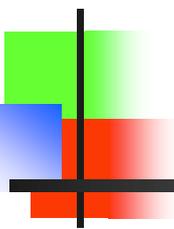
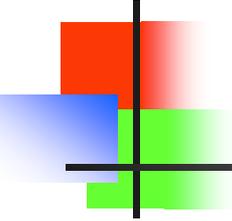


# The Five-Level Performance Management System



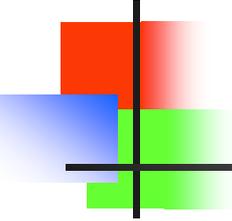
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# CAVEAT

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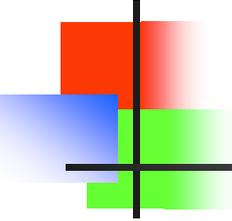
- Please note that this presentation is intended for managers and supervisors and is not intended for bargaining unit members.
- If you are a member of a bargaining unit, you will receive training after labor relations obligations have been completed.



# Goals of New System

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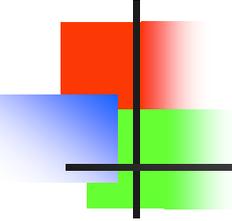
- Meaningful distinctions in performance
- Linking individual performance to organizational performance
- Unified system across DOC



# Policy

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- DAO 202-430
  - Signed: 10/13/2005
  - [http://ohrm.os.doc.gov/static/PROD01\\_001119.pdf](http://ohrm.os.doc.gov/static/PROD01_001119.pdf)
  
- *Performance Management Handbook:*
  - Signed: 10/13/2005
  - [http://ohrm.os.doc.gov/Performance/PROD01\\_001123.html](http://ohrm.os.doc.gov/Performance/PROD01_001123.html)

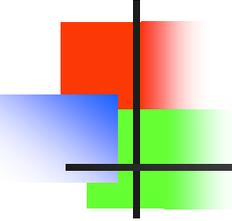


# Department of Commerce Rollout

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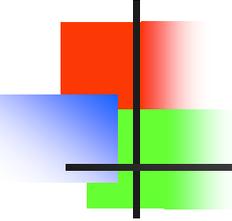
- Effective 10/13/05 for all Commerce bureaus except: NOAA, Census, OIG, and EDA
- NOAA to rollout effective 10/01/06 after labor relations obligations completed

# NOAA Rollout: Announcement of New System



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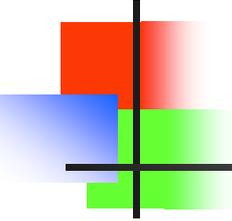
- 10/05: National Consultation Rights with National Weather Service Employees Organization (NWSEO) completed
- 10/17/05: Eddie Ribas, WFMO Director, briefs NOAA Executive Panel (NEP)
- 11/22/05: Deputy Under Sec (Gen Kelly) issues email to AAs and Corporate Office Directors



# NOAA Rollout: Union Activities

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- 10/05: Union management officials briefed; policy, *Handbook* presented
- 11/05 – 03/06: WFMO compiles listing of union issues; union negotiations occur

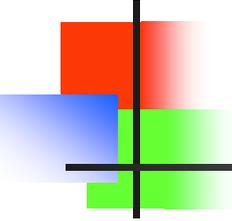


# NOAA Rollout: Training

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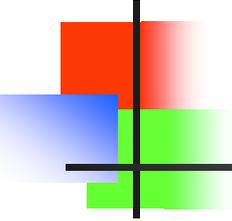
- Internal WFMO training: 01/06 – 04/06
- Managers Training: 04/06 – 07/06
  - Client Services Office (CSO) briefs client managers
  - Via WebEx, video and E-Learning
- Employees Training: 06/06 – 09/06
  - LO/SO managers must ensure employees are trained
  - WFMO working on orientation module for E-Learning

# NOAA Rollout: The Final Steps



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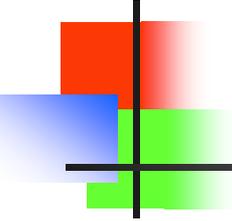
- 09/06 – 10/06: Closeout of FY06, two-level plans
- 10/01/06: Five-level system effective
- 11/30/06: Five-level plans in place for all covered employees



# Covered Employees

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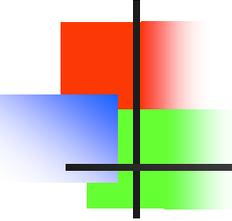
- General Schedule
- Wage Marines
- Federal Wage System



# Appraisal Cycles

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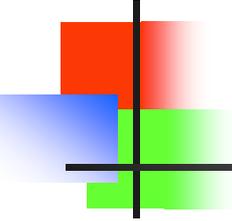
- October 1 – September 30 (FY)
- Except:
  - Wage Marines: November 1 – October 31



# Five Rating Levels

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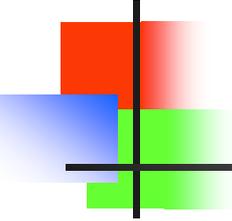
- No adjectives
- Level 5, Level 4, Level 3, Level 2, and Level 1
- Level 3 equivalent to “Fully Successful”
- Level 1 equivalent to “Unacceptable”



# Eligibility for Rating

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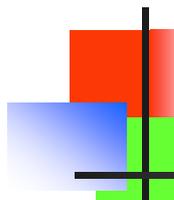
- 120 days – Minimum Appraisal Period
- Must occupy covered position on last day of cycle to be eligible for rating
- Supervisors do not have minimum appraisal period to rate



# Performance Planning

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- Plans must be established within 60 days
- New form: CD-430 to replace CD-516
  - <http://www.osec.doc.gov/forms/pdf/cd430fll.pdf>
    - Each element is linked to an organizational goal



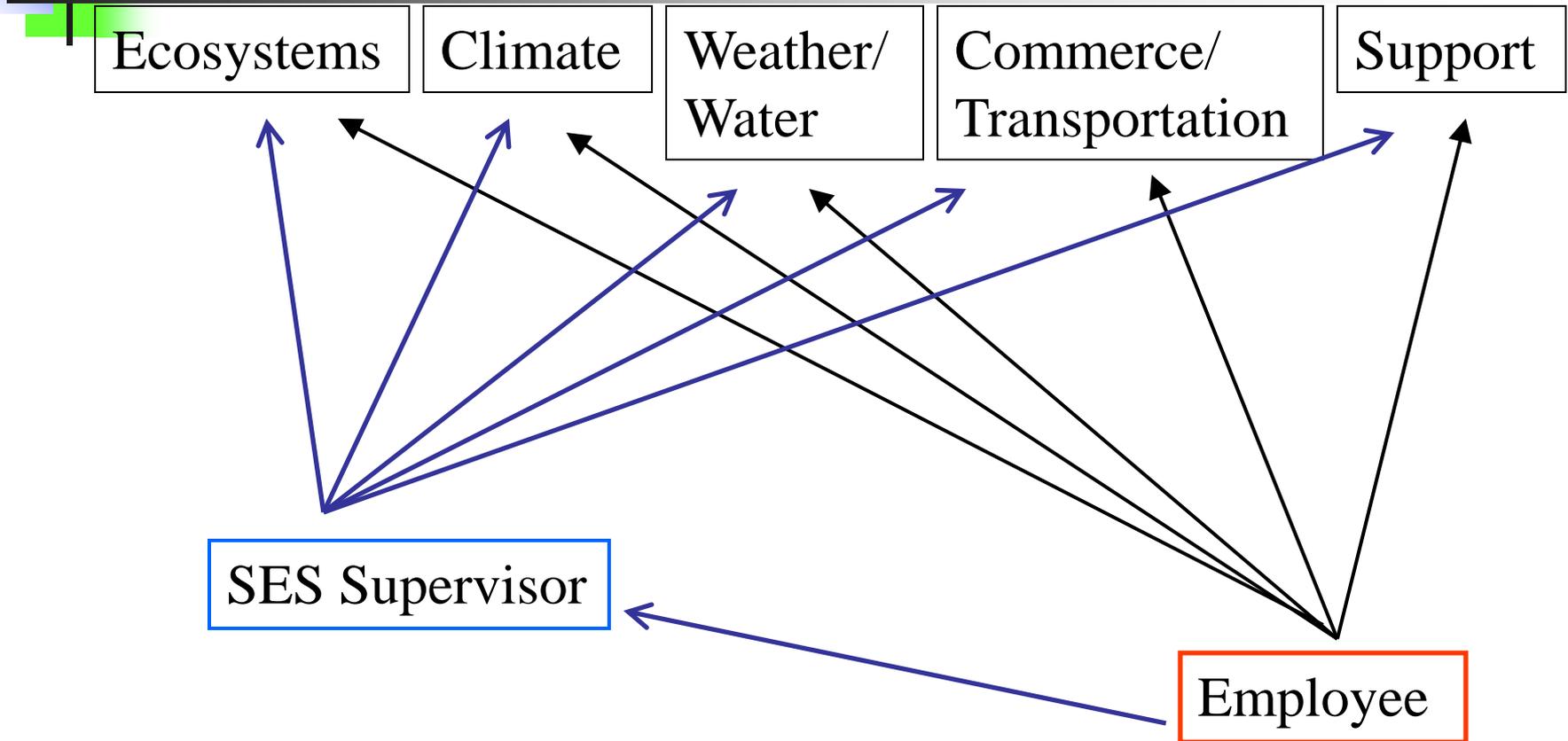
# NOAA's Goals and Priorities

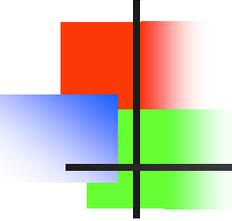
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## **Four MISSION GOALS and a MISSION SUPPORT GOAL:**

1. Protect, Restore, and Manage the Use of Coastal and Ocean Resources through an Ecosystem Approach to Management
2. Understand Climate Variability and Change to Enhance Society's Ability to Plan and Respond
3. Serve Society's Needs for Weather and Water Information
4. Support the Nation's Commerce with Information for Safe, Efficient, and Environmentally Sound Transportation
5. Provide Critical Support for NOAA's Mission

# Linking Plans to Goals

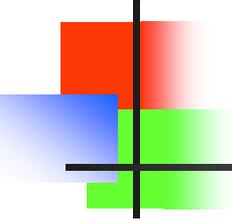




# Performance Elements

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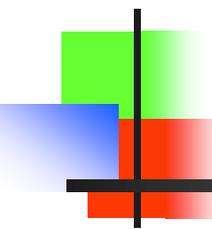
- All elements are critical
- Minimum of 3, maximum of 5
- Mandatory elements:
  - Customer Service for all employees
  - Leadership for all supervisors
- All elements are weighted (by percentage)
  - 15% is minimum



# Performance Standards

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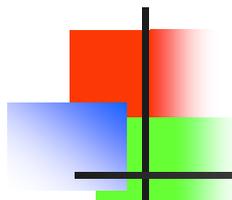
- Generic Performance Standards
  - Applicable to all critical elements
  - [http://ohrm.os.doc.gov/static/PROD01\\_001139.pdf](http://ohrm.os.doc.gov/static/PROD01_001139.pdf)
  
- Supplemental standards are required



# Supplemental Standards

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Credible Measures



# HR Specialist

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- Critical Element: Administers NOAA awards programs and plans associated ceremonies.

- Supplemental Standard: Awards nominations and processes are documented accurately with complete records. External and gold and silver medal award nominations are submitted to DOC on or before the established deadlines. Award ceremonies run smoothly, with few noticeable errors, are cost-effective, and are celebratory in nature. Feedback from leadership and other ceremony attendees is generally positive.

# Equal Employment

## Opportunity Manager (GS-13)

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- Critical Element: Provide high-quality and professional customer service and support the goals and objectives of the division and the Office of Civil Rights (OCR).

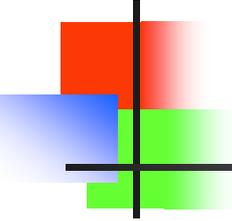
- Supplemental Standard: Most work products are submitted on or before the due date, and in the format requested by the division director and/or Director of OCR. Customer feedback is positive and reflects well on the division and OCR. Recommendations and plans of action are consistent with applicable laws, regulations and policies, and reflect a thorough understanding of the division's and the organization's goals and mission. Most work products are written in clear, concise language, are grammatically correct, and contain few typographical errors.

# Equal Employment

## Opportunity Manager (GS-13)

- Critical Element: ADR Counseling Team Lead—To coordinate ADR sessions in the informal and formal EEO process and facilitate pre-complaint activities.

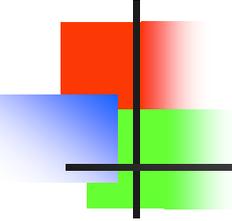
- Supplemental Standard: EEOTrack entries are accurate and current (inputted within 5 business days of receiving completed client information). Notices of Right to File are issued within 30 days of the initial contact, 90 days, if ADR elected, or unless an extension is granted by the EEO Officer or requested by the counselees. Counselors are assigned within the timeframe established by the EEO Officer. The EEO and ADR Programs are operated in compliance with all statutes, regulations, management directives, and policies issued by the EEOC.



# Assigning Ratings to Elements

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- Using the Generic Performance Standards (and Supplemental Standards), evaluate and rate each element within a plan (Levels 1 – 5)
- No fractional scores permitted
  - Rating must be Level 4, Level 5
  - Not Level 4.5



# Summary Derivation Scheme

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- Use each element's weight and multiply the weight by that element rating to achieve a score
  - Ex. –  $15 (\%) \times (\text{Level}) 4 = 60$  points
- Total these scores to achieve an overall rating
  - Ex. –  $60 \text{ points} + 80 \text{ points} + 260 \text{ points} = 400$  points
- Use scale to determine which rating corresponds to 400 points

# Determining the Summary Rating

## Overall Score

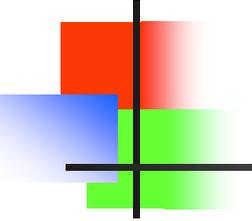
## Summary Rating

■ 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

Example from Previous Slide:

- 400 points translates into a Level 4 rating

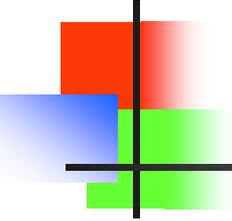
# Another Example

- 
- Critical Element 1 is 30% of plan  
30 x 4 = 120 points      Rated at Level 4
  - Critical Element 2 is 30% of plan  
30 x 3 = 90 points      Rated at Level 3
  - Critical Element 3 is 20% of plan  
20 x 3 = 60 points      Rated at Level 3
  - Critical Element 4 is 20% of plan  
20 x 4 = 80 points      Rated at Level 4
- 120 + 90 + 60 + 80.....TOTAL = 350 points**

## Scale

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

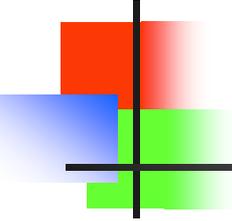
**Final Rating = Level 3**



# Justifying the Rating

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- Supervisor required to write overall narrative justification...or
- Justifications for each individual elements...or both
- All elements rated below Level 3 require a justification
  - Level 1 on any element = Overall Level 1
  - Level 1 rating---see your servicing HRA; PIP required

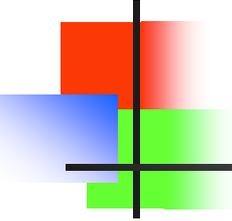


# Reconsideration of Rating

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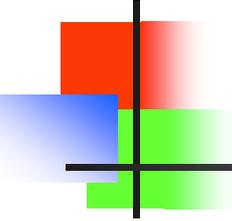
- If employee is not satisfied with rating, he/she may request informal reconsideration
- Also may request formal reconsideration
  - Under the appropriate negotiated grievance procedures or under the DOC's administrative grievance procedures

# Reinstatement of Performance Awards



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- Performance awards linked to achievement of organizational goals
- Highest performers to receive largest awards
- Special Act, Time Off, and CIYA still available for use throughout year
  - May impact performance award amounts



# For more information, visit:

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- [http://ohrm.os.doc.gov/Performance/PROD01\\_001118.html](http://ohrm.os.doc.gov/Performance/PROD01_001118.html)
- Or see:  
<http://www.wfm.noaa.gov/performancegmt/media/test.asx>  
for the DOC training video