



**UNITED STATES DEPARTMENT OF COMMERCE**  
**National Oceanic and Atmospheric Administration**  
**WORKFORCE MANAGEMENT OFFICE**

September 19, 2007

MEMORANDUM FOR: NOAA Rating Officials

FROM: Eduardo J. Ribas   
Director for Workforce Management

SUBJECT: 5-Level Closeout Procedures

**This memo is directed at Rating and Approving Officials who supervise employees covered by the five-level performance management system. Those Rating Officials who supervise employees covered by the two-level or Demonstration Project performance management systems may disregard this message.**

September 28, 2007, marks the final business day of the FY07 performance appraisal cycle\*. Many of you have already initiated the closeout of your direct reports' performance plans. For those of you who have not, now is the time to begin scheduling pre-appraisal and final appraisal meetings, to request accomplishment listings from your employees, and to coordinate with Approving Officials to finalize proposed ratings and performance awards. The remainder of this memo details the FY07 closeout process for Rating Officials who supervise five-level employees.

\*The final business day of the Wage Marine performance appraisal cycle is October 31, 2007.

### **Requirements and Deadlines**

All final ratings must be completed by October 30, 2007, with the exception of the Wage Marines. Wage Marine final ratings must be completed by November 30, 2007. Both of these deadlines require that the Approving Official has signed the performance plan and that the employee has been presented with his or her rating during the performance appraisal meeting.

In order to process the final ratings and performance awards and to meet Department of Commerce reporting deadlines, each Line or Corporate Office (LO/CO) with five-level employees must provide the Workforce Management Office (WFMO) with one package containing the following items by **November 16, 2007\***:

- A copy, with signatures, of each employee's "Performance Summary Rating" page from the CD-430, Performance Plan and Appraisal Record (CD-430): [http://ocio.os.doc.gov/ITPolicyandPrograms/Electronic\\_Forms/FormsByNumber/DEV01\\_002506](http://ocio.os.doc.gov/ITPolicyandPrograms/Electronic_Forms/FormsByNumber/DEV01_002506).
- A Performance Management Tracking System (PMTS) spreadsheet listing all of the LO/CO's five-level employees, their respective ratings, and performance awards information. Please note that the PMTS must list the employee's full name as entered in the National Finance Center system and as identified on the employee's Earnings and Leave Statement. Aliases and

nicknames are not acceptable. The PMTS can be found at:

<http://www.wfm.noaa.gov/performancegmt/fivelevel/fivelevpmts.html>

- A CD-431, PMTS Certification Report, which can be found at:  
[http://ocio.os.doc.gov/ITPolicyandPrograms/Electronic\\_Forms/FormsByNumber/PROD01\\_002099](http://ocio.os.doc.gov/ITPolicyandPrograms/Electronic_Forms/FormsByNumber/PROD01_002099)

These documents should be delivered in one package to the WFMO contacts listed below. *It is important to note that these packages must not be delivered electronically since the included documents will contain Personally Identifiable Information (PII).* The suggested methods of delivery are U.S. Mail, hand-delivery, or Federal Express.

#### **WFMO Contact Points**

- |                           |                  |
|---------------------------|------------------|
| • AGO, CAO, CIO, and USEC | Susan Buck       |
| • EDA, MBDA               | Pam Denton       |
| • ITA                     | Mary Parker      |
| • NMAO, Wage Marines      | Sharon Wilgus    |
| • NMFS                    | Rebecca Williams |
| • NOS                     | Marsha Williams  |
| • NWS                     | Angela Taylor    |
| • OAR                     | Anita Rakestraw  |

The mailing address and phone numbers for these WFMO employees can be found at:  
<http://www.wfm.noaa.gov/performancegmt/fivelevel/07closeoutcontacts.html>

\*The deadline for the delivery of the Wage Marine package is December 14, 2007.

#### **Eligibility for Rating**

An employee covered by the five-level system is eligible for an FY07 rating as long as both of the following conditions are met (see – Performance Management System Handbook, Chapter 9. Evaluating Employee Performance:  
[http://ohrm.os.doc.gov/Performance/prod01\\_001123](http://ohrm.os.doc.gov/Performance/prod01_001123)):

1. He or she occupies a covered position on the last day of the performance cycle; and
2. He or she worked at least 120 days in one or more covered positions during the appraisal cycle.

An employee is unratable if one of the following applies:

1. The employee did not work at least 120 days in one or more covered positions during the rating cycle; or
2. The employee has been placed on a Performance Improvement Plan (PIP) because the Rating Official has determined that the employee's performance is

at Level 1 on one or more critical elements. A PIP is only developed when an employee's performance is at Level 1.

If an employee is unratable because he or she was on a PIP, the rating period will be extended for the duration of the PIP and the employee will be rated upon completion of the PIP.

### **Evaluating an Employee and Determining Final Ratings**

In order to determine the final rating for an employee, the Rating Official must assess each critical element in the performance plan against two different standards:

1. The supplemental standards specific to that element as documented in the "Criteria for Evaluation" section on the CD-430; and
2. The Generic Performance Standards, which can be found in Appendix A of the CD-430 or at:  
[http://ohrm.os.doc.gov/s/groups/public/@doc/@cfoasa/@ohrm/documents/content/prod01\\_001139.pdf](http://ohrm.os.doc.gov/s/groups/public/@doc/@cfoasa/@ohrm/documents/content/prod01_001139.pdf).

Each element is then rated on a scale from 1 to 5, with 5 being the highest possible score. Once all of the elements have been assigned a score, each score is multiplied by the weight for that element. The results for each element are then totaled into an overall score. The Rating Official should use the scale below to determine in which range the overall score falls. This becomes the final rating:

- 470 – 500 points                      Level 5
- 380 – 469 points                      Level 4
- 290 – 379 points                      Level 3
- 200 --289 points                      Level 2
- 100 – 199 points                      Level 1

*Please note that if any critical element is assigned a score of 1, the overall rating necessarily becomes a Level 1.*

Rating Officials must provide, on the CD-430, either an overall narrative justification of the rating or a written justification for each element rating. They must do one or the other, and may do both. A written justification is required for any element rated below Level 3.

Once a final rating has been determined, the Rating Official must confer with the Approving Official and ultimately acquire a signature on the "Performance Summary Rating" page of the CD-430. The Approving Official's signature must be obtained prior to the performance appraisal meeting with the employee.

Further information about evaluating an employee can be found at:  
[http://ohrm.os.doc.gov/Performance/prod01\\_001133](http://ohrm.os.doc.gov/Performance/prod01_001133).

### **Appraisal Meetings**

- *Pre-Appraisal Meetings*

Before an employee is presented with his or her final rating, the Rating Official, at the request of either the employee or the Rating Official, may schedule a pre-appraisal meeting. At this meeting, the employee can present accomplishments completed during the year and aspects of his/her performance of which the Rating Official may not be aware.

- *Performance Appraisal Meetings*

Once the Rating Official gains Approving Official signature on the performance plan, the Rating Official should present this final rating to the employee during a pre-determined meeting. The meeting should be used to highlight the employee's strengths and challenges during the appraisal cycle.

### **Performance Awards**

One of the features of the new, five-level performance management system is the reinstatement of performance awards. Performance award amounts are generally limited to 10 percent of basic pay (including locality payments). However, an employee may receive a performance award amount up to the statutory limit of 20 percent (base pay including locality payments). Performance awards between 10 percent and 20 percent must be approved by the Under Secretary for Oceans and Atmosphere. Please note that Special Act Awards, Cash-in-Your-Account Awards, and Administrator's or Technology Transfer Awards do not count toward the 10 percent maximum for performance awards.

Performance Award recommendations received by the November 16<sup>th</sup> deadline will be effective no later than November 25, 2007, pay period 24. The pay date will be no later than December 20, 2007\*.

\*The deadline for the receipt of Wage Marine performance awards is December 14, 2007. These awards will be effective no later than December 23, 2007, and will be paid out on January 17, 2008.

As always, please contact your servicing Workforce Management Advisor if you have any questions about performance management or awards:

[http://www.wfm.noaa.gov/contact\\_lists.html](http://www.wfm.noaa.gov/contact_lists.html).