APPENDIX D

FRAMEWORK FOR RECOGNITION AND REWARDS

The following is the NPS framework for meeting the requirements of performance recognition that emphasizes rigor in the areas of performance-based recognition, tying performance plans to organizational mission and goals, and communication between employees and supervisors.

1. To provide a means to differentiate levels of contribution to mission and recognize and reward employees appropriately based on their individual accomplishments and contributions, for those employees who received an "Acceptable" rating of record as part of an annual performance appraisal, each critical element will be assessed against the performance awards standards in paragraph 4 of this appendix.

   a. This assessment will result in the assignment by the rating official of a reward recommendation score of 1, 2 or 3 to each critical element.

   b. The senior rating official will review and modify as necessary the scores recommended by the rating official.

   c. The score and any associated award amount will then be reviewed and modified or approved by the Performance Awards Review Board in accordance with section 15. c. of this policy.

2. Eligibility for the various forms of recognition and rewards is based on the rounded average of the reward recommendation scores assigned as described in paragraph 1 of this appendix. The two primary means of recognizing and rewarding performance and contributions to mission are as follows:

   a. Awards. In accordance with section 15. a., awards may be used as tools to acknowledge and motivate employees by recognizing and rewarding significant individual, team or organizational achievements or contributions. Performance-based awards will be granted according to the chart below. Awards are neither mandatory nor guaranteed.

<table>
<thead>
<tr>
<th>Average of Critical Element Scores</th>
<th>Award Eligibility (% of basic pay)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0 - 1.49</td>
<td>No award - 1.0%</td>
</tr>
<tr>
<td>1.50 - 2.49</td>
<td>1.0 - 2.0%</td>
</tr>
<tr>
<td>2.50 - 3.0</td>
<td>2.0 - 4.0%</td>
</tr>
</tbody>
</table>

Enclosure (4)
b. **Quality Step Increases (QSI)**. In accordance with section 15. b., the purpose of a QSI is to provide appropriate incentive and recognition for excellence in performance by granting a faster than normal step increase. To be eligible for a QSI, an employee must:

1. Currently be paid below step 10 of his or her grade;
2. Have received an average reward recommendation score of no less than 2.5;
3. Have demonstrated sustained performance of high quality; and
4. Have not received a QSI (or QSI-equivalent under a personnel system other than the General Schedule) within the preceding 52 consecutive calendar weeks.

3. For the transition year only, the chart in paragraph 2. a. of this appendix may be modified to ensure that transitioning employees are appropriately rewarded for their performance during the entire FY2010 appraisal period. For employees who are not entitled to a rating of record under NSPS (i.e., employees who transitioned from NSPS to GS prior to 3 July 2010), the chart will be modified as follows:

<table>
<thead>
<tr>
<th>Average of Critical Element Scores</th>
<th>Award Eligibility (% of basic pay)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0 - 1.49</td>
<td>No award - .75%</td>
</tr>
<tr>
<td>1.50 - 2.49</td>
<td>.75 - 1.25%</td>
</tr>
<tr>
<td>2.50 - 3.0</td>
<td>1.25 - 2.0%</td>
</tr>
</tbody>
</table>

4. The performance awards standards by which performance on individual critical elements is assessed in order to assign a score, as described in paragraph 1 of this appendix, are on the following pages.
<table>
<thead>
<tr>
<th>Career Stage</th>
<th>Score 1</th>
<th>Score 2</th>
<th>Score 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Entry</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Rewards</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Performance</td>
<td>Accomplished the stated critical element, achieving desired results that were meticulously sound, organized, prioritized and scheduled own work activities to deliver the critical element in a timely and effective manner.</td>
<td>Demonstrated ability to work well with others.</td>
<td>Demonstrated high standards of teamwork.</td>
</tr>
<tr>
<td>Standards</td>
<td>Met applicable authorities, policies, procedures and guidelines.</td>
<td>Achieved results that were technically sound, accurate, thorough and documented.</td>
<td>Contributed results beyond what was expected; results were far superior in quality, quantity and/or impact to the stated critical element.</td>
</tr>
<tr>
<td>Assistance</td>
<td>With considerable guidance and assistance.</td>
<td>Effectively achieved the stated critical element.</td>
<td>Represented the organization or work unit effectively through model team cooperation.</td>
</tr>
<tr>
<td>Without assistance</td>
<td>Without assistance</td>
<td>Without assistance</td>
<td>Without assistance</td>
</tr>
</tbody>
</table>

Enclosure (4)
<table>
<thead>
<tr>
<th>Career Stage</th>
<th>Rewards Score</th>
<th>Performance Awards Standard</th>
</tr>
</thead>
</table>
| Journey      | 1             | - Completed the stated critical element by achieving results that met applicable standards, policies, procedures, and guidelines.  
                 |                | - In achieving job objectives and work assignments, adhered to work/project schedules; organized or prioritized own tasks to complete assignments; adjusted own work priorities to achieve desired results.  
                 |                | - Demonstrated ability to work well with others. |
| Journey      | 2             | - Effectively accomplished the stated critical element by achieving results that were technically sound, accurate, thorough and documented and met applicable authorities, standards, policies, procedures and guidelines.  
                 |                | - Planned, organized, prioritized and scheduled own work activities to deliver the critical element in a timely and effective manner, making adjustments to respond to changing situations as necessary.  
                 |                | - Demonstrated high standards of teamwork and cooperation. |
| Journey      | 3             | (Measured in addition to Journey 1 and 2 above)  
                 |                | - Achieved outcomes and results that are superior in quality, quantity, timeliness and/or impact to what would ordinarily be expected at this level.  
                 |                | - Contributed to organizational performance well beyond what is expected.  
                 |                | - Persisted in overcoming obstacles and put forth extra effort to accomplish difficult assignments.  
<pre><code>             |                | - Represented the organization or work unit effectively through model team cooperation. |
</code></pre>
<table>
<thead>
<tr>
<th>Career Stage</th>
<th>Rewards Score</th>
<th>Performance Awards Standard</th>
</tr>
</thead>
</table>
| Expert       | 1             | • Delivered on each critical element with broad and significant impact that was in alignment with the mission and objectives of the organization as well as applicable authorities, standards, policies, procedures and guidelines anticipating and overcoming significant obstacles.  
• Established priorities and coordinated work across projects, programs or people, balancing work demands and anticipating and overcoming obstacles to achieve a timely and positive outcome.  
• Demonstrated high standards of professional conduct and represented the organization or work unit. |
| Expert       | 2             | • (Measured in additional to Expert 1 above)  
• Effectively demonstrated performance in each critical element that contributed to the mission and goals of the organization as well as applicable authorities, standards, policies, procedures and guidelines. Adapted established methods and procedures when needed.  
• Demonstrated high standards in representing the organization or work unit through teamwork, cooperation and leadership. |
| Expert       | 3             | • (Measured in addition to Expert 1 and 2 above)  
• Contributed results far superior in quality, quantity and/or impact to the stated critical element.  
• Accomplishments and outcomes were of such magnitude that they contributed to the organization exceeding its mission goals and objectives for the year.  
• Created new and innovative methods and processes that contributed significantly to the success of the organization.  
• Represented the organization or work unit through model teamwork, cooperation and exemplary leadership. |
<table>
<thead>
<tr>
<th>Career Stage</th>
<th>Rewards Score</th>
<th>Performance Awards Standard</th>
</tr>
</thead>
</table>
| Supervisory  | 1             | • Achieved expected results by effectively carrying out established supervisory responsibilities.  
• Demonstrated adequate EEO and Affirmative Action awareness in areas of supervision and leadership.  
• Instituted measures to foster productivity and safety.  
• Provided timely performance feedback at a minimum of two times during the performance cycle. Took appropriate corrective action to address instances of inappropriate conduct and/or unacceptable performance. |
| Supervisory  | 2             | • Established priorities and coordinated work across projects, programs or people, effectively balancing work demands and anticipating and overcoming difficult obstacles to achieve a timely and positive outcome.  
• Provided clear guidance to others by translating organizational goals into concrete objectives, plans, priorities, and assignments.  
• Proactively instituted measures to foster increased productivity and safety.  
• Developed employee or team performance and/or potential through mentoring and coaching. |
| Supervisory  | 3             | • (Measured in addition to Supervisory 1 and 2 above)  
• Contributed business results beyond what was expected; results were far superior in quality, quantity, and/or impact to the stated objective.  
• Supervisory contributions were exemplary and the results achieved went well beyond what was expected in terms of quality, quantity, timeliness and/or impact.  
• Identified and utilized innovative and/or creative methods that accomplished work and provided long-range support for Human Capital Strategic Goals. Actively sought out information for and engaged in Strategic Workforce Planning for the work unit.  
• Maintained positive working relationships with employees and labor organizations. Encouraged and fostered organizational use of problem solving and Alternative Dispute Resolution techniques and programs to maintain or improve production and harmony in the workplace. Instituted proactive and innovative measures to foster increased productivity and safety.  
• Managed and recognized employee performance in keeping with DON policy; provided timely feedback, and held a minimum of two formal performance meetings during the rating cycle; developed employee or team performance and/or potential through mentoring and coaching. Took timely and appropriate corrective action. |