL CONSORTIUM	5	5
63303	HOLY CROSS	2	2
63306	MIAMI	2	2
63307	MIDSOUTH CONSORTIUM	5	5
63309	OHIO STATE	3	3
63310	PENNSYLVANIA STATE	4	4
63311	PHILADELPHIA CONS	6	6
63313	SOUTH CAROLINA	3	3
63315	VANDERBILT	2	2
63317	VIRGINIA	2	2
63324	RUTGERS	3	0
64181	TEXAS MARITIME ACAD	1	1
64270	USMMA	2	1
64272	CALIFORNIA MARITIME	1	1
66612	CITADEL	4	4
66753	JACKSONVILLE	2	2
66809	SAVANNAH STATE	2	2
66810	SOUTHERN A&M	3	3
68064	FLORIDA	3	3
68072	TEXAS A & M	4	4
68139	FAMU	3	3
68141	MAINE MARITIME	2	2
68303	BRONX MARITIME	3	3
68355	VMI	3	3

68692	SAN DIEGO CONS	4	4
68699	HAMPTON ROADS CONS	4	4
68708	GREAT LAKES MARITIME	1	1
68710	VPI	3	3
68717	BOSTON CONSORTIUM	4	3
68725	ARIZONA	3	4
68726	GEORGE WASHINGTON	3	2
68728	NORWICH	2	2
68877	CARNEGIE MELLON	2	2

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**Section 4: Award Recommendation Level**

1. Employees are eligible for awards based on their individual accomplishments and contributions. Eligibility for the various forms of recognition and rewards is based on the recommendation of the SRO and RO. There is no entitlement to an award at any Awards standard. Individual PARBS have the authority to decide the cash award application, or not, for all contribution levels.

2. The average of the Career Stage Performance Awards Standard, enclosure (7) and will be used to determine the Award Eligibility from a percentage of the total adjusted salaries for all NSTC non-bargaining unit employees onboard. The table below outlines the Award level:

Average of Award Standard	Award Eligibility
1.00 - 1.49	0.00 - 1.00%
1.50 - 2.49	0.25% - 2.00%
2.50 - 3.00	0.50% - 3.00%

3. Awards will be given such that the highest award eligibility level is a minimum of 0.25% higher than the middle award eligibility level, and the middle award eligibility level is a minimum of 0.25% higher than the lowest award eligibility level.

4. Due to funding concerns, NETC has directed its subordinate commands to reduce performance award bonus amounts to reflect the amount of compensation received during the appraisal period for job related awards, time-off job related awards and QSIs received in accordance with reference (b).

**Quality Step Increases**

Per reference (c), QSIs are restricted to FY10 spending levels. Because QSIs were not awarded during FY10 while under NSPS, the amount of funding available for QSIs for FY12 is determined based on the average value of QSIs awarded in 2005 and 2006, expressed as a percentage of aggregate salaries (base + locality) and shall not exceed 0.17%. No QSIs were given for NSTC employees in 2005 or 2006. QSIs will therefore not be available for rewarding employee performance in the FY12 rating cycle.