



Technical Guide 311

*U.S. Army Center for Health Promotion
and Preventive Medicine*

*Corporate
Compensation and
Pay Pool Policies*

June 2008



MERIT SYSTEM PRINCIPLES
(TITLE 5, UNITED STATES CODE, SECTION 2301)

FOR PERSONNEL MANAGEMENT—

1. Recruitment should be from qualified individuals from appropriate sources in an endeavor to achieve a workforce from all segments of society; selection and advancement should be determined solely on the basis of relative ability, knowledge, and skills after fair and open competition, which assures that all receive equal opportunity.
2. All employees and applicants for employment should receive fair and equitable treatment in all aspects of personnel management without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or handicapping condition and with proper regard for their privacy and constitutional rights.
3. Equal pay should be provided for work of equal value, with appropriate consideration of both national and local rates paid by employers in the private sector; appropriate incentives and recognition should be provided for excellence in performance.
4. All employees should maintain high standards of integrity, conduct, and concern for the public interest.
5. The Federal workforce should be used efficiently and effectively.
6. Employees should be retained on the basis of adequacy of their performance, inadequate performance should be corrected; employees should be separated who cannot or will not improve their performance to meet required standards.
7. Employees should be provided effective education and training in cases in which such education and training would result in better organizational and individual performance.
8. Employees should be—
 - A. Protected against arbitrary action, personal favoritism, or coercion for partisan political purposes.
 - B. Prohibited from using their official authority or influence for the purpose of interfering with or affecting the result of an election or a nomination for election.
9. Employees should be protected against reprisal for the lawful disclosure of information which the employees reasonably believe evidences—
 - A. A violation of any law, rule, or regulation.
 - B. Mismanagement, a gross waste of funds, an absence of authority, or a substantial and specific danger to public health or safety.
 - C. In administering the provisions of this chapter—
 - (1) With respect to any agency (as defined in Section 2302(a)(2)(C) of this title), the President shall, pursuant to the authority otherwise available under this title, take any action including the issuance of rules, regulations, or directives.
 - (2) With respect to any entity in the executive branch which is not such an agency or part of such an agency, the head of such entity shall, pursuant to authority otherwise available, take any action, including the issuance of rules, regulations, or directives; which is consistent with the provisions of this title and which the President or the head, as the case may be, determines is necessary to ensure that personnel management is based on and embodies the Merit System Principles.

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PART 1

GUIDELINES FOR SETTING SALARY IN THE NATIONAL SECURITY PERSONNEL SYSTEM

I. REFERENCES. See Appendix A for all reference information.

II. INTRODUCTION. This document provides the National Security Personnel System (NSPS) compensation procedures for the U.S. Army Center for Health Promotion and Preventive Medicine (USACHPPM), continental United States (CONUS) and outside the continental United States (OCONUS) subcommands to be used in conjunction with the NSPS, *Managers' Interim Guidance for Establishing Pay for Employees in NSPS* (reference 1) and *Managing Compensation under NSPS, A Guide for Managers and Supervisors* (reference 2). This policy addresses approval level responsibilities for pay-setting actions delegated by the Department of Defense (DOD) to the Headquarters, Department of the Army (HQDA) and from HQDA to the major Army commands (MACOMS)/Direct Reporting Units according to DOD 1400.25-M, Subchapter (SC) 1930 (reference 3a). Any action not covered in this policy will be deferred to the Department of Defense (DOD) 1400.25-M, Subchapter (SC) 1930, Compensation Architecture Pay Policy (reference 3a), and the Interim Department of the Army NSPS Policy and the Interim Department of the Army NSPS Instruction (references 4 and 5).

III. RESPONSIBILITIES. The NSPS compensation program is a human resource responsibility of management. The broad range of NSPS pay bands provides substantial pay-setting flexibilities.

A. Due to the potential for increased long-term salary costs, authorized management officials (that is, Program Manager/Division Chiefs/Section Chiefs) and higher-level management officials (that is, Director/Deputy Chief of Staff/Subordinate Commanders/Proponent for Preventive Medicine (DFPPM)) must exercise fiscal control and pay-management oversight.

B. In situations where a higher-level manager approval is required, that individual must be, at a minimum, one level higher than the supervisor making the initial recommendation. The requirements and limitations imposed shall be followed unless exceptions are permitted and approved by the proper officials to whom pay-setting approvals have been delegated.

C. All required documentation with approval information will be coordinated with the Deputy Chief of Staff for Resource Management (DCSRM), Human Resource Management Division (HRMD).

D. The authorized officials will consider when higher increases are appropriate and will ensure that pay-setting decisions are consistent and fiscally sound and based on financial considerations, local labor markets, current salaries of employees, scarce skills, and necessity; authorized officials will also ensure that coordination with the financial community has been obtained.

IV. DOCUMENTATION. All approved pay-setting decisions must be in writing to ensure an adequate audit trail. Appendix B, NSPS Salary Determination Process Worksheet, will be used to document pay-setting decisions. A copy of the completed worksheet must be forwarded to DCSRM HRMD and a copy retained by the authorized official.

V. AGGREGATE COMPENSATION LIMITATION. The DOD 1400.25-M, SC1930 (reference 3a) governs the Aggregate Compensation Limitation. Except as provided in SC1930.8.2.2 or SC1930.8.2, no additional payment (that is, premium pay, allowance, differential, bonus, award, or other similar cash payment) may be paid to an employee in a calendar year if, or to the extent that, when added to the adjusted salary paid to the employee for service performed as an employee in the DOD or in another Federal agency, the payment would cause the total to exceed the rate for Executive Level 1 as in effect on the last day of that calendar year. The limitation applies to the total amount of aggregate compensation actually received by an employee during the calendar year without regard to the period of service for which such compensation is received.

VI. SETTING AN EMPLOYEE'S STARTING PAY. This section reflects the Army's delegation to the MACOMS of pay-setting guidance for new hires and the U.S. Army Medical Command's (USAMEDCOM) delegation decisions. See Appendix C for summary table of the USACHPPM Pay-Setting Approval Guidelines. As a general rule, salary should be set at the minimum level allowed necessary to attract candidates with requisite skills. If it is necessary to set salary higher than the minimum, the following limitations and approval levels apply. Under NSPS pay-setting provisions, salary is determined using the Base Salary with applicable Local Market Supplement rates added. When setting an employee's pay, a manager must take into consideration the local labor market, salaries of employees performing similar type work, availability of funds, the candidate's level of experience and education, scarcity of candidates, or other relevant business or performance-based considerations.

A. INSTRUCTIONS FOR NEW HIRES—NO PREVIOUS FEDERAL SERVICE OR CANDIDATES WITH A BREAK IN FEDERAL SERVICE (SEE APPENDIX C).

1. Determine former General Service (GS)-grade equivalent of position to be filled. For entry-level positions, superior academic qualifications may also be considered in determining the former GS-grade equivalent of the position. For entry-level candidates with an accredited 4-year bachelor's degree and superior grades (defined as a 3.0 (or higher) grade-point average on a 4.0 scale), the entry level may be established as equivalent to the former GS-07 level. For entry-level candidates with an accredited master's degree, the entry level may be established as equivalent to the former GS-09 level. For entry-level candidates with an accredited doctoral degree, the entry level may be established as equivalent to the former GS-11 level. See the U.S. Office of Personnel Management (OPM), *Qualification Standards for General Schedule Positions (Operating Manual)* (reference 6).

2. Determine step 1 of former GS-equivalent salary (to include any credit for superior academic qualifications) using the higher of the GS Base Salary table (adjusted for the applicable locality pay) or the applicable Specialty Salary table (such as, Engineer Salary table (worldwide), Medical Officers (worldwide)).

3. The hiring supervisor may set salary anywhere in band up to step 2, as identified in previous step above as necessary to be competitive in the applicable marketplace.

4. Director/Deputy Chief of Staff/CONUS Subordinate Commander may approve salary up to 10 percent above step 2, as necessary to be competitive in the applicable marketplace.

5. The Chief of Staff/Deputy for Technical Services/OCONUS Subordinate Commanders/POPM may approve salary up to 15 percent above step 2, as necessary to be competitive in the applicable marketplace.

6. The Executive Personnel Board Advisory Committee (EXPBAC) (that is, the Commander, the Deputy for Technical Services, the Chief of Staff, the Scientific Advisor, and the DCSR) will approve salary of more than 15 percent above step 2 to 30 percent above step 1, not to exceed the maximum rate of the pay band., as necessary to be competitive in the applicable marketplace.

B. INSTRUCTIONS FOR CURRENT NON-NSPS FEDERAL EMPLOYEES.

1. Determine the comparable pay band for employee's current position by using the pay-band descriptors in DOD 1400.25-M, SC1920, Appendix 5 (reference 3b), to compare the work of the employee's current position to the NSPS pay band the employee will be assigned.

2. Determine if the nature of action for placement in the band is a promotion, reassignment, or reduction using the guidance contained in SC1950.6.3.3.8 and SC1950.6.3.3.9 (reference 3c).

3. If action is considered a promotion, an automatic increase in base salary of a minimum 6 percent will be granted. The Director/Deputy Chief of Staff/CONUS Subordinate Commander may approve increases more than 6 percent up to 15 percent. Chief of Staff/Deputy for Technical Services/OCONUS Subordinate Commander/POPM may approve more than 15 percent up to 20 percent.

4. If action is considered a reassignment, generally no increase will be given. If necessary to be competitive in the applicable marketplace, the Director/Deputy Chief of Staff/CONUS Subordinate Commander/POPM may approve up to a maximum of up to 5 percent.

5. If action is considered a reduction in band, employee's base salary should generally be decreased to a level commensurate with employees performing an equivalent level of work. This is approved by the Director/Deputy Chief of Staff/CONUS Subordinate Commander/POPM level.

VII. REASSIGNMENTS. A reassignment occurs when an employee moves, voluntarily or involuntarily, to a different position or set of duties within his/her pay band or to a position in a comparable pay band on either a temporary or permanent basis. The method of reassignment determines how pay is set. All reassignments that result in an increase or decrease to an employee's base salary must be approved by the second level management official. The DOD 1400.25-M, SC1930.10.4.1 (reference 3a) and the following govern employee reassignments:

A. EMPLOYEE-INITIATED REASSIGNMENT.

1. When an employee voluntarily reassigns to another position within his/her pay band or to a position in a comparable pay band, the employee's salary may decrease in any amount agreed to by the employee and supervisor, as long as the employee's base salary does not drop below the minimum of the assigned rate range. If movement is to a lower level of work based on a voluntary request from the employee, employee's base salary should generally be

decreased to a level commensurate with employees performing an equivalent level of work. Program Manager/Division Chiefs will make the recommendation to the Director/Deputy Chief of Staff/CONUS Subordinate Commander/POPM that will be the approving official for any decrease in salary.

2. Employee's salary may also increase. This increase is discretionary and based on such factors as, availability of candidates, reassignment from non-supervisory to supervisory position, location of position, required skills level, or other relevant business or performance-based considerations. A base salary increase of up to a 5 percent maximum requires approval from the Director/Deputy Chief of Staff/CONUS Subordinate Commander/POPM.

3. There are no limits to the number of times an employee may be reassigned. However, an employee may only receive up to a total of 5 percent cumulative increase to base salary as the result of a voluntary non-competitive action (excluding promotions) in a 12-month period. The increase shall be calculated as a percentage of the employee's base salary at the time the increase takes effect. More than one non-competitive reassignment per employee in a calendar year requires approval from the Chief of Staff/Director of Technical Services/OCONUS Subordinate Commander/POPM.

Examples—

1. Employee A reassigns on 1 January and receives a 5 percent increase to base salary. Employee A is not eligible for another base-salary increase resulting from reassignment or reduction in band for 12 months from the effective date of this reassignment.
2. Employee reassigns on 1 January and receives a 2 percent increase in base salary. If Employee A reassigns again (or accepts a voluntary reduction in band) within a 12-month period from the effective date of the first reassignment, he/she is eligible for another base-salary increase of up to 3 percent (for a total of 5 percent in a 12-month period).

B. MANAGEMENT-DIRECTED REASSIGNMENT. The DOD 1400.25-M, SC1930.10.4.2. (reference 3a) governs management-directed reassignments.

1. When management reassigns an employee within his/her current pay band or to a comparable pay band, the pay may be set no less than the employee's current salary and may increase the employee's current base salary by up to 5 percent maximum. If the move is to a more complex assignment, the Director/Deputy Chief of Staff/CONUS Subordinate Commander/POPM may approve a one time increase up to a maximum of 5 percent. More than one reassignment per employee in a calendar year requires approval from the Chief of

Staff/Director of Technical Services/OCONUS Subordinate Commander/POPM. This increase is discretionary and consistent with merit systems principles.

2. If the employee's current base salary exceeds the maximum of the new pay band, no increase shall be provided, and the employee's rate shall be converted to a retained rate as provided in SC1930.11.1.13 (reference 3a).

3. There are no limits to the number of times an employee may be reassigned by management, and the employee is eligible for the 5 percent increase with each reassignment with the approval of the Chief of Staff/Director of Technical Services/OCONUS Subordinate Commander/POPM. Any increase associated with a management-directed reassignment does not count toward the 12-month limitation described above.

C. INVOLUNTARY REASSIGNMENT. The DOD 1400.25-M, SC1930.10.4.3 (reference 3a) and the following govern pay reductions as a result of adverse actions:

1. When an employee is involuntarily reassigned to a comparable pay band through adverse-action procedures (as a result of poor performance and/or misconduct), the employee's base salary may be reduced up to 10 percent. The Director/Deputy Chief of Staff/Subordinate Commander/POPM has the authority to authorize this reduction based on the pertinent facts surrounding the particular situation.

2. The reduction may not cause an employee's base salary to fall below the minimum rate of the employee's assigned pay band.

3. An employee's base salary may not be reduced more than once in a 12-month period based on unacceptable performance, conduct, or both.

4. An employee's base salary may not increase.

D. TEMPORARY REASSIGNMENT. The DOD 1400.25-M, SC1930.10.4.4 (reference 3a) governs temporary reassignments.

1. Employees receiving an increase in base salary upon temporary reassignment must receive advanced written notice of the conditions of the time-limited reassignment including the time limit of the reassignment and the reason for a time limit. The employee must also receive written notice that he/she may be returned at any time to the position from which temporarily reassigned or to a different position of equivalent base salary received prior to the temporary reassignment, and that the decrease in pay is not subject to reduction-in-force and adverse-action procedures. When a temporary reassignment with an increase in pay is effective and management is unable to give advance notice to the employee, it must provide the notice as soon as possible after the temporary assignment is made.

2. The Director/Deputy Chief of Staff/CONUS Subordinate Commander/POPM will approve any increase to employee's base salary in connection with a management-directed reassignment up to a maximum of 5 percent if factors dictate the necessity for such an adjustment. Such factors may include availability of candidates, reassignment from non-supervisory to a supervisory position, location of position, required skills level, or other relevant business or performance-based considerations. More than one reassignment of an employee in a calendar year must be approved by the Chief of Staff/Deputy for Technical Services/OCONUS Subordinate Commander/POPM.

3. Upon expiration or termination of a temporary reassignment that resulted in a pay increase, the employee's pay shall be set at the same rate the employee received prior to the temporary reassignment, with appropriate adjustments for pay increases (such as, rate range increases, performance payouts) that occurred during the time the employee was assigned to the new position, as applicable.

Example—

An employee is temporarily reassigned from YA-2 to YC-2 and receives a 3 percent increase. While on temporary reassignment, the employee goes through a performance cycle and receives a performance payout that results in a 2 percent increase to base salary. When the employee's temporary reassignment ends, the employee's base salary shall be returned to his/her base salary prior to the temporary reassignment and shall then be recalculated to include the 2 percent increase received during the payout cycle (calculated from the employee's base salary in the permanent position). The employee would also be entitled to an additional increase if the minimum of the rate range for YA-2 increased while the employee was on a temporary promotion.

VIII. SETTING PAY UPON PROMOTION. The DOD 1400.25-M, SC1930.10.5 (reference 3a) and the following govern setting pay upon promotion:

A. A promotion occurs when an employee moves to a higher pay band, either within or across varying pay schedules and career groups regardless of the specific earning potential of the band, on either a temporary or permanent basis.

B. Except as provided in SC1930.10.5.5. and SC1930.10.5.6 (reference 3a), upon promotion, the employee's pay shall be increased by a minimum of 6 percent but may not be lower than the minimum rate or higher than the maximum rate of the new pay band.

C. In determining the appropriate amount of the promotion increase, the following factors should be taken into consideration, as appropriate:

1. Difficulty in filling the position.
2. Remote location.
3. The employee's past and anticipated performance and contributions.
4. Movement from an entry level/developmental band to a full-performance band.
5. The labor market conditions, including the labor market rates for similar types of employees at the same level represented by the pay band to which the employee is being promoted.
6. The base-salary rates paid to other employees with greater experience at the higher pay band.
7. The long-term costs of the promotion increase and the resulting multi-year budget implications.

D. If action is considered a promotion, an increase in base salary of a minimum 6 percent is automatically granted. Where factors, such as difficulty in filling the position, superior qualifications, remote location, or contribution to mission, warrant increases beyond the limitation described above, requests may be made to increase the salary above the 6 percent. Compelling considerations to support a greater increase may be appropriate when an employee is being promoted from an entry/developmental band to a full-performance band, and the greater increase is necessary to pay the employee a rate that is competitive in the labor market, given the employee's duties and responsibilities, competencies, and anticipated performance. Directors/

Deputy Chiefs of Staff/CONUS Subordinate Commanders/POPM will approve an increase above the 6 percent to 15 percent. The Chief of Staff/Deputy for Technical Services/OCONUS Subordinate Commanders/POPM will approve more than 15 percent to 20 percent increases.

1. TEMPORARY PROMOTION. The DOD 1400.25-M, SC1930.10.5.5 (reference 3a) and the following governs temporary promotions:

A. If an employee's temporary promotion is made permanent without a break in service, according to SC1930.10.5.5, no additional increase may be provided since increase was given upon entry of temporary promotion.

B. The NSPS employees, who are temporarily promoted, must receive advance written notice of the conditions of the time-limited promotion including the time limit of the promotion; the reason for a time limit; the requirement for competition for promotion beyond 180 days, where applicable; and that the employee may be returned at any time to the position from which temporarily promoted or to a different position of equivalent base salary received prior to the temporary promotion. The decrease in pay is not subject to reduction-in-force or adverse-action procedures. When a temporary promotion is effective and management is unable to give advance notice to the employee, it must provide the notice as soon as possible after the temporary promotion is made.

C. Upon expiration or termination of a temporary promotion, the employee's base salary shall be set at the same rate the employee received prior to the temporary promotion, with appropriate adjustments for pay increases (such as, rate-range increases, performance payout) that occurred during the time the employee was assigned to the new position, as applicable.

Example—

An employee is temporarily promoted from a YA-2 to YA-3 and receives a 6 percent increase. While on temporary promotion, the employee goes through a performance cycle and receives a performance payout that results in a 2 percent increase to base salary. When the employee's temporary promotion ends, the employee's base salary shall be returned to his/her base salary prior to the temporary promotion and shall then be calculated to include the 2 percent increase received during the payout cycle (calculated from the employee's base salary in the lower pay band). The employee would also be entitled to an additional increase if the minimum of the rate range for YA-2 increased while the employee was on a temporary promotion.

D. An increase in base salary of a minimum 6 percent is automatically granted. Where factors, such as difficulty in filling the position, superior qualifications, remote location, or contribution to mission, warrant increases beyond the limitation described above, requests will be made to increase the salary above the 6 percent. Directors/Deputy Chiefs of Staff/CONUS Subordinate Commanders will approve an increase above 6 percent to 15 percent. The Chief of Staff/Deputy for Technical Services/OCONUS Subordinate Commander/POPM will approve more than 15 percent up to 20 percent increases. Any increase higher than the minimum 6 percent permitted will be based on specific factors that warrant such an increase. Such factors may include—

- (1) Difficulty in filling the position.
- (2) Superior skills/qualifications.
- (3) Remote location.
- (4) Greater expected contribution to the mission, etc.

2. REDUCTION IN BAND—VOLUNTARY. The DOD 1400.25-M, SC1930.10.6 (reference 3a) and the following describe how pay is set when an employee moves, voluntarily or involuntarily, to a position in a lower pay band:

A. A reduction in band occurs when an employee moves, voluntarily or involuntarily, to a position in a lower pay band. In NSPS, employees may be eligible for an increase to base salary upon reduction in band as described below. An employee who is reduced in band through reduction-in-force procedures or by placement through the DOD Priority Placement Program or Reemployment Priority List is not eligible for an increase to base salary (except to set the employee's base salary at the minimum rate of the new pay band).

B. The Chief of Staff/Director of Technical Services/OCONUS Subordinate Commander/POPM will approve any increase to base salary up to a maximum of 5 percent. Any exceptions to the limitation must be approved by the EXPBAC. Pay must be set within the employee's assigned pay band.

C. The salary may also be decreased to an amount agreed to by the employee as long as his/her salary does not drop below the minimum of the assigned pay band. Directors/Deputy Chief of Staff/CONUS Subordinate Commander/POPM will approve any decrease in salary.

D. There are no limits to the number of times an employee may be voluntarily reduced in band; however, an employee may only receive up to a total of 5 percent cumulative

increase to base salary as the result of a voluntary non-competitive action (excluding promotions) in a 12-month period. More than one move per 12-month period requires Chief of Staff/Director of Technical Services/OCONUS Subordinate Commander/POPM approval.

Examples—

1. Employee A voluntarily takes a reduction in band on 1 January and receives a 5 percent increase to base salary. The employee is not eligible for another base salary increase resulting from reduction in band or reassignment for 12 months from the effective date of this reduction in band.
2. Employee B voluntarily takes a reduction in band on 1 January and receives a 2 percent increase to base salary. If the employee voluntarily accepts another reduction in band (or voluntarily reassigns) again within a 12-month period from the effective date of the reduction in band, he/she is eligible for another base salary increase of up to 3 percent (for a total of 5 percent in the 12-month period).

3. REDUCTION IN BAND—INVOLUNTARY.

A. When an employee is involuntarily moved to a lower pay band through adverse-action procedures (as a result of poor performance and/or misconduct), the Director/Deputy Chief of Staff/CONUS Subordinate Commander/POPM may reduce the employee's base salary by up to 10 percent.

B. The reduction may not cause an employee's base salary to fall below the minimum rate of the employee's new pay band or exceed 10 percent unless a larger reduction is needed to place the employee at the maximum rate of the lower band.

C. An employee's annual pay may not be reduced more than once in a 12-month period based on unacceptable performance, conduct, or both.

D. An employee's base salary may not increase under this section.

IX. MOVEMENT FROM NSPS TO OTHER PAY SYSTEMS (SUCH AS, GENERAL SERVICE, WAGE GRADE). The pay-setting rules and local policies that apply to the gaining system will be used to set the pay rate.

X. EMPLOYEES WITH STATUTORY RETURN OR REEMPLOYMENT RIGHTS TO A POSITION CONVERTED TO NSPS DURING THEIR ABSENCE.

A. An employee who is placed in an NSPS position after exercising statutory return rights or reemployment rights will have his/her base salary set at a rate that is not less than the rate he/she would have been entitled to had he/she not left the position.

B. The determination of base salary shall include any performance-pay increase paid.

C. Any GS employee shall also be entitled to the within-grade increase (WIGI) buy-in.

XI. INTERNS/DEVELOPMENTAL POSITIONS. This refers to intern/developmental employees in local intern programs, upward mobility programs, developmental programs, formal training programs, and formal centralized training programs in all career groups. (See reference7.)

A. INTERN POSITIONS. All interns will be converted or placed in Pay Band 1 in their respective Career Group based on Appendix 4 to SC1920, Guide to NSPS Occupational Definitions, Codes, and Titles (reference 3b). Employees are assigned work designed to provide the competencies, skills, and experience that will prepare them to perform work at Pay-Band Level 2 (full performance/journey level).

B. PAY-SETTING FACTORS FOR INTERNS. Pay should be set using the existing GS-grade equivalent plus-up to 30 percent using the following factors:

1. Education and grade-point average.
2. Directly related work experience.
3. Qualifications of the individual.
4. Labor market.
5. Scarcity of candidates.
6. Organizational need.
7. Career program requirements.
8. Fiscal accountability.

9. Other job offers the candidate may have received.

10. Future earning potential as the employee is moved through the pay band.

C. ACCELERATED COMPENSATION FOR DEVELOPMENTAL POSITIONS. The Accelerated Compensation for Developmental Positions (ACDP) may be awarded to an intern/developmental employee to recognize that the employee has acquired the set of predefined job-related competencies through training or on-the-job experience as identified in the employee's Individual Development Plan (IDP) and has met performance expectations.

1. The ACDP payment is in addition to the annual performance payout. The manager may recommend an ACDP every 6 months during the appraisal period or in conjunction with the annual pay pool performance payout.

2. The ACDP may be used to provide an increase to employee's base salary, a bonus, or a combination of these. Generally, ACDP increases will be no more than 20 percent per year.

3. Use of ACDP provisions while under Pay Band 1 may be used. The amount of the payment is intended to ensure that a measured progression through Pay Band 1 to the journey level (or full performance level) is achieved, so payments may vary through the developmental period. All pay decisions will be fully documented on the ACDP checklist (see Appendix D) and made a matter of record. Supervisors must document in writing whether the employee has met the IDP/Performance Plan (see paragraph V.B.1. for more information on Performance Plans).

4. A copy of the checklist will be sent to DCSR document the approved salary for the employee. The checklist will also be maintained by the supervisor.

5. The appropriate Director/Deputy Chief of Staff/CONUS Subordinate Commander/POPM must approve increases to base salary made under the ACDP provisions.

6. Calculation of the final promotion to the target pay band is determined using the promotion approval levels in VIII.D.

XII. FUNCTIONAL/DEVELOPMENTAL POSITIONS—Formerly ONE-GRADE INTERVAL POSITIONS.

A. HIRE POST-CONVERSION—TECHNICIAN/SUPPORT PAY BAND.

1. Initial salary should be set at the lowest level of band necessary to attract candidates with requisite skills.

2. Salary increases within the band are limited to 5 percent and are approved by the Director/Deputy Chief of Staff/CONUS Subordinate Commander/POPM.

B. PROMOTION. For promotion to a target grade at a higher band, employees may receive an increase subject to the limitations imposed for promotions to a higher band.

XIII. THE USACHPPM PAY BAND CONTROL POINTS.

A. MANAGING COMPENSATION AND SALARY PROGRESSION.

1. Control points are a tool for managing compensation and salary progression within a pay band. These control points allow more flexibility in pay setting than the legacy system. Control points will also limit the amount of a performance payout that goes to salary, the same impact as being at the top of the pay band. The use of control points must be consistent with merit system principles and shall be applied consistently to similar positions in the same pay band and career group within a pay pool. The Control Points Chart at Appendix E illustrates the market ranges with the established control points. Control Points will be used throughout the year for controlling existing employee's salaries and setting pay for new hires, as well as in the Pay Pool process.

2. During the rating period when an employee's salary reaches a control point (within six percent), the immediate supervisor may request that the employee be allowed to exceed the salary of the control point. This determination is made by different factors such as, looking at other employees in the same area in the same series, additional duties and level of difficulty in the duties of the positions. The level of performance that the employee has in the position, e.g., performance ratings, should also be considered. The rating of record must be at a minimum a Level 3, Valued Performer. The supervisor makes a request to the next level of supervision. The appropriate Director/Deputy Chief of Staff/CONUS Commander will review and approve/disapprove. If approved, the request is sent to the EXPBAC for approval/disapproval. The request will be reviewed by the EXPBAC, and a determination will be made whether the employee's salary should progress beyond that point. If approved, the EXPBAC will determine if the increase is processed immediately or during the next annual Pay

Pool Process. If approved to be used in the Pay Pool Process, the employee will be allowed to exceed the control point at that time. All requests will use Appendix E-2, Request for Exceeding Control Point Checklist, when requesting and documenting the rationale for allowing the salary to go beyond the control point. All requests must be approved by the PBAC NLT 30 September in order to be considered for that year's annual payout.

B. MARKET RANGES. The Control Points Chart at Appendix E illustrates the market ranges with the established control points.

EXAMPLES—

1. A non-supervisory YD-02 Environmental Engineer earning \$75,025 (equivalent to a GS-12 step 10) is being reassigned to a supervisory YF-02 Environmental Engineer. The supervisor wants to increase the employee's basic salary by 5 percent (\$78,776). Since the control point is set at \$83,378, this increase does not exceed the control point and can be approved.
2. A YD-03 Toxicologist earning \$105,211 is recommended for a 5% salary increase (\$110,471). The control point is set at \$109,611. Since the recommended increase will advance the employee's salary beyond the control point, the employee may only receive a salary increase up to the control point unless the increase is approved by the EXPBAC.

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PART 2

PAY POOL BUSINESS RULES

- I. REFERENCES.** See Appendix A for all reference information.
- II. PURPOSE.** This document provides the Pay Pool Business rules that will be in effect throughout USACHPPM during the rating cycle of 01 October 2007–30 September 2008. Annual revisions will be incorporated each year based on lessons learned from the previous rating cycle.
- III. BACKGROUND.** The output from each Pay Pool Panel is the final recommendation of ratings, number of shares, and distribution of performance payouts between salary increases and bonuses for the members of that pay pool. The Pay Pool Manager makes decisions regarding the Pay Pool Panel's final recommendation, certifies ratings, and payouts. The Performance Review Authority (PRA) Advisory Committee provides advice and assistance to the PRA. The PRA provides oversight over all the USACHPPM Pay Pool Managers and provides dispute resolution, if required. The overarching principle is the fair and equitable treatment of all USACHPPM employees in distinguishing among and rewarding levels of performance. All information regarding the ratings, payout data, etc., is confidential and not to be released without the authorization of the proper officials.
- IV. STRUCTURE AND COMPOSITION OF PAY POOLS AND PAY POOL PANELS.**
- A. THE USACHPPM PAY POOLS.**
1. **DEFINITION AND PURPOSE.** Pay Pools are groups of employees who work in an organization and share funding for performance payouts. The USACHPPM Pay Pools were established according to organizational structure, considering business needs, and in compliance with merit system principles according to DOD 1400.25-M, SC 1940.11.1.1 (reference 3d).
2. **COMPOSITION.** According to the Army NSPS Conversion Guidance (reference 8), MACOMs have the discretion to design Pay Pools that meet their needs. Thus, USACHPPM has established the following Pay Pools:
- A. PAY POOL #1.** Consists of employees working for the Special Staff, Deputy Chief of Staff for Information Management (DCSIM), Deputy Chief of Staff for Logistics (DCSLOG), Deputy Chief of Staff for Operations (DCSOPS), Deputy Chief of Staff for Communications (DCSCOM), DCSR, and certain Subordinate Command administrative personnel located in USACHPPM–Europe; USACHPPM–North; USACHPPM–Pacific; USACHPPM–South; and USACHPPM–West.
- B. PAY POOL #2.** Consists of employees working for the Directorate of Environmental Health Engineering (DEHE), Directorate of Health Risk Management (DHRM), and environmental

personnel located in USACHPPM–Europe, USACHPPM–North, USACHPPM–Pacific, USACHPPM–South, USACHPPM–West.

C. PAY POOL #3. Consists of employees working for the Directorate of Epidemiology and Disease Surveillance (DEDS), Directorate of Health Promotion and Wellness (DHPW), Directorate of Occupational and Environmental Medicine (DOEM), Directorate of Occupational Health Sciences (DOHS), and industrial hygiene/entomology/medical personnel in USACHPPM–Europe, USACHPPM–North, USACHPPM–Pacific, USACHPPM–South, USACHPPM–West, the POPM–National Capitol Region, POPM–Aberdeen Proving Ground, MD, POPM–San Antonio, Texas; and the Armed Forces Health Surveillance Center (AFHSC)–Washington, DC.

D. PAY POOL #4. Consists of employees working for Directorate of Laboratory Sciences (DLS), Directorate of Toxicology (DToX), and laboratory personnel, except for laboratory personnel supporting entomology functions in USACHPPM–Europe and USACHPPM–Pacific.

E. PAY POOL #5. Consists of all civilian supervisors at USACHPPM–Headquarters and the Subordinate Commands.

3. EMPLOYEE NOTIFICATION OF PAY POOL MEMBERS. According to DOD 1400.25-M, SC1940.11.2.1.3 (reference 3e), employees will be notified of the composition of the pay pool “preferably within the first 90 days of the appraisal period but not less than 90 days prior to the end of the appraisal period.”

B. USACHPPM PAY POOL PANELS.

1. EMPLOYEE NOTIFICATION. Employees will be notified of the roles and responsibilities, identity or membership, composition and policies of the PRA, Pay Pool Managers, Pay Pool Panels, and Pay Pools, preferably within the first 90 days of the appraisal period but not less than 90 days prior to the end of the appraisal period (DOD 1400.25 M, SC1940.11.2.1.2 (reference 3f).

2. DEFINITION AND PURPOSE. Pay Pool Panels are groups of rating officials/supervisors, higher-level reviewers/managers, or their representatives that review employee evaluations within the pay pool to ensure that standards for evaluating performance are applied uniformly and that performance payouts are consistent with the ratings. These employees are representatives to their respective Pay Pools and are selected by the Chief of Staff, Deputy Chiefs of Staff, Directors, or Subordinate Commanders to represent the activity. Representatives may also be individuals who are substituting for a Pay Pool Panel Member in the event of an emergency or unforeseen absence.

3. DESIGNATION OF PAY POOL PANEL MEMBERS. Pay Pool Managers compile, by name, a list of Pay Pool Panel members, no later than the first half of each rating cycle. If designated Pay Pool Panel members become unavailable at any time (such as, job change, permanent change-of-station, or

deployment), a replacement will be promptly designated, and Pay Pool Managers will notify affected employees.

4. COMPOSITION. The USACHPPM Pay Pool Panels consist of the following members:

A. PAY POOL #1. Special Staff representative; DCSR representative, DCSIM representative, DCSOPS representative, DCSLOG representative, DCSCOM representative and Subordinate Command representatives.

B. PAY POOL #2. The DEHE representative, DHRM representative, and Subordinate Command representative.

C. PAY POOL #3. The DOHS representative, DHPW representative, DEDS representative, DOEM representative, and Subordinate Command/POPM/AFHSC representatives.

d. PAY POOL #4. The DLS representative, DTOX representative, Subordinate Command representatives.

E. PAY POOL #5. Commanders—USACHPPM—North, USACHPPM—South, CHPPM—Europe, USACHPPM—Pacific or representatives, USACHPPM—West; Chief of Staff or representative; Directorate of Technical Services representative; and at least one non-supervisory senior employee. The non-supervisory senior employee will be appointed by the Pay Pool Manager. The senior employee may rotate annually.

5. PAY POOL PANEL MEMBER TEAM. Membership on the Pay Pool Panel is an annual, renewable position.

C. THE USACHPPM PAY POOL MANAGERS.

1. DEFINITION. Pay Pool Managers are senior civilians or military officers selected from their respective Pay Pools.

A. The PRA selects the Pay Pool Managers.

B. The positions may be rotated, as needed.

2. COMPOSITION. For the rating period of 2008, the Pay Pool Managers are—

A. Pay Pool #1: The DCSIM representative.

B. Pay Pool #2: The DEHE representative.

C. Pay Pool #3: The DOHS representative.

D. Pay Pool #4: The DLS representative.

E. Pay Pool #5: The Scientific Advisor.

D. THE USACHPPM PERFORMANCE REVIEW AUTHORITY ADVISORY COMMITTEE.

1. DEFINITION. The PRA Advisory Committee provides advice and assistance to the PRA. The Center's PRA is the Commanding General.

2. COMPOSITION. The PRA Advisory Committee consists of the Deputy for Technical Services; the Chief of Staff; Commander, USACHPPM–Europe; Commander, USACHPPM–Pacific; Proponent for Preventive Medicine, the Deputy Chief of Staff for Resource Management, and the Pay Pool Managers. Individual PRA Advisory Committee members will recuse themselves when their personal rating is subject to review.

E. THE USACHPPM PERFORMANCE REVIEW AUTHORITY. The PRA oversees the annual pay pool operations and outcomes to ensure procedural and funding consistency among all five Pay Pools.

V. **ROLES AND RESPONSIBILITIES.** The roles and responsibilities for each member of pay pool are summarized in Appendix F.

A. EMPLOYEES.

1. Assist the rater and provide input into the development of their objectives.

2. Keep track of their accomplishments throughout the rating cycle.

3. Prepare a self-assessment in preparation for the interim review.

4. Prepare an annual self-assessment addressing their accomplishments and the results/outcomes, as related to their individual job objectives. Annual self-assessments are due within 7 working days of the end of the rating cycle. It is to the employee's advantage to organize and link their contributions to each individual objective. This provides the rater, higher-level reviewer, pay pool panel and pay pool manager a clear understanding of individual accomplishments and impact to the mission.

5. Training requirements are subject to change at any time. Currently new employees should complete NSPS 101 and *iSuccess* online training (<http://www.cpms.osd.nspis/training.html>) within the first 14 days of being hired and discuss NSPS with their immediate supervisors.

B. RATING OFFICIALS/SUPERVISORS.

1. Establish employee Performance Plans. Performance Plans will include job objectives that are specific, measurable, aligned, relevant/realistic, and timed (SMART); achievable; appropriate to the employee's salary within the pay band; and equitable.
2. Assure that contributing factors are not used in the rating process except for the mandatory supervisory objective. The contributing factor of Leadership must be used with the mandatory supervisor objective. Performance plans may not include any contributing factors for non-supervisory positions. The floor for the weighting of the mandatory supervisory objective will be twenty five percent, but may be more.
3. Conduct formal performance-related discussions at the beginning, midpoint, and end of each rating period and at any other time the need arises.
4. Make appropriate revisions, as needed, to individual job objectives.
5. Document employee performance regularly in order to aid in the writing of effective appraisals and make well-reasoned and supportable decisions about performance ratings. Supporting documentation may be requested for review during the pay pool process.
6. Prepare timely, written performance appraisals that assess the employee's attainment of job objectives. Rating officials are required to begin each objective rating assessment with, "I concur with the employee's assessment" or "I nonconcur with the employee assessment", and further document their performance.
7. Ensure employee performance and accomplishments are properly addressed in accordance with NSPS requirements and that meaningful distinctions are made between employees' performance based on the outcomes of their accomplishments in relation to over organizational goals.
8. Modify final appraisal information in the performance appraisal tool when directed by the Pay Pool Manager.
9. If the Commander is the Rating Official, he/she may also serve as higher-level reviewer for those he rates.
10. Prior to rating civilian employees, rating officials/supervisors must complete the classroom training: HR Elements/Performance Management for Supervisors.
11. Document positive aspects of the employee's support of Army Values on Department of Defense (DD) Form 2906, Part Q, For Component Use Only (Bullet Comment). Adherence to Army values enhances and complements performance. These bullet comments are not intended to

replace performance objectives, no numerical rating scores will be assigned to the Values, and they are not used to determine the performance rating. Raters should use the Army Values block of the performance management form as a tool for positive comments.

11. Communicate the final rating of record, share assignments, and payout distributions awarded to the employee after the Pay Pool Manager's approval and prior to payout.

C. HIGHER-LEVEL REVIEWERS.

1. Higher-level reviewers are individuals, normally within the employee's supervisory chain of command, who are at a higher level in the organization than the rating official/supervisor (the second-level reviewer).

2. Higher-level reviewers will be involved in the performance management process throughout the rating period. Where feasible, higher-level reviewers are incorporated into the Pay Pool Panel rating/payout deliberation process as panel members and/or as participants in a discussion involving the higher-level reviewer and his/her subordinate rating officials. Higher-level reviewers rely on their subordinate rating officials to bring Pay Pool concerns to their attention as Pay Pool time constraints do not permit direct contact. Specifically, higher-level reviewers will—

A. Ensure that organizational goals and objectives are communicated to all employees and rating officials/supervisors at the beginning of their review.

B. Assess and review individual contributions to overall mission accomplishment.

C. Maintain awareness of performance plans and so indicate by approving the plan at the beginning of each rating cycle and official interim review(s).

D. Confer with subordinate rating officials, and review recommended ratings of record prior to submission to the Pay Pool Panel.

E. Assure equitable and consistent application of, and compliance with, rating requirements by all subordinate rating officials.

F. Resolve disagreements between rating officials/supervisors and employees. Higher Level Reviewers have overall approval authority regarding objectives and recommended rating of record.

G. Provide bullet comments on DD Form 2906, Part Q (bottom block below the Army Values information supplied by the rater), concerning the employee's overall performance and the employee's potential to perform different and/or higher level work.

H. Prior to rating civilian employees, all rating officials/supervisors must meet all mandatory rating official qualification requirements prior to executing performance evaluation responsibilities which includes completing the classroom training: HR Elements/ Performance Management for Supervisors

D. PAY POOL PANEL MEMBERS.

1. Reconcile the ratings and share distributions by completing preliminary reviews of appraisals, performance indicators, and the mandatory contributing factor of Leadership for supervisory positions.
2. Review recommended ratings of record and recommend adjustments, which in the panel's view would result in equity and consistency across the pay pool. Pay Pool members will recuse themselves when their appraisal or the appraisals of those they (as first line supervisors) rate are discussed by the Panel.
3. Request Pay Pool Manager contact rating officials and/or higher-level reviewers, as needed, for additional information or clarification.
4. Sign confidentiality and non-disclosure agreement regarding the deliberations and panel discussions.
5. Abide by the standards of conduct and ethics outlined in DOD 1400.25-M, SC1940.4.3.
6. Prior to serving, Pay Pool Panel members must complete the NSPS Pay Pool Management Course. Certification of completion of this course is retained by the Pay Pool Manager.

E. PAY POOL MANAGERS.

1. Responsible for the reconciliation, effective operation of the Pay Pool, distribution of the funds consistent with DOD, Army, and USACHPPM policies.

NOTE. Pay Pool Managers shall not participate in payout deliberations or decisions that directly impact his/her own performance assessment or payout (reference 3g).

2. Convene the Pay Pool Panel within the first half of the rating period to review job objectives to determine if they are appropriately written (such as, according to the SMART criteria, appropriate for the placement within the pay band).
3. Ensure that rating and reviewing officials and Pay Pool Panel Members have received required training, issue rating official certifications, and maintain appropriate certification records.

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4. Distribute, collect, and maintain Pay Pool Members' executed confidentiality and non-disclosure agreements.
 5. Sign confidentiality and non-disclosure agreement regarding the deliberations and panel discussions.
 6. Ensure pay pool is conducted according to established policies and procedures.
 7. Chair Pay Pool Panel, and attend all Pay Pool Panel meetings.
 8. Render final decisions on ratings and payout distribution.
 9. Communicate with the rating official/supervisor when recommended ratings of record or payout distributions are changed by the Pay Pool Panel with the Pay Pool Manager's approval. Provide the rating official/supervisor an opportunity to provide further justification before the change becomes final.
 10. Address employees' request for administrative reconsideration of the rating of record.
 11. Utilize a Pay Pool Administrator to provide administrative support and document panel decisions.
 12. Prior to serving, complete the NSPS Pay Pool Management course in addition to the NSPS HR Elements/Performance Management for Supervisors training. A copy of the course completion certificate must be provided to the higher-level Pay Pool Manager (for sub-Pay Pools) or the PRA for documentation and recording (reference 7).
 13. Authorize in writing that each rating official and Pay Pool Panel Member in his/her Pay Pool meets the initial and continued Army qualification/certification requirements. A copy of the certification is provided to the rating official, DCSRMD HRMD and the servicing Civilian Personnel Advisory Center (CPAC). The Pay Pool Manager may withdraw certification, for the following reasons and/or as determined by the PRA Chair:
 - A. Failure of a rating official to set performance expectations for assigned employees in compliance with local pay pool policies and procedures.
 - B. Failure of a rating official to conduct appropriate mid-cycle performance reviews with assigned employees.
 - C. Failure of a rating official to distinguish levels of performance for assigned employees in documentation provided to pay pool for review during annual review process.

D. Failure to complete required training.

E. Other reasons appropriate to compliance with NSPS performance management rules, regulations, implementing issuances, or to the effective management of performance under NSPS.

14. Responsible for sending a notice to employees of the Pay Pool (preferably within the first 90 days of the appraisal period but not less than 90 days prior to the end of the appraisal cycle) including the following information:

A. Roles and responsibilities and the identity of the PRA, the Pay Pool Manager, and the Pay Pool Panel.

B. Pay Pool composition (Directorates or groups that describe the makeup of the pay pool).

C. General Pay Pool policy or information.

D. Factors that may be considered in making share assignments and allocations between base salary and bonus.

F. PAY POOL ADMINISTRATOR.

1. Assist the Pay Pool Manager, as needed, before, during, and after the Pay Pool Panel meetings.

2. Maintain the Pay Pool identifier, Pay Pool roles, and Pay Pool membership in the Manage Pay Pool Identifier Application tool.

3. Receive, store, and secure background information needed by the Pay Pool Panel.

4. Manage the Compensation Workbench Application tool to input information regarding Pay Pool Panel meetings, and maintain a spreadsheet during panel meetings to record and track changes for subsequent notification to rating officials.

5. Prepare lessons-learned reports, as needed, before, during, and after the Pay Pool Panel meetings.

6. Execute a confidentiality and non-disclosure agreement.

7. Prior to serving, complete NSPS 101, *iSuccess* online training and NSPS Pay Pool training; must stay informed and up-to-date on NSPS regulations and policies.

G. HUMAN RESOURCE CONSULTANTS.

1. Serve as human resource advisors to the Pay Pool Panels, Pay Pool Managers, and PRA before, during and after the process.
2. Provide regulatory guidance to the members on the procedures and operation of the Pay Pool process.
3. Serve to facilitate the meeting process by serving as an assistant to the Pay Pool Managers for the operation of the Pay Pool.
4. Assist the Pay Pool Managers with any reports or information needed during the Pay Pool Process.
5. Provide the PRA with any consolidated reports, metrics, or information regarding the results of the Pay Pool Managers in order to ensure equity and fairness across Pay Pool lines.
6. Coordinate with DCSIM to establish Microsoft® SharePoint® sites. (Microsoft® and SharePoint® are registered trademarks of the U.S. Microsoft Corp. in the U.S. and other countries.)

H. PERFORMANCE REVIEW AUTHORITY ADVISORY COMMITTEE.

1. Provides advice and assistance to the PRA.
2. Reviews Pay Pool Managers' final decisions to ensure equitable procedural and funding consistency across all five Pay Pools by reviewing the metrics of each pay pool panel, then comparing them across the organization.
3. May not participate in payout deliberations or decisions that directly impact their own performance assessment or payout (see SC1930.9.3, reference 3h).
4. Prior to serving, PRA Advisory Committee members must complete the HR Elements/Performance Management for Supervisors and NSPS Pay Pool training.

I. PERFORMANCE REVIEW AUTHORITY. The Commander is the PRA for USACHPPM. Specific responsibilities (reference 3i) will include)—

1. Overseeing Pay Pool and Pay Pool Panel composition according to statutory and regulatory guidelines.
2. Reviewing notices to employees regarding Pay Pool assignments, Pay Pool Managers, and other relevant organizational information.

3. Determining Pay Pool funding percentages for each Pay Pool, monitoring and adjusting as necessary.

4. Authorizing, in writing, that each Pay Pool Manager will meet the Army qualification/certification requirements. A copy of the certification will be provided to the Pay Pool Manager, the DCSRM HRMD, and the servicing CPAC.

5. Prior to serving, completing the Commander's Desk-Side Training as provided by the CPAC.

J. COMMANDER, USACHPPM. The Commander is responsible for ensuring that regulations and guidance are applied to protect civilian employees under his/her chain of command. Specific responsibilities will include—

1. Ensuring fair and consistent application of this document in compliance with governing laws, rules, and regulations.

2. Developing and communicating organizational goals and objectives.

3. Communicating and assuring visibility of Department of the Army values and ethics.

4. Ensuring that employees are informed of their rating chains and rating cycle.

5. Ensuring that all supervisors and employees receive adequate training or orientation concerning the performance appraisal system, including pay-for-performance.

6. Ensuring all performance management functions for their organization are executed within prescribed timelines. (Appendix G).

K. CONFIDENTIALITY AND NON-DISCLOSURE.

1. Pay pool deliberations and discussions are confidential. All persons involved in USACHPPM Pay Pool Panels will sign a confidentiality and non-disclosure agreement and will abide by the standards of conduct and ethics as outlined in the implementing issuances.

2. Final ratings, shares, and distributions of payouts will not be released until final review by the PRA. The Rating Official and Higher-Level Reviewer will not share with employees the recommended rating, share assignments, or payout distributions (reference 4). The Rating Official will only communicate the final rating of record, share assignments, and payout distributions awarded to the employee after the Pay Pool Manager's approval and prior to payout. This communication should also include a discussion of the employee's performance related to that rating, acknowledgement of achievements, areas for improvement, and developmental opportunities.

VI. ASSESSMENTS AND RATINGS. The NSPS Performance Rating and Rewarding Processes are described in a flowchart and table in Appendix H.

A. QUALITY ASSESSMENTS.

1. Employee and supervisor assessments of performance are crucial to the Pay Pool Panel Members when they are reviewing ratings.

A. The assessments should address each job objective individually, should indicate the results achieved, and should show with some degree of detail how the employee's performance fared against the requirements of each job objective, whether positively or negatively. Raters should also indicate as to whether they concur or nonconcur with the employee's assessment of their contribution in the opening statement of the rater assessment. Example: "I concur with the employee's assessment."

B. It is of utmost importance that employees receive an appropriate, fair, and unbiased rating that reflects their performance and contributions. Forced distribution of ratings (that is, setting pre-established limits for the percentage or number of ratings that may be assigned to any level) is prohibited (see SC1940.10.7.2, reference 3j).

2. Rating recommendations reviewed by the Pay Pool Panel must contain sufficient information to justify the rating before a final rating is approved by comparing the contribution to the Performance Indicators of the appropriate pay schedules and any other rating criteria within the objective or defined by the rater. This is especially true for recommended ratings above or below a "3," Rating officials should expect that recommended ratings other than "3" will receive additional scrutiny.

3. Employees may request a payout of 100 percent bonus when preparing their final assessments. This is the only issue that allows a request to be made. Other requests that are made such as, a 100 percent increase to pay or a specific percentage of split between the increase to pay or the bonus, will not be considered. This request is placed on the first line of the employee assessment section of the appraisal, Part O—Employee Self-Assessment for Annual Performance Appraisal. The rating official may also make recommendations to the employee's request at the beginning of the rater's assessment in Part P—Rating Official Assessment for Annual Performance Appraisal. The Pay Pool Manager has the final approval authority.

B. INADEQUATE ASSESSMENTS. If a recommended rating lacks the information needed to justify that rating, efforts will be made by the Pay Pool Manager to resolve the discrepancy as follows:

1. If the assessment clearly does not support the recommended rating, the Pay Pool Manager will request additional information from the rating official or higher level reviewer.

2. If no additional information is provided or the information provided still does not justify the rating, the Pay Pool Panel will recommend an appropriate rating to the Pay Pool Manager. The Pay Pool Manager is the final approval of the official rating of record.

C. END-OF-CYCLE TIMELINES.

1. Key milestone dates (such as, developing/reviewing job objectives, monitoring performance, and conducting interim/final reviews) are included in Appendix H.

2. Because of the limited timeframes for Pay Pool Panel deliberations, deadlines must be strictly followed. This pertains to rating officials' appraisals of their employees, higher-level reviewer functions, and especially to requests from the Pay Pool Manager for additional information pertaining to specific employees.

A. As a general rule, inquiries are sent out from the Pay Pool Manager. If it appears that the rating official made an effort to justify a recommendation but did not provide enough information, the Pay Pool Manager will contact the rating official (and higher level reviewer if necessary) to obtain clarification (that is, more information to support the recommendation or information that indicates that the recommendation was too high or too low). This process will be completed by the Pay Pool Manager sending an email (or a telephone call if email is not available) to the rater with the details that an objective(s) is questionable and needs further explanation. Raters will be given a maximum 24 hour turnaround time to respond to the Pay Pool Manager. This may be extended by the Pay Pool Manager if needed.

B. Dates of pay pool meetings will be known to the rating officials/supervisors and higher-level reviewers in that pay pool so that they can be prepared to answer questions during this period. All raters must make themselves available during this time period. If necessary to be away from the office due to travel or leave, raters will leave a telephone number to contact them for questions that may arise about their ratings. If the rater is not available, the request for information will be sent to the higher-level reviewer.

3. Consistent or deliberate failure to meet deadlines and publicized timeframes by rating officials or higher-level reviewers will be reflected in their next performance rating. For military rating officials and higher-level reviewers, consistent lateness will require chain-of-command notification and, if necessary, removal from the rating chain.

4. Clarifying or supporting information that is received too late for consideration while the Pay Pool Panel is convened may require reconvening the Pay Pool Panel; this will normally be done by phone or e-mail. However, no further changes to ratings, shares, or distributions will be made once the Pay Pool Panel's output has been forwarded by the Pay Pool Manager to the PRA for final decisions.

VII. PAY POOL PANEL MEETINGS.

A. MEETINGS. All Pay Pool Panel meetings will occur face-to-face. However, in the event of budgetary limitations or unavoidable panel member travel schedule conflicts, the PRA can approve such meetings by video teleconference.

B. ROOM REQUIREMENTS. Meeting rooms for the Pay Pool Panels requires the following:

1. Computer and projector with Internet/Defense Civilian Personnel Data System access so the panel can review and work with the automated tool(s).

2. Access to phone and e-mail for purpose of contacting rating officials and reviewers if needed.

3. Privacy (panel deliberations are confidential).

C. PREPARATION FOR MEETINGS. Pay Pool Administrators will—

1. Provide any needed material (such as, copies of reports provided by DCSRM, HRMD) for use before and during the Pay Pool Panel meetings.

2. Coordinate and reserve appropriate meeting rooms for the pay pool panel meetings.

3. Assist the Pay Pool Manager as needed.

D. RECOMMENDED PROCESS.

1. Prior to meeting, Pay Pool Panel members should—

A. Review the appraisal information (that is, employee self-assessment; supervisor assessment; and recommended rating, shares, and payout distribution) for each employee.

B. Identify discrepancies in ratings for Pay Pool Panel review.

2. Employees should be grouped by pay band within their respective Pay Pools (that is, all employees within Pay Band 1 should be assessed together; similarly for those in Pay Band 2 and Pay Band 3).

3. All appraisals will be reviewed by all of the Pay Pool Panel Members unless it is their own particular evaluation or an evaluation that they are the rater of the employee. In this case, the employee must recuse himself/herself from that particular evaluation.

E. PANEL DELIBERATIONS.

1. In assigning, reviewing, or modifying ratings, Pay Pool Panel Members will consider the following:

A. Are recommended ratings consistent with job objectives and the general guidance on payout distribution?

B. Are levels “1” and “2” and levels “4” and “5” ratings appropriate and properly documented?

C. Do level “5” ratings meet “Role Model” criteria (that is, what is the significant impact on organizational goal/mission accomplishment).

D. Are the decisions of the Pay Pool Panel resulting in equity and consistency across the Pay Pool.

2. Panels will also examine the following:

A. Rating official rating patterns (that is, significantly higher or lower than other raters. If such patterns are detected, is there a legitimate reason for this (such as, a very high performing organization)?

B. Comparison of ratings among like jobs (such as, engineers, scientists, budget/program analysts) within the pay pool. Are they reasonable and consistent?

F. CHANGING RATINGS.

1. The Pay Pool Panel may recommend and the Pay Pool Manager may change recommended ratings, number of shares, or payout distribution.

2. The Pay Pool Manager will notify the rating official involved of any changes. The rating official must make any appropriate changes in the Performance Appraisal Application tool to reflect the final rating (such as, change objective and/or adjusted ratings, modify the supervisor assessment) prior to conducting the annual appraisal meeting with the employee or transferring the automated performance appraisal to the employee.

G. RECUSAL. Pay Pool Panel Members and the Pay Pool Manager will recuse themselves when a review of their personal rating is under consideration or the appraisal where they are the rater (first-line supervisor).

H. RECORD KEEPING. Pay Pool Managers are responsible for creating and maintaining records of the deliberations of the Pay Pool Panel Members and Pay Pool Manager, with the assistance of the Pay Pool Administrator.

VIII. CHALLENGING THE RATING OF RECORD.

A. THE ADMINISTRATIVE PROCESS.

1. The administrative process described in the NSPS Implementing Issuances (reference 3k) and the Army guidance (reference 5) will be the sole and exclusive method for all non-bargaining unit employees to challenge their ratings of record.

2. Any adjustment to salary shall be retroactive to the effective dates of the original payout. Decisions made through this process may not result in recalculation of the payout made to other employees in the pay pool.

3. Employees that request a reconsideration of the rating of record will be free from retribution or reprisal.

B. PROCEDURES FOR ADMINISTRATIVE RECONSIDERATION.

1. Within 10 calendar days of receipt of the rating of record, an employee seeking reconsideration of that rating must submit a written request for reconsideration to the Pay Pool Manager with a copy to the rating official, the DCSRMD HRMD and the servicing CPAC. The request may include a request for discussion with the Pay Pool Manager and must include a copy of the rating being challenged, state what change is being requested, and the basis for the change. There must be documentation of the date that the rating of record was communicated to the employee.

2. As long as the Pay Pool Manager determines there is no conflict of interest, the employee may identify another Army employee who has agreed to act as his/her representative to assist in pursuing the reconsideration request.

3. If the employee designates another Army employee as his/her representative, the representative will have a reasonable amount of official time, if otherwise on duty, to prepare the reconsideration request. Supervisors are not obligated to change work schedules, incur overtime wages, or pay travel expenses to facilitate the choice of a specific representative or to allow the employee and representative to confer. If representation conflicts with the official or collateral duties of the

representative, the Pay Pool Manager may, after giving the representative an opportunity to respond, disqualify the representative.

4. The rating official will review a copy of the reconsideration request and address the employee's concern with the Pay Pool Manager.

5. The Pay Pool Manager will confer with the rating official, and if he/she deems appropriate, may conduct further inquiry.

6. The employee may request an opportunity to personally address the Pay Pool Manager. The Pay Pool Manager will decide whether such communication will be accomplished, as well as the date, time, location and method of communication. To the extent possible, such events will be conducted during the working hours of the employee.

7. The Pay Pool Manager must render a written decision within 15 calendar days of the receipt of the employee's written request for reconsideration. The decision must contain a brief explanation of the basis of the decision. A copy of the decision is provided to the employee, the rating official, the DCSRM HRMD, and the servicing CPAC.

8. If the employee is dissatisfied with the Pay Pool Manager's decision, or if none is provided within the prescribed timeframes, the employee may submit a written request for final review by the PRA within 5 calendar days of receipt of the Pay Pool Manager's decision or within 5 calendar days of the date the decision should have been rendered.

9. The PRA will review the request and confer with the Pay Pool Manager or conduct further inquiry as he/she deems appropriate before rendering a written decision to the employee within 15 calendar days of the receipt of the written request from the employee. The PRA may extend up to an additional 15 days maximum if circumstances warrant. The employee must be notified in writing of the extension.

10. The decision of the PRA is final. A copy of the decision will be provided to the employee, the rating official, the Pay Pool Manager, the DCSRM HRMD, and the servicing CPAC.

11. When calculating time limits for the administrative reconsideration procedure, the day of an action or receipt of a document is not counted. The last day of the time limit is counted unless it is a Saturday, a Sunday, a legal holiday, or a day on which the employee is not regularly scheduled to work. In those cases, the last day of the time limit will be moved to the employee's next regularly scheduled work day. All time limits are counted in calendar days.

12. The Pay Pool Manager or PRA may extend the timeframes up to an additional 15 days with notification to the employee. Extensions of timeframes in excess of 15 days may be authorized in extreme situations by mutual agreement between the employee and the Pay Pool Manager.

C. EXCLUSIONS. Employees cannot challenge the following:

1. A performance payout, number of performance shares assigned, value of performance shares, or distribution of payout between increase to base salary and bonus.

2. A recommended rating of record.

3. An interim review.

4. A closeout assessment.

5. An individual objective rating or adjusted rating if the requested remedy shall not result in the recalculation of the rating of record.

D. FAILURE TO COMPLY. Failure to comply with these procedures may result in the Pay Pool Manager issuing a written cancellation of the reconsideration request. A copy of the cancellation will be furnished to the employee, the employee's rating official, DCSRMD HRMD, and the servicing CPAC.

E. EQUAL EMPLOYMENT OPPORTUNITY COMPLAINT PROCESS. Allegations that a performance rating was based on prohibited discrimination (such as, race, color, religion, sex, national origin, age, physical or mental disability, or reprisal) may not be processed through the reconsideration process but must be processed through the Equal Employment Opportunity discrimination complaint process. In addition, allegations that a performance rating was based on prohibited discrimination or retaliation may also be processed through other applicable review processes (e.g., Merit Systems Protection Board, Office of Special Counsel, etc.).

F. ELECTION WHEN DISCRIMINATION IS ALLEGED. Requests for Reconsideration that contain an allegation of prohibited discrimination will not be processed through the Reconsideration Process. Instead, employees will be asked, in writing, to make an election between the following options:

A. Withdraw the allegation of discrimination and continue under the reconsideration process; or

B. Terminate the request for reconsideration and contact an EEO counselor in order to process the complaint through equal opportunity complaint procedures.

F. RECONSIDERATION DECISION DELIVERY. The Pay Pool Manager will establish the means for the service (delivery) of the reconsideration decision. The date of receipt should be the actual date that the employee received the reconsideration decision.

G. RECONSIDERATION FILE. The Pay Pool Manager will create a Reconsideration File, containing all relevant documents and any decision issued by the Pay Pool Manager and/or the PRA, for

each reconsideration request filed under the administrative reconsideration process. The servicing CPAC will retain these files according to Army recordkeeping procedures for 4 years.

IX. SHARES AND PAYOUT DISTRIBUTIONS.

A. PAY POOL FUNDING.

1. The Pay Pool Fund (see SC1930.9.3, reference 3l) has the following elements:

A. ELEMENT 1. Represents base-pay funds that historically were spent on WIGI, quality-step increases, and promotions between GS grades that no longer exist in NSPS.

B. ELEMENT 2. Represents funds (if any) that remain available from the government-wide general pay increase after the Secretary of Defense has exercised his/her authority to fund any rate-range adjustments to pay bands and/or local market supplements.

C. ELEMENT 3. Represents funds historically spent on performance-based cash awards.

2. Each element is expressed as a percentage of the total base salaries of all employees in a pay pool. The elements associated with Elements 1 and 2 are available for increases to base pay or bonuses. The funds associated with Element 3 are available only for bonuses. The Army has delegated the authority to establish funding floors and ceilings to the MACOMs. The USAMEDCOM sets the funding floor and ceiling for Elements 1 and 3. Organizations may supplement any of the elements if funding is available. Funding for Accelerated Compensation for Developmental Positions, Extraordinary Pay Increases, and Organizational/Team Achievement Recognition is separate from the Pay Pool Fund.

B. SHARE DISTRIBUTION AND AWARDS.

1. Performance shares represent an allocation of the Pay Pool Funds.

2. The number of shares awarded for each rating level (“2” to “5”) will be based on where the overall average rating (with the decimal value) of all objectives falls as follows:

TABLE 1. ALLOCATION OF SHARE DISTRIBUTIONS AND AWARDS

Rating of Record	Average Rating	Number of Shares	Eligible to Receive*
5 Role Model	4.76 – 5.00	6 shares	Base Salary Increase, Bonus or Combination
5 Role Model	4.51 – 4.75	5 shares	Base Salary Increase, Bonus, or Combination
4 Exceeds Expectations	4.01 – 4.50	4 shares	Base Salary Increase, Bonus or Combination
4 Exceeds Expectations	3.51 – 4.00	3 shares	Base Salary Increase, Bonus or Combination
3 Valued Performer	3.01 – 3.50	2 shares	Base Salary Increase, Bonus or Combination
3 Valued Performer	2.51 – 3.00	1 share	Base Salary Increase, Bonus or Combination
2 Fair	2.00 – 2.50	0 shares	Rate-Range Adjustments; Local Market Supplement Increases

Note: *Depending on payout distribution criteria.

C. ESTIMATED SHARE VALUE METHODOLOGY. Estimated share values will only be used and communicated within management as a tool for budget and compensation planning purposes. This information may not be communicated with employees in the pay pool.

1. The dollar value of each share is a function of three factors:

- A. Total amount of dollars in the Pay Pool Fund.
- B. Number of shares awarded.
- C. Salary of the employee receiving the fund.

2. Each pay pool’s funds are calculated separately but all use the same percentage values (see Appendix I).

D. MINIMUM PAY-POOL FUNDING LEVEL FOR ELEMENT 1 (BASE PAY INCREASES).

1. The HQDA assigns the USAMEDCOM a Pay Pool funding floor based on the DOD, or if applicable, the Army’s funding floor.

2. The USAMEDCOM certifies that its organizational elements have met the DOD (or Army) minimum funding floor.

E. FUNDING LEVEL FOR ELEMENT 3 (PERFORMANCE-BASED PAY POOL BONUSES).

1. The HQDA delegated authority to USAMEDCOM to establish (or delegate to establish) minimum or maximum funding ranges for performance-based bonuses.
2. The funding for Element 3 is expressed as a percent of base pay.

F. PAYOUT DISTRIBUTION—GENERAL RULES.

1. Ensure that the employee is being appropriately compensated for the level of assigned work.
2. Complexity of assignments within the pay band and cost control should be appropriately considered.
3. Accomplishment of objectives should be used as the basis for ratings.
4. Performance of higher-level work within a pay band than expected should result in a reassignment or promotion, not an increased number of shares.
5. Ensure that valued performers (rated at level “3”) always receive an increase in salary or a bonus.
6. No salary increase can cause an employee’s base pay to exceed the maximum amount for the employee’s pay band.
7. Interns will be dealt with according to current Army guidance. Generally they receive only bonuses and no salary increases due to guaranteed promotions.
8. Employees must be on the Government rolls (covered by NSPS) at the time of the payout in order to receive a performance-based payout (see SC1930.9.4.5, reference 3m).

G. PAYOUT DISTRIBUTION. The USACHPPM is required to use the USAMEDCOM policies for payout distributions and is subject to change. MEDCOM requires a payout distribution based on Element 1 and 3 ratios. The sum of Elements 1 and 2 is divided by the sum of Elements 1, 2, and 3 to determine the default percentage for salary increase. This default percentage for salary increase is a starting point and each pay pool adjusts this percentage in order to use all of the money allotted for salary increases. This results in everyone in the pay pool receiving the same percentage of salary increase and bonus allotment with the exception of those employees that reach a control point. When an employee reaches a control point, the remainder of their payout goes to the bonus portion.

H. DISCRETIONARY PAYOUT EXCEPTIONS. Performance payouts for employees who change jobs between the last day of the appraisal period and before the effective date of the payout will be administered according to SC1930.9.4.3 (reference 3o) and Army NSPS Procedures (see Table 2).

TABLE 2. PRORATING OF PERFORMANCE-BASED PAY POOL PAYOUTS

Type of Action (Trigger)	Pro Rate (Y/N)	Rationale
Leave Without Pay (LWOP) (over 90 days)	Y	Absence of prorating disadvantages other Pay Pool Members. Members on LWOP have adjusted performance objectives to reflect significant periods of absence. Prorating process recognizes adjusted expectations in performance and contribution to mission
Annual or Sick Leave	N	Pro rating is not appropriate for employees on leave since such leave is considered an entitlement.
Part-Time Employment Bonuses (Less than 32 hrs per/week (p/wk))	Y	Absence of prorating disadvantages full-time members of Pay Pool. Part time Pay Pool Members would receive higher percentage increase in Total Compensation than full-time members.
Part Time Employment-Pay Increases (Less than 32 hrs p/wk)	N	Part-time employees' pay increases are already paid proportionate to hours worked and is, therefore, automatically prorated.
Part Time Employment—32+ hrs	N	These employees are generally considered full time for most purposes.
Intermittent Employment Bonuses	Y	Absence of pro-rating disadvantages full-time members of Pay Pool. Intermittent Pay Pool Members would receive higher percentage of increase in Total Compensation than full-time members.
Intermittent Employment Pay Increases	N	Intermittent employees' pay increases are already paid proportionate to hours worked and is, therefore, automatically prorated.
Non-NSPS position to NSPS	Y	Absence of pro-rating disadvantages other members of Pay Pool. Employees new to Pay Pool may have their salary set upon placement to reflect time not spent in Pay Pool.
Pay Increases (such as, Reassignment, Promotion, Incentive Awards)	N	Too many variables, including range of salary options. Pay increases are best factored in the payout distribution determination process.

I. PRORATING PAYOUTS.

1. The NSPS Performance Based Pay Pool payouts are prorated based on hours worked to reflect LWOP, Part-Time and Intermittent Employment, and/or entry into NSPS position from a non NSPS position according to Appendix K of this document. These absences during the rating cycle will be prorated as shown in Table 3—

TABLE 3. PRORATED PAYOUTS

Hours Worked	Percentage of Payout
1561 – 2087	100%
1041 – 1560	75%
520 – 1040	50%

2. For purposes of above computations, “Hours Worked” includes hours in an approved paid leave status in addition to hours worked. In the case of prorating due to part-time employment, only the performance-based Pay Pool bonus will be prorated since the “number of hours worked” automatically prorates pay increases for part-time employees.

3. The LWOP due to absence to perform uniformed service according to 38 U.S.C. 4303 and 5 CFR 353.102 (references 8 and 9) or LWOP due to absence as a result of a work-related injury will not be prorated (Appendix K). Employees on LWOP for these purposes will receive payouts according to DOD 1400.25-M, SC 1940.AP1.

J. DISCRETIONARY PAYOUTS. Discretionary performance payouts include Extraordinary Pay Increases (EPI) or Organization Achievement Recognition. Pay Pool Funds are not used for these discretionary performance payouts but are made in conjunction with the annual performance payout.

1. Extraordinary Pay Increases. The EPI should be used sparingly and only to reward exceptionally high-performing employees whose performance and contributions to the organization are of an exceedingly high value based on an individualized assessment.

2. Performance and Results. The performance and results must be expected to continue at an extraordinarily high level in the future. An increase to base salary is permanent and does not require future revalidation.

A. Employee must have a level 5 rating of record for the most recently completed appraisal period. Increase to employee salary must not cause the salary to exceed the top of the employee Pay Band.

B. Recommendations are made by the Pay Pool Manager to the PRA who is the approving official.

X. QUICK REFERENCE GUIDE FOR INTERIM REVIEW, CLOSEOUT ASSESSMENT, AND EARLY ANNUAL RECOMMENDED RATING. This information can be found in Appendix J.

XI. PERFORMANCE ASSESSMENTS AND PAY ADJUSTMENTS FOR SPECIALLY SITUATED EMPLOYEES. This information can be found in Appendix K.

PART 3

ASSESSMENT BOARDS

I. REFERENCES. See Appendix A for all reference information.

II. PURPOSE. To provide the CHPPM business rules for an alternate form of competition in NSPS.

III. BACKGROUND. This document provides the business rules for conducting Assessment Boards. An Assessment Board is an alternative recruitment process. The use of an Assessment Board is optional and is for internal placement only. Assessment Boards cannot be used if a manager wants to consider external candidates. Traditional recruitment methods will be used in these cases. All approvals must be in place prior to using the Assessment Board process such as, approve from the higher level supervisor or chain of command, and the EXPBAC. Using an alternative form of competition does not negate the need to clear priority and mandatory placement programs. As such, all priority and mandatory placement programs, i.e., PPP, shall be cleared before filling a vacant position.

IV. RESPONSIBILITIES. This method is normally used when the source of high quality candidates is likely to be internal.

A. Managers will contact the CHPPM DCSRHR Human Resource (HR) advisors prior to recruitment for advice and guidance to include the development of a rating guide and rating factors. The Assessment Board will include a CHPPM DCSRHR HR advisor. The Civilian Personnel Advisory Center (CPAC) advisor will also assist the board in conducting job analysis and developing rating criteria and rating guide that will identify rating levels. Criteria may include experience, training, awards, education, performance evaluation scores (ratings of record) or other appropriate information. The CPAC advisor will serve as the recording executive secretary.

C. The CPAC will maintain a case file, which will include names and titles of members serving on the board; dates the board convened; notification to employees; job analysis, criteria, and rating guide; a list of employees considered; individual ratings; and the categorized referral list created as a result of the Assessment Board. The DCSRHR HR will also maintain CHPPM case files.

D. The Assessment Board Panel will contain at least three panel members with one identified as the panel chair. These members must be senior management officials and at least one subject matter expert related to the position announced. The chair must ensure that employees (both NSPS and any eligible legacy personnel system) within the area of consideration (AOC) are notified before convening the board. The Panel composition should demonstrate diversity and shall be

documented in the case file. Boards may be convened on an ad hoc basis or held annually in conjunction with the performance evaluation process.

V. ASSESSMENT BOARD SPECIFICS: When using this form of competition and after the announcement has closed, a board will be convened to assess the current internal applicants for current and future advancement opportunities based on the pre-established criteria. The area of consideration must be listed on the announcement. This means the announcement may limit applications to a branch, program area, division, subordinate command location or the entire CHPPM. This determination is made by the hiring supervisor. Announcements may also include specific groups such as, industrial hygienists, regardless of the location.

A. Boards shall categorize employees into specific quality levels of candidates to generate referral lists of ranked candidates for occupational groups. These referral lists are valid for one year from the date generated. Supervisors may select from the highly qualified group of the categorized referral list without additional advertising of a vacant position. The supervisor's selection should be justified based on specific job-related factors unique to the actual vacancy. Selections must be made from the highly qualified group. Applicants will be notified by the selecting official after the selection is made, as to the selectee. If there are no highly qualified applicants remaining on the referral list, a new Assessment Board should be convened or other recruitment methods utilized.

B. The referral list must include expiration date and annotation of selections made. A signed and approved selection, justification based on job-related factors, and the higher level manager's approval for each vacancy is attached to the automated Request for Personnel Action (RPA) and forwarded to the CPOC for processing. The case file is retained in accordance with Army records management regulations.

C. Appropriate uses for Assessment Boards may include, but is not limited to:

1. Positions that have a high turnover rate throughout the year.
2. Multiple positions assigned to similar position descriptions in the same organization or location.
3. Career program positions throughout the Army

D. All selections using CHPPM Assessment Boards will be signed by the selecting official and include a justification for the selection, and be reviewed and signed by the Chair of the Selection Board prior to submitting the RPA to the Civilian Personnel Advisory Center (CPAC)/Civilian Personnel Operating Center (CPOC). The Assessment Board Checklist will be used with this alternative form of competition.

VI. ADVANTAGES OF USING ASSESSMENT BOARDS.

- A. Managers may streamline the recruitment process through the use of alternative forms of competition.
- B. Positions could potentially be filled the next pay period.
- C. Critical or emergency positions may be filled quickly. Management may be able to accomplish the mission more efficiently based on timely fill of vacant positions.
- D. Alternative forms of competition may motivate employees to strive for exceptional performance.

VII. STEPS IN ASSESSMENT BOARDS.

- A. The supervisor identifies vacancy/vacancies that could be filled using Assessment Boards.
- B. Supervisor consults with a DCSRHR Human Resource specialists. Decisions will be made as to the identify job series, pay band of the position, etc. Rating and rating criteria are developed.
- C. CHPPM HR in concert with the hiring supervisor develops the announcement and posts on the CHPPM News Command Administrative Announcement Bulletin Board at <https://ichppm.amedd.army.mil/News/default.aspx> .
- D. After the announcement closes, the panel is convened. The CPAC HR advisor serves as the recording executive secretary. The panel should be diverse and does not necessarily have to be within the same organization.
- E. The panel rates applicants against the rating guide and develops a ranked and dated referral list of highly qualified candidates. The panel can choose whether to interview the applicants or use the submitted packages alone to make a selection. The referral list will be retained for future vacancies within a year of the date the list was issued.
- F. Supervisor selects candidate(s) from highly qualified group. The Selecting supervisor completes the checklist and includes a justification with the selection package. The Chair of the Selection Board also signs the selection package.
- G. A RPA is prepared by the selecting supervisor, routed through the DCSRHR HR to the CPAC. The Supervisor sends RPA with the following attachments:
 - 1. Position description information

-
2. Rating factors and rating guide
 3. Referral list
 4. Signed and approved justification for selection based on specific job-related factors
 5. Signed approval from the panel chair.
 6. The selected employee's current resume
 7. The RPA is cleared through the priority placement programs for one day. If there are no matches, the action is processed and finalized with an effective date.

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APPENDIX A

REFERENCES

REFERENCES CITED

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2. NSPS. Managing Compensation Under NSPS, A Guide for Managers and Supervisors, March 2007.
3. DOD 1400.25-M, Civilian Personnel Manual, December 1996. The follow Subchapters are found on the USACHPPM Intranet/NSPS/NSPS Document Library, <https://ichppm.amedd.army.mil/C7/NSPS/default.aspx>
 - a. SC1930, Compensation Architecture Pay Policy.
 - b. SC1920, Classification.
 - c. SC1950, Staffing and Employment.
 - d. SC1940.11.1.1, Pay Pool Compensation.
 - e. SC1940.11.2.1.3, Notice of Employees.
 - f. SC1940.11.2.1.2, Notice of Employees.
 - g. SC1940.4.3, Pay Pool Panel.
 - h. SC1930.9.3, Performance Review Authority (PRA).
 - i. SC1930.9.4.5, PRA Responsibilities.
 - j. SC1940.10.7.2, Rating of Record.
 - k. SC1930.12, Challenging the Rating of Record.

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- l. SC1930.9.3, Performance Pay Pools.
 - m. SC1930.9.4.5, Performance-Based Payouts.
 - n. SC1930.9.5, Pay Band Control Points.
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4. Department of the Army. Interim Department of the Army NSPS Policy, 31 August 2007.
http://www.cpol.army.mil/library/general/nsps/docdir/Army_NSPS_Interim_Policy_31AUG2007.pdf
 5. Department of the Army. Interim Department of the Army NSPS Instruction, 31 August 2007.
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 6. OPM, Qualification Standards for General Schedule Positions (Operating Manual).
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<https://ichppm.amedd.army.mil/C7/NSPS/default.aspx>
 8. 38 USC 4303, Veterans' Benefits: Definitions. January 3, 2005.
 9. 5 CFR 353.102, Restoration to duty from uniformed services or compensable injury: Definitions. January 1, 2007.

OTHER PUBLICATIONS

Office of the Surgeon General (OTSG) and U.S. Army Medical Command (MEDCOM) NSPS Implementing Policies, Business Rules and Procedures.

Annexes to Office of the Surgeon General (OTSG) and U.S. Army Medical Command (MEDCOM) NSPS Implementing Policies, Business Rules and Procedures.

5 CFR 9901, Chapter XCIX, Department of Defense Human Resources Management and Labor Relations Systems. January 1, 2006.

FORMS

DOD Form 2906 Test, National Security Personnel System (NSPS) Performance Plan—Interim Review(s)/Closeout Assessment—Annual Performance Appraisal, March 2006.

CHPPM Form E-465, NSPS Salary Determination Worksheet, October 2007.

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APPENDIX B

NSPS SALARY DETERMINATION WORKSHEET

CHPPM FORM E-465, OCTOBER 2007

NSPS Salary Determination Worksheet

Candidate Name: _____

NSPS Title/Pay Schedule/Band: _____

Advertised Pay Range (if applicable): _____

> Base salary is used in all calculations. Salary cannot be below pay band minimum or above pay band

<input type="checkbox"/> New Hire	Set from minimum of pay band up to 30% of step 1 of the former GS grade: GS _____ \$ _____ to \$ _____
<input type="checkbox"/> Promotion	Increase between 6% and 20% (Increases beyond 20% may be approved by higher level officials) \$ _____ to \$ _____
<input type="checkbox"/> Reassignment: Employee Initiated	Increase between 0% and 5% or a decrease no less than the minimum of the pay band. \$ _____ to \$ _____ Number of employee initiated reassignments within past 12 months: _____ and cumulative percentage increase: _____ %
<input type="checkbox"/> Reassignment: Management Directed	Increase between 0% and 5% \$ _____ to \$ _____
<input type="checkbox"/> Reassignment: Involuntary	Decrease between 0% and 10% \$ _____ to \$ _____
<input type="checkbox"/> Reduction in Band: Voluntary	Salary must be within the new band. May increase up to 5% if appropriate _____ %
<input type="checkbox"/> Reduction in Band: Involuntary	Decrease up to 10% _____ %
<input type="checkbox"/> Accelerated Career Development Position (ACDP)	Up to 20% annually, not to exceed the pay band maximum. Previous ACDP increase date/percent: _____
<input type="checkbox"/> One-Time Pay Increase (Former Career Ladder Promotions)	\$ _____ May receive a pay increase equivalent to the noncompetitive promotion that would have been received. Must be within the first 12 months after conversion.

Comparative Data	Salary	Years in field
Candidate	\$ _____	
Highest paid incumbent performing similar work.	\$ _____	
Lowest paid incumbent performing similar work.	\$ _____	
Average of incumbents performing similar work	\$ _____	

Incumbent salary data is available from My Workplace or your servicing Civilian Personnel Advisory Center.

Current Salary	Proposed Salary	Incentives
\$ _____ Base Pay	\$ _____ Base Pay	\$ _____ Recruitment bonus
\$ _____ Locality	\$ _____ LMS	\$ _____ Relocation bonus
\$ _____ PCA (if applicable)	\$ _____ Total Salary	<input type="checkbox"/> Yes <input type="checkbox"/> No PCS expenses paid
\$ _____ Total Salary		

NSPS Salary Determination Worksheet

Candidate Name: _____

NSPS Title/Pay Schedule/Band: _____

Employee Qualifications (Place "X" in appropriate level)

Candidate history indicates	Job Related Training	Competencies (KSA)	Breadth, Depth and Scope of Relevant Job Experience
Meets Minimum			
Exceeds Minimum			

Education Level _____

Identify any Unique/Critical Skills _____

Justification Statement

Include relevant critical need or employee's education, experience, knowledge, skills or abilities for salary determination above the minimum.

Approvals

I certify that the proposed salary is compliant with applicable pay settings policies.

Name of Authorizing Official Title Signature DATE SIGNED (YYYYMMDD)

Name of Higher Level Official Title Signature DATE SIGNED (YYYYMMDD)

A copy of this worksheet must be retained by the authorized official. A written transmittal will be submitted to the CPOC to record pay setting decisions when the Request for Personnel Action (RPA) has been submitted in advance of candidate selection.

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APPENDIX C

USACHPPM PAY-SETTING APPROVAL GUIDELINES

C-1. TABLE OF APPROVALS

<i>TYPE OF ACTION</i>	<i>PROGRAM MANAGER/ DIVISION CHIEF</i>	<i>DIR/DCS/CONUS SUBCMDR/POPM</i>	<i>COS/DTS/OCONUS SUBCMDR/POPM</i>	<i>EXPBAC</i>
NEW EMPLOYEE Not currently employed as a Federal Civilian employee	Up to step 2 of GS equivalent/ GS Base Salary table with Locality/ Specialty Tables	Additional up to maximum 10% total above step 2	Additional up to maximum 15% total above step 2	Additional up to a maximum of 30% (equivalent to a step 10 of the GS grade equivalency) not to exceed the maximum rate of the pay band
CURRENT NON-NSPS FEDERAL *SC 1950.6.3.3.8 to determine type of action (reference 3c)				
Promotion	Automatic 6%	More than 6% up to 15%	More than 15% up to 20% maximum increase	
Reassignment Generally no increase if to a comparable set of duties or pay band		Up to 5% maximum		
Reduction in Band		Decrease to a level commensurate with employees performing equivalent level of work		

C-1. TABLE OF APPROVALS (CONTINUED)

<i>TYPE OF ACTION</i>	<i>PROGRAM MANAGER/ DIVISION CHIEF</i>	<i>DIR/DCS/CONUS SUBCMDR/POPM</i>	<i>COS/DTS/OCONUS SUBCMDR/POPM</i>	<i>EXPBAC</i>
Any Action that Puts Employee Over their Maximum Assigned Pay Band Control Point or to request future approval during the pay pool process. (Appendix E)				Requires EXPBAC Approval
REASSIGNMENTS of Current NSPS employees				
-Employee Initiated May Increase or Decrease Salary		No more than a 5% cumulative increase in a 12-month period		
-Management Directed (If employees current base salary exceeds maximum of new pay band, no increase)		Up to 5% maximum increase, one time per year	More than one directed reassignment in a 12-month period	
-Involuntary (Adverse-Action Procedures)		Reduce up to 10%		
-Temporary Reassignment		Up to a 5% maximum increase one time per year	More than one directed reassignment in a 12-month period	
PROMOTION (Permanent)	Automatic 6% increase	More than 6% to 15%	More than 15% to 20%	
PROMOTION (Temporary)	Automatic 6% increase	More than 6% to 15%	More than 15% to 20%	

C-1. TABLE OF APPROVALS (CONTINUED)

<i>TYPE OF ACTION</i>	<i>PROGRAM MANAGER/ DIVISION CHIEF</i>	<i>DIR/DCS/CONUS SUBCMDR/POPM</i>	<i>COS/DTS/OCONUS SUBCMDR/POPM</i>	<i>EXPBAC</i>
VOLUNTARY REDUCTION IN BAND —Salary must stay within the assigned pay band; may increase or decrease salary		Decrease to a level commensurate with employees performing equivalent level of work	Up to 5% cumulative increase in a 12-month period	Exceptions
INVOLUNTARY REDUCTION IN BAND (Adverse-action procedures) -Salary may not fall below the minimum rate of the assigned pay ban. -May not be increased		May decrease up to 10%		
EMPLOYEES WITH STATUTORY RETURN or REEMPLOYMENT RIGHTS To a position converted to NSPS during their absence Set with WIGI buy-in				
INTERNS Formerly Two-Grade Interval Positions Use of ACDP provisions may be used while in Pay Band 1		May be increased by 10% every 6 months (maximum of 20% increase in a year)		

C-1. TABLE OF APPROVALS (CONTINUED)

<i>TYPE OF ACTION</i>		<i>PROGRAM MANAGER/ DIVISION CHIEF</i>	<i>DIR/DCS/CONUS SUBCMDR/POPM</i>	<i>COS/DTS/OCONUS SUBCMDR/POPM</i>	<i>EXPBAC</i>
FUNCTIONAL/ DEVELOPMENTAL Formerly One-Grade Interval Positions Technician/Support Pay Band *Use Promotion Guidelines when promoting to higher pay band			In first 12 months following conversion use two- step rule After first 12 months up to 5% maximum in same pay band		
PROGRESSING BEYOND USACHPPM CONTROL POINTS					Requires EXPBAC approval

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APPENDIX D

ACCELERATED COMPENSATION FOR DEVELOPMENTAL POSITIONS CHECKLIST

ACCELERATED COMPENSATION FOR DEVELOPMENTAL POSITIONS (ACDP) CHECKLIST		
NAME: _____		
POSITION, PS-OCC PB: _____		
<input type="checkbox"/> DATE OF ENTRY INTO SPECIAL EDUCATION PROGRAM (SPEP): (YYYYMMDD) _____		
<input type="checkbox"/> MEETS CAREER PROGRAM CRITERIA IDENTIFIED IN IDP.		
EXPLAIN: _____ _____ _____		
<input type="checkbox"/> CURRENT BASE SALARY, LOCAL MARKET SUPPLEMENT (LMS), AND TOTAL SALARY:		
BASE SALARY: _____		
LMS: _____		
TOTAL SALARY: _____		
ANY ADDITIONAL COMPENSATION (i.e., 3Rs, SLRP): _____		
<input type="checkbox"/> TARGET SALARY RANGE: _____		
<input type="checkbox"/> INTERNAL EQUITY WITHIN IMMEDIATE ORGANIZATION: <input type="checkbox"/> YES <input type="checkbox"/> NO		
<input type="checkbox"/> ACCEPTABLE LEVEL OF PERFORMANCE: <input type="checkbox"/> YES <input type="checkbox"/> NO		
<input type="checkbox"/> _____ % INCREASE RECOMMENDED (generally no more than 20% annually).		
JUSTIFICATION: _____ _____ _____		
<input type="checkbox"/> PROPOSED TOTAL SALARY:		
BASE PAY: _____		
LMS: _____		
TOTAL PAY: _____		
SUPERVISOR'S NAME <i>(Printed)</i>	SUPERVISOR'S SIGNATURE	DATE (YYYYMMDD)
DIRECTOR/SUBCOMMANDER <i>(Printed)</i>	SIGNATURE	DATE (YYYYMMDD)

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APPENDIX E

**USACHPPM
NSPS Pay Bands 2008
CONTROL POINTS CHART**

GS	3 20911-27184	4 23475-30522	5 26264-34139	6 29276-38060	7 32534-42290	8 36030-46839	9 39795-51738	10 43824-56973	11 48148-62593	12 57709-75025	13 68625-89217	14 81093-105420	15 95390-124010
-----------	-------------------------	-------------------------	-------------------------	-------------------------	-------------------------	-------------------------	-------------------------	--------------------------	--------------------------	--------------------------	--------------------------	---------------------------	---------------------------

Standard YA Prof/Ana	YA-1 (26008-62593)				YA-2 (39407-89217)				YA-3 (77018-130211)			
					65083 *				109611 *			

Standard YB Tech/Supp	YB-1 (16880-38060)			YB-2 (32217-56973)			YB-3 (47679-75025)				
	23815 *			31726 *			48704 *			65083 *	

Standard YC Supv/Mgr	YC-1 (32217-62593)						YC-2 (57146-110691)			YC-3 (80302-130211)		
	43975 *						83378 *					

Standard YP SEEP	YP-1 (16880-62593)												
-------------------------------	------------------------------	--	--	--	--	--	--	--	--	--	--	--	--

S&E YD Prof	YD-1 (26008-62593)				YD-2 (39407-89217)				YD-3 (77018-130211)			
					65083 *				109611 *			

S&E YE Tech/Supp	YE-1 (16880-38060)			YE-2 (32217-56973)			YE-3 (47679-75025)		YE-4 (64767-89217)		
	23815 *			31726 *			48704 *		65083 *		

S&E YF Supv/Mgr	YF-1 (32217-62593)						YF-2 (57146-110691)			YF-3 (77018-130211)		
	43975 *						83378 *					

Medical YG Phys/Dent								YG-2 (87742-175000) 132683 *	YG-3 (113173-225000)
Medical YH Prof	YH-1 (26008-62593)			YH-2 (39407-105420) 65083 *				YH-3 (77018-130211) 109611 *	
Medical YI Tech/Supp	YI-1 (16880-38060) 23815 *		YI-2 (32217-56973) 31726 *		YI-3 (47679-75025) 48704 *		YI-3 (47679-75025) 65083 *		
Medical YJ Supv/Mgr	YJ-1 (32217-62593) 43975 *				YJ-2 (57146-110691) 83378 *			YJ-3 (80302-130211)	YJ-4 (103226-200000)

* = Control Points















TABLE E-2. REQUEST TO EXCEED CONTROL POINT

Date of Request:		
Employee:		
Directorate/Subordinate Command:		
Program/Division:		
Job Title:		
Supervisor/Rater:		
Job Series:	Pay Band:	Pay Pool #
Date employee hired to position or date of last promotion/increase (exclude pay pool info):		
Base Salary Range When Employee entered position.		
Length of time in current position		
Current Base Salary \$		
Total Salary (including any locality pay or LMS)		
Control Point \$		
Last rating of record:		
Other employees in work unit in same series, pay band, and level of responsibility/difficulty:		
Number in Work Unit:		
Base Salary Range: \$		
Number in Directorate/Subordinate Command :		
Base Salary Range: \$		

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APPENDIX F

ROLES AND RESPONSIBILITIES

Performance Review Authority, Commander USACHPPM 		Management Official. Senior to the Pay Pool Manager. Provides oversight, policy, and guidance over Pay Pools. Manages civilian pay-for performance budget and discretionary performance payouts.
Performance Review Authority Advisory Committee 		Provides advice and assistance to the PRA. Reviews Pay Pool sessions to ensure equitable procedural and funding consistency across all five Pay Pools in preparation for the next year.
Pay Pool Manager 		Senior Management Official. Final approval for rating, share assignments, and payout distribution. Ensures effective operation of pay pool. Ensures certification of pay pool rating officials and panel.
Pay Pool Panel 		Senior Management Officials. Ensure consistency of ratings, and payout distribution across pay pool.
Higher Level Reviewers 		Review performance appraisals in a timely manner and assure accuracy and compliance with requirements. Assure equitable and consistent application of and compliance with rating requirements by subordinate rating officials/supervisors.
Rating Official/Supervisor 		First-line Supervisor. Assess employees; recommend ratings, assignments, and payout distribution.
Employee 		Understand goals and objectives. Prepare report of accomplishments.

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APPENDIX G

NSPS PERFORMANCE MANAGEMENT CYCLE

Steps	Summary Timeline
1	Performance plans will be in place and communicated to employee within 30 days from the beginning of the rating cycle (that is, the end of October or for newly hired employees during the year, 30 days from their entrance on duty to the position).
2	Once an approved plan is established and approved, employees will begin self-assessment and document accomplishments of performance objectives. Supervisors will begin monitoring performance and provide ongoing feedback to employees as appropriate.
3	At a minimum, supervisors will conduct one formal, documented face-to-face interim review at the mid-term of the employee's rating cycle.
4	Employee completes self-assessment and provides to Rating Official/Supervisor no later than 7 calendar days following the end of the rating period, 30 September, or timeline as established by local policy.
5	Pay Pool Manager determines the date by which supervisor assessments, recommended rating, share assignments, and payout distributions approved by the Higher Level Reviewer should be completed and provided to the Pay Pool Panel.
6	Pay Pool Manager should complete Pay Pool Panel meetings with final approved ratings, share assignments, and payout distributions by the end of November or timeline as established locally.
7	Supervisors inform employees of the final approved rating, share assignments, and payout distributions after the Pay Pool Managers inform them of the approvals. This takes place in the January timeframe.
8	Reconsideration appeals should be conducted according to timelines established in reference 3.
9	Effective date of performance payouts will be according to DOD-established timelines, usually the first pay period in January.

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Appendix H—Key End-of-Cycle Dates

When	Who	What
By 31 Oct	Supervisor	Set performance expectations and job objectives (jointly with employee) for the year.
Throughout year	Supervisor	Monitor performance, conduct mid-year review(s), develop employees. At least one interim review is required.
30 Sep	Employee	Rating Period ends. Begin self-assessment and document accomplishments of performance objectives by 7 October.
By 30 Oct	Supervisor and Higher Level Reviewer	Recommend ratings, shares, and payout distributions to Higher-Level Reviewer, who reviews/approves. Final is forwarded to Pay Pool Panel
By 30 October	Supervisor Higher Level Reviewer	New Objectives for the next rating, approved and in place for the rating period.
1-7 Nov	Pay Pool Manager	Begins preparation for Pay Pool deliberations. Distribute confidentiality and non-disclosure agreements for signature. Assures all involved with the process sign and return agreements.
By 7 Nov	Pay Pool Panel Pay Pool Manager	Schedules Pay Pool Panels meetings. Meet to review and reconcile ratings within their assigned Pay Pool.
Within 24 hours	Rating Officials Higher Level Reviewers (or Designee)	Respond to Pay Pool Manager's request for clarifying or supporting information
By 14 Dec	Pay Pool Panel, Pay Pool Manager	Panel reviews, reconciles ratings; Pay Pool Manager approves ratings of record and payouts
By 15 Dec	PRA	Receives finalized Pay Pool results.
By 20 Dec	Pay Pool Managers	Compensation Workbench Tool—finalized and flows to Defense Finance Accounting Service/CPOC
By 30 Dec	Supervisor	Communicates rating of record to employee after completion of entire process and informed by the Pay Pool Manager.
Within 10 calendar days post-receipt of rating	Employees Pay Pool Manager	Employees requesting administrative reconsideration submit written request to their respective Pay Pool Managers.
First pay in January	CPOC	Employees receive approved shares (bonuses and/or salary increases).

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APPENDIX I—ESTIMATED SHARE VALUE METHODOLOGY SAMPLE

Estimated Share Value Methodology

[Return to Previous Page](#)

Replace the sample data and provide numeric values in each blue field below. All other fields and values will be generated by the application after user input. The "TAB" key may be used to navigate from one data field to the next.

Step 1: Enter data for each of the blue cells below as defined by the cell to the left. The data may reflect the information that is true of your pay pool as of a given time (i.e., snapshot data) or may reflect a projection of what these fields will be on the last day of the performance cycle. The "Percentage of Base Pay to Fund Pay Pool" should, at minimum reflect the pay pool funding floor established by the Department of Army and/or your organization (if higher than DA level).

Total Base Pay of Employees in Pay Pool:	7,314,128
Percentage of Base Pay Projected for Pay Pool Payout as a Pay Increase:	2.38%
Percentage of Base Pay Projected for Pay Pool Payout as a Bonus:	1.00%
Percentage of Base Pay to Fund Pay Pool:	3.38%
Number of Employees in Pay Pool:	106
Average Base Pay:	69,001

Step 2: Project a Rating Distribution for the Pay Pool Population. Please allocate the percentage distribution of each rating level. Make certain that the Percent Distribution equates to 100% in order to account for the entire population of the pay pool.

Rating Level	Percent Distribution	# of Employees Distribution
3	65%	68.9
4	25%	26.5
5	10%	10.6
Total	100%	

Step 3: Determine Salary Share Product. For each rating level, project a distribution of shares. Since an employee can receive different share amounts in each rating level, a percentage allocation for each share amount within each rating level which must equate to 100%. This tool will automatically determine the Salary Share Product for each rating level by multiplying the number of employees receiving each rating level by the average number of shares for that rating level and by the average salary.

Rating Level	% of Shares in each Rating Level	# of Employees	Average Salary	Equals	Average # of Shares Earned	Salary Share Product
3	% of 1 Share 25%	68.9	69,001	4,754,183.20	1.75	8,319,820.60
	% of 2 Shares 75%					
4	% of 3 Shares 50%	26.5	69,001	1,828,532.00	3.50	6,399,862.00
	% of 4 Shares 50%					
5	% of 5 Shares 50%	10.6	69,001	731,412.80	5.50	4,022,770.40
	% of 6 Shares 50%					
Total		106	69,001	7,314,128.00	2.5625	18,742,453.00

Step 4: Determine the Pay Pool Value. This tool automatically calculates this value by multiplying the total base pay of all employees in the pay pool by the Pay Pool Payout Factor Percentage.

Total Base Pay of Employees in Pay Pool	Percentage of Base Pay to Fund Pay Pool:	Pay Pool Value
7,314,128	3.38%	247,217.53

Step 5: Estimated Pay Pool Share Value. The estimated pay pool share value is derived by dividing the Pay Pool Value (Step 4) by the total Salary Share Product (Step 3). This value is then multiplied by the Average Salary of the pay pool which will generate the **Average Value per Share** for the pay pool.

Pay Pool Value	Total Salary Share Product	ESTIMATED PAY POOL SHARE VALUE
247,217.53	18,742,453.00	0.01319024 → 1.32%
Average Salary	Estimated Pay Pool Value	Average Value per Share
69,001	1.32%	\$910.14

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APPENDIX J

QUICK REFERENCE GUIDE FOR INTERIM REVIEW, CLOSEOUT ASSESSMENT, AND EARLY ANNUAL RECOMMENDED RATING

J-1. INTERIM REVIEW.

REFERENCE: DOD 1400.25-M, SC 1940, SC1940.6.4.

A. At least one formal interim review shall be prepared, communicated to the employee, and documented in the Performance Appraisal Application (PAA) during the appraisal period.

B. A formal interim review shall acknowledge achievements and suggest areas for improvement based on job objectives (and the contributing factor assigned for supervisors only), and provide meaningful dialogue between the rating official and the employee.

C. Although not mandatory, employees are strongly encouraged to provide a self-assessment to document accomplishments and help judge progress.

D. Army requires higher level reviewer approval for the interim review.

E. An interim review is required when an employee is hired in a position and can be put under performance standards for 90 days or more in a rating cycle.

F. Interim review for temporary assignment is required. At the time of an employee's temporary assignment, the employee (provides input), temporary supervisor, and supervisor of the permanent position jointly determines whether to adjust the employee's assigned job objectives. Both supervisors will jointly determine when to provide feedback on performance to the employee to allow at least one formal interim review to be documented.

J-2. CLOSEOUT ASSESSMENT.

REFERENCE: DOD 1400.25-M, SC 1940, SC1940.6.4.

A. A rating official shall prepare a closeout assessment for an employee when it is known that either the employee or the rating official will change position (due to job change, retirement, etc.) resulting in a new rating official for the employee.

B. If the rating official or employee movement occurs within 90 days before the end of the rating cycle, the rating official will prepare an early recommended annual rating of record

instead of a closeout assessment. The Pay Pool Manager may allow exceptions based on individual circumstances.

C. A closeout assessment is a brief narrative description of an employee's accomplishments and contributions, based on the job objectives (and mandatory contributing factor for leadership for supervisors only), during the current appraisal period.

D. A supervisor shall prepare a closeout assessment for employees when they complete a temporary reassignment (detail, temporary assignment, etc.) or a rotational assignment (employees in developmental positions, interns, etc.), as input for the employee's recommended rating of record.

E. If a rating official leaves before providing an employee with a written closeout assessment, the employee should contact the higher level reviewer, and the higher level reviewer will prepare the closeout assessment.

F. A closeout assessment is only required if an employee has been assigned to a specific supervisor and has been on an approved performance plan for more than 30 consecutive days.

G. Although it is not mandatory, employees are strongly encouraged to prepare a self-assessment specifically for the closeout assessment.

H. When an employee changes NSPS jobs during mid-cycle, the rating official is required to prepare a closeout assessment in the PAA. A rating official may also prepare an interim review in addition to the closeout assessment.

I. If an employee leaves the organization and the rating official does not prepare a closeout assessment, the rating official should "close" the record in the PAA.

J. Performance Appraisal Application Implications:

(1) If the employee changes NSPS jobs, a new performance plan may be necessary. The previous performance plan/appraisal will need to be "closed" by the rating official using the "Close" functionality under Plans/Appraisals in Progress. In this case, after the closeout assessment is documented, the Rating Cycle End Date on the original performance plan/appraisal must be changed to 1 day prior to the effective date of the job change. The new performance plan is initiated with a Rating Cycle Start Date equal to the effective date of the job change.

(2) If a new performance plan is not required, the rating official may transfer the performance plan to the new rating official following completion of the closeout assessment.

(3) If the supervisor changes jobs, the supervisor must complete a closeout assessment and use the Change Rating Official feature to route the existing performance plan to the new supervisor. No changes to the Rating Cycle dates are needed.

J-3. EARLY ANNUAL RECOMMENDED RATING.

Reference: DOD 1400.25-M, SC 1940, SC1940.9.3.2 and SC1940.AP4.1-AP4.1.2

A. When the rating official or employee leaves the organization (reassigned, promoted, demoted, etc.) resulting in the rater and ratee relationship ending and if this change occurs within 90 days before the end of the rating cycle, the rating official shall prepare an early recommended annual rating of record for the employee. The pay pool manager may allow exceptions based on individual circumstances.

B. The period of time between the date of the event that triggered the early annual recommended rating of record and the normal end of the rating cycle shall be carried forward into the next appraisal period, resulting in a longer rating period for the following rating cycle. For instance, an employee is promoted 60 days before the end of regular appraisal period. The supervisor shall prepare an early annual recommended rating of record as of that date which, when reviewed, reconciled and approved by the pay pool panel, shall be the employee's rating of record. The 60 days that were not covered or rated by the early recommended rating of record shall be appended to the new performance year, making it 14 months in length, and shall be assessed and rated at the normal end of the new appraisal period.

C. Employees are strongly encouraged to prepare self-assessment for an early annual rating of record.

D. Rating officials should address achievements for each job objective and the associated mandatory contributing factor for leadership for supervisors only and must include the recommend rating of record, share assignment, and payout distribution.

E. Higher level review is required for the recommended rating of record, share assignment, and payout distribution prepared by the rating official.

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APPENDIX K

PERFORMANCE ASSESSMENTS AND PAY ADJUSTMENTS FOR SPECIALLY SITUATED EMPLOYEES

1. DEPLOYED CIVILIANS
2. EMPLOYEES IN LONG-TERM TRAINING
3. EMPLOYEES IN EXTENDED APPROVED PAID LEAVE

A. EMPLOYEES WHO ARE ABSENT FROM THEIR PERMANENT POSITION TO PERFORM SERVICE IN SUPPORT OF A MILITARY CONTINGENCY OR EMERGENCY OPERATION, ASSIGNED TO LONG-TERM TRAINING, OR IN AN EXTENDED APPROVED PAID LEAVE STATUS AND WHO HAVE COMPLETED THE NSPS MINIMUM PERIOD OF PERFORMANCE FOR A RATING (SEE DOD 1400.25-M, SC 1940.2.3.) IN THEIR PERMANENT POSITION FOR THE CURRENT APPRAISAL PERIOD. At the end of the performance appraisal period, the employee will participate in the rating and pay pool process as outlined in DOD 1400.25-M, SC1930 and SC 1940. The rating of record will be based on the performance and contributions made by the employee while in his/her permanent position performing under an approved performance plan. The NSPS performance management procedures described in DOD 1400.25-M, SC1940 will be observed to the extent practicable. Subject to pay pool policies and procedures, the employee shall receive a final rating of record and pay adjustment determination consisting of the appropriate increase in base salary and/or bonus.

B. EMPLOYEES WHO ARE ABSENT FROM THEIR PERMANENT POSITION TO PERFORM SERVICE IN SUPPORT OF A MILITARY CONTINGENCY OR EMERGENCY OPERATION, ASSIGNED TO LONG-TERM TRAINING, OR IN AN EXTENDED APPROVED PAID LEAVE STATUS AND WHO HAVE NOT COMPLETED THE NSPS MINIMUM PERIOD OF PERFORMANCE FOR A RATING IN THEIR PERMANENT POSITION FOR THE CURRENT APPRAISAL PERIOD. At the end of the performance appraisal period, performance pay adjustments shall be based on either the employee's last NSPS rating of record or the model rating received by other employees covered by the same pay pool, pay schedule, and pay band, whichever is most advantageous to the employee.

C. SPECIFIC ACCOMPLISHMENTS WHILE IN A DEPLOYED STATUS OR IN A TRAINING ASSIGNMENT MAY BE RECOGNIZED THROUGH THE INCENTIVE AWARDS SYSTEM, IF APPROPRIATE. Compensation for the long hours of work that is traditionally a part of serving in a deployed status is appropriately handled through applicable overtime pay provisions.

D. MODEL RATING OF LAST RATING OF RECORD. If a model rating or the employee's last rating of record is used, the pay adjustments provisions in DOD 1400.25-M, SC1940.AP shall apply.

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APPENDIX L

ASSESSMENT BOARD CHECKLIST

- _____ Consult with CHPPM DCSR HR Advisor
- _____ Follow CHPPM procedures
- _____ Identify Position/Position Description and Position Location
- _____ Determine appropriate area of consideration
- _____ Ensure employee notification has occurred by posting announcement on the CHPPM News Command Administrative Announcement Bulletin Board at <https://ichppm.amedd.army.mil/News/default.aspx> .
- _____ Complete applicable section below:
 - Assessment Board:
 - _____ Convene board
 - _____ Rating Criteria confirmed
 - _____ Rating Guide confirmed
 - _____ Rank all candidates
 - _____ Develop referral list
 - _____ Verify selectee is in high quality group
- _____ Prepare written justification for selection
- _____ Obtain chair signature
- _____ Notify applicants of selection
- _____ Send RPA and required documentation attached to CPAC/CPOC

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GLOSSARY

ACDP

ACCELERATED COMPENSATION FOR DEVELOPMENTAL POSITION

CONUS

CONTINENTAL UNITED STATES

CPAC

CIVILIAN PERSONNEL ADVISORY CENTER

CPOC

CIVILIAN PERSONNEL OPERATION CENTER

DCSIM

DEPUTY CHIEF OF STAFF FOR INFORMATION MANAGEMENT

DCSCOM

DEPUTY CHIEF OF STAFF FOR COMMUNICATIONS

DCSLOG

DEPUTY CHIEF OF STAFF FOR LOGISTICS

DCSOPS

DEPUTY CHIEF OF STAFF FOR OPERATIONS

DCSRM

DEPUTY CHIEF OF STAFF FOR RESOURCE MANAGEMENT

DEDS

DIRECTORATE OF EPIDEMIOLOGY AND DISEASE SURVEILLANCE

DEHE

DIRECTORATE OF ENVIRONMENTAL HEALTH AND ENGINEERING

DHPW

DIRECTORATE OF HEALTH PROMOTION AND WELLNESS

DHRM

DIRECTORATE OF HEALTH RISK MANAGEMENT

DOD/DD

DEPARTMENT OF DEFENSE

DOEM

DIRECTORATE OF OCCUPATIONAL AND ENVIRONMENTAL MEDICINE

DOHS

DIRECTORATE OF OCCUPATIONAL HEALTH SCIENCES

EPI

EXTRAORDINARY PAY INCREASES

EXPBAC

EXECUTIVE PERSONNEL BOARD ADVISORY COMMITTEE

GS

GENERAL SERVICE

HQDA

HEADQUARTERS, DEPARTMENT OF THE ARMY

HRMD

HUMAN RESOURCES MANAGEMENT DIVISION

IDP

INDIVIDUAL DEVELOPMENT PLAN

LWOP

LEAVE WITHOUT PAY

MACOM

MAJOR ARMY COMMAND

NSPS

NATIONAL SECURITY PERSONNEL SYSTEM

OCONUS

OUTSIDE CONTINENTAL UNITED STATES

OPF

OFFICIAL PERSONNEL FOLDER

OPM

OFFICE OF PERSONNEL MANAGEMENT

PAA

PERFORMANCE APPRAISAL APPLICATION

PCS

PERMANENT CHANGE-OF-STATION

POPM

PROPONENT FOR PREVENTIVE MEDICINE

PRA

PERFORMANCE REVIEW AUTHORITY

RPA

REQUEST FOR PERSONNEL ACTION

SMART

SPECIFIC, MEASURABLE, ALIGNED, RELEVANT/REALISTIC, AND TIMED

SSR

SPECIAL SALARY RATE

USACHPPM

U.S. ARMY CENTER FOR HEALTH PROMOTION AND PREVENTIVE MEDICINE

USAMEDCOM

U.S. ARMY MEDICAL COMMAND

WIGI

WITHIN-GRADE INCREASE

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PROHIBITED PERSONNEL PRACTICES
(TITLE 5, UNITED STATES CODE, SECTION 2301)

Prohibited personnel practices are those things a Federal employee, with personnel authority, may not do. A Federal employee has personnel authority if they can take, direct others to take, recommend, or approve any personnel action. This includes appointments, promotions, discipline, details, transfers, reassignments, reinstatements, or any decisions concerning pay, benefits, training, and any decision to order psychiatric testing or examination. Recent changes to the law were made to protect Department of Defense veterans. A personnel action now also includes any significant change in duties, responsibilities, or working conditions, which is inconsistent with employees' salary or grade. People with personnel authority—managers and supervisors—are charged with avoiding prohibited personnel practices.

PROHIBITED PERSONNEL PRACTICES

- Do not **DISCRIMINATE** on the basis of race, color, religion, sex, national origin, age, handicapping condition, marital status, or political affiliation.
 - Do not **SOLICIT** or **CONSIDER** any personnel recommendation or statement not based on personal knowledge or records of performance, ability, aptitude, general qualifications, character, loyalty, or suitability.
 - Do not **COERCE** an employee's political activity.
 - Do not **DECEIVE** or **OBSTRUCT** any person with respect to such person's right to compete for employment.
 - Do not **INFLUENCE** a person to withdraw from competition for the purpose of improving or injuring the prospects of another person for employment.
 - Do not **GRANT** any preference or advantage not authorized by law, regulation, or rule to any [employee or applicant for the purpose of improving or injuring the prospects of another person for employment].
 - Do not **EMPLOY** or **ADVOCATE** a relative.
 - Do not **RETALIATE** against a Whistleblower, whether an employee or an applicant.
 - Do not **RETALIATE** against employees or applicants who exercise their appeal rights, testify, or cooperate with an Inspector General or the Special Counsel, or refuse to break the law.
 - Do not **DISCRIMINATE** based on actions not adversely affecting performance.
 - Do not **VIOLATE** any law, rule, or regulation implementing or directly concerning the merit principles.
 - Do not **VIOLATE** Veteran's Preference by taking or failure to take a personnel action.
(National Defense Authorization Act for FY97, Public Law 104-201, September 23, 1996)
-



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JUNE 2008



USACHPPM TG No. 311
