

**NOAA****NATIONAL OCEANIC AND
ATMOSPHERIC ADMINISTRATION**
UNITED STATES DEPARTMENT OF COMMERCE

MEMORANDUM FOR: NOAA Supervisors of Construction Work-In-Progress (CWIP) Project and Activity Managers

FROM: Sandra R. Manning
Director, Workforce Management Office

SUBJECT: Construction Work-In-Progress: Required Critical Elements

You are receiving this message because you have been identified as a supervisor of a Construction Work-In-Progress (CWIP) Project Manager and/or Activity Manager. In conjunction with the Office of the Chief Administrative Officer, NOAA's Workforce Management Office established required critical element language specific to each role. The purpose of this message is to provide clarification to the September 24, 2008, broadcast message regarding required critical element language. The original broadcast message stated that the CWIP critical element should be incorporated into the FY 2009 performance plans. However the intent was that all CWIP Project and Activity Managers have the CWIP critical element language incorporated into their performance plans beginning in FY 2009 and every year thereafter.

The CWIP element language can either be incorporated into another critical element or it can become a stand-alone element. Remember that the minimum element weight in the Commerce Alternative Personnel System (CAPS) is 5%, and the minimum element weight in the Five-Level Performance Management System is 15%. It is recommended that the CWIP element constitute at least 15%, but no more than 25% of a Project or Activity Manager's performance plan. CWIP Activity Managers have CWIP element language that is distinct from that of CWIP Project Managers.

Please find the required critical element language for the CWIP Project and Activity Managers below:

- [CD-541, Performance Management Record \(CAPS\)](#) - Project Managers
- [CD-541, Performance Management Record \(CAPS\)](#) - Activity Managers
- [CD-430, Performance Management Record \(Five-Level\)](#) - Project Managers
- [CD-430, Performance Management Record \(Five-Level\)](#) - Activity Managers
- [CD-541, Performance Management Record \(Two-Level\)](#) - Project Managers
- [CD-541, Performance Management Record \(Two-Level\)](#) - Activity Managers

The language has been provided on the CD-541, Performance Management Record (CAPS), the CD-430, Performance Management Record (Five-Level), and the CD-516, Performance Management Record (Two-Level) to account for the different performance management systems which cover CWIP Project and Activity Managers.

This language must be incorporated into all FY 11 performance plans of your CWIP direct reports immediately and in all plans henceforth.

If you have problems viewing this email, an html format is provided here:
http://www.wfm.noaa.gov/emails/CWIP_CritElements.html

This message was generated for the Director for Workforce Management by the NOAA Information Technology Center/Financial and Administrative Computing Division.



NOAA

NATIONAL OCEANIC AND
ATMOSPHERIC ADMINISTRATION
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MEMORANDUM FOR: NOAA Supervisors of CWIP Project and Activity Managers

FROM: Eduardo J. Ribas
Director, Workforce Management

SUBJECT: Construction Work-In-Progress: Required FY09 Critical Elements

You are receiving this message because you have been identified as a supervisor of a Construction Work-In-Progress (CWIP) Project Manager and/or Activity Manager. In FY09, all CWIP Project and Activity Managers must have CWIP critical element language incorporated into their performance plans. In conjunction with the Office of the Chief Administrative Officer, NOAA's Workforce Management Office has established required critical element language specific to each role. In other words, CWIP Activity Managers have CWIP element language that is distinct from that of CWIP Project Managers.

The CWIP element language can either be incorporated into another critical element or it can become a stand-alone element. Remember that the minimum element weight in the Commerce Alternative Personnel System (CAPS, formerly Demo) is 5%, and the minimum element weight in the Five-Level Performance Management System is 15%. It is recommended that the CWIP element constitute at least 15% but no more than 25% of a Project or Activity Manager's performance plan.

Please find the required critical element language for the CWIP Project and Activity Managers below:

- [CD-430, Performance Management Record \(Five-Level\)](#) - Project Managers *Exhibit A*
- [CD-430, Performance Management Record \(Five-Level\)](#) - Activity Managers *Exhibit B*
- [CD-541, Performance Management Record \(CAPS\)](#) - Project Managers *Exhibit C*
- [CD-541, Performance Management Record \(CAPS\)](#) - Activity Managers *Exhibit D*

The language has been provided on both the CD-430, Performance Management Record (Five-Level) and the CD-541, Performance Management Record (CAPS) to account for the different performance management systems which cover CWIP Project and Activity Managers.

This language must be incorporated into the FY09 performance plans of your CWIP direct reports by November 28, 2008.

Thank you for your attention to this matter.



Eduardo J. Ribas
Workforce Management Director
National Oceanic and Atmospheric Administration

This message was generated for the Director for Workforce Management by the NOAA
Information Technology Center/Financial and Administrative Computing Division.

CONSTRUCTION WORK IN PROGRESS CRITICAL ELEMENT CWIP PROJECT MANAGERS

Exhibit A

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____

Date _____

Element No. _____ of _____

Cascaded Organizational Goals

Each element must be cascaded from the DOC Strategic Goals. All Goals must be identified for each element. First, select the appropriate DOC Strategic Goal, then list the Bureau Goal, and the SES Manager Goal to complete the cascade.

DOC Strategic Goals:

- ☐ Strategic Goal 1: Provide the information and tools to maximize U.S. competitiveness and enable economic growth for American industries, workers and consumers
- ☐ Strategic Goal 2: Foster science and technology leadership by protecting intellectual-property, enhancing technical standards and advancing measurement science
- ☒ Strategic Goal 3: Observe, protect and manage the Earth's resources to promote environmental stewardship
- ☒ Management Integration Goal: Achieve Organizational and Management Excellence
- ☒ Bureau Goal: Provide Critical Support for NOAA's Mission
- ☒ SES/Organizational Goal: INSERT APPROPRIATE SES GOAL

Critical Element and Objective

Construction Work In Progress (CWIP) Process

To comply with financial stewardship and accountability requirements in executing CWIP responsibilities.

Weighting Factor: (The weight for each element should reflect the significance within the framework of the Department's or bureau's organization goals. Weights should not be assigned based on the percentage of time an employee spends working on that element.)

Element Weight

25

Enter the weight for this element in the adjacent box. →

Results of Major Activities: Identify results that need to be accomplished in support of the performance element. A minimum of 3 and a maximum of 6 measurable results must be listed.

1. Internal controls are in place to prevent fraud, waste, abuse and management inefficiency in the day-to-day administration of programs.
2. CWIP financial management responsibilities are met.
3. Internal controls are created for acquiring, managing, and disposing of Real Property and Personal Property and for handling sensitive and personally identifiable information.
4. A CWIP Determination Letter is provided to the CWIP Activity Manager for all construction-related activities.
5. Estimated schedule dates of design start, construction completion/costs, BOD and/or acceptance date/placed in service and all required documentation are provided to the CWIP Activity Manager.

Criteria for Evaluation: Supplemental Standards are required for each element and must be defined at Level 3 performance in terms of quality, quantity, timeliness, and/or cost-effectiveness. Attached Generic Performance standards also apply.

1. Internal controls comply with the Federal Manager's Financial Integrity Act (FMFIA) and the Chief Financial Officers Act and personally identifiable information is stored and disposed of in accordance with established procedures.
2. A clean CWIP audit opinion is maintained for overseen projects. CWIP projects comply with the NOAA Construction Work in Progress (CWIP) Policy and Procedures Manual.
3. The mandatory annual CWIP training requirement is completed.
4. Accounting codes used on all transactions (CWIP and non-CWIP) are generally correct.
5. Obligor documents are provided to the CWIP Activity Manager prior to obtaining authorizations.
6. A formal analysis is performed annually to determine if an impairment situation has occurred and if the CWIP activity is viable or likely to be completed.

CONSTRUCTION WORK IN PROGRESS CRITICAL ELEMENT CWIP ACTIVITY MANAGERS

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____

Date _____

Element No. _____ of _____

Cascaded Organizational Goals

Each element must be cascaded from the DOC Strategic Goals. All Goals must be identified for each element. First, select the appropriate DOC Strategic Goal, then list the Bureau Goal, and the SES Manager Goal to complete the cascade.

DOC Strategic Goals:

- ☐ Strategic Goal 1: Provide the information and tools to maximize U.S. competitiveness and enable economic growth for American industries, workers and consumers
- ☐ Strategic Goal 2: Foster science and technology leadership by protecting intellectual-property, enhancing technical standards and advancing measurement science
- ☒ Strategic Goal 3: Observe, protect and manage the Earth's resources to promote environmental stewardship
- ☒ Management Integration Goal: Achieve Organizational and Management Excellence
- ☒ Bureau Goal: Provide Critical Support for NOAA's Mission
- ☒ SES/Organizational Goal: INSERT APPROPRIATE SES GOAL

Critical Element and Objective

Construction Work In Progress (CWIP) Process

To comply with financial stewardship and accountability requirements in executing CWIP responsibilities.

Weighting Factor (The weight for each element should reflect the significance within the framework of the Department's or bureau's organization goals. Weights should not be assigned based on the percentage of time an employee spends working on that element.) **Enter the weight for this element in the adjacent box.**

Element Weight

25

Results of Major Activities: Identify results that need to be accomplished in support of the performance element. A minimum of 3 and a maximum of 6 measurable results must be listed.

1. Internal controls are in place to prevent fraud, waste, abuse and management inefficiency in the day-to-day administration of programs.
2. CWIP financial management responsibilities are met.
3. Internal controls are created for acquiring, managing, and disposing of Real Property and Personal Property and for handling sensitive and personally identifiable information.
4. Guidance is provided to the CWIP Project Manager so that the CWIP Determination Letter can be drafted.
5. The work required to record the capitalization of the costs during the production/construction of the asset is performed.

Criteria for Evaluation: Supplemental Standards are required for each element and must be defined at Level 3 performance in terms of quality, quantity, timeliness, and/or cost-effectiveness. Attached Generic Performance standards also apply.

1. Internal controls comply with the Federal Manager's Financial Integrity Act (FMFIA) and the Chief Financial Officers Act and personally identifiable information is stored and disposed of in accordance with established procedures.
2. A clean CWIP audit opinion is maintained for overseen projects. CWIP projects comply with the NOAA Construction Work in Progress (CWIP) Policy and Procedures Manual.
3. The mandatory annual CWIP training requirement is completed.
4. The value of assets is accurately reported during the CWIP stage.
5. Costs are properly submitted to NOAA Finance for reclassification as capitalized assets upon completion of the production/construction.

Exhibit C

**CONSTRUCTION WORK IN PROGRESS CRITICAL ELEMENT
CWIP ACTIVITY MANAGERS**

SECTION 1 - PERFORMANCE PLAN

Employee's Name

Rating Period

Element No.

1 of

ITEM 1. Performance Element, Objective and Point Weight

Critical Element:

Construction Work In Progress (CWIP) Process

Objective:

To comply with financial stewardship and accountability requirements in executing CWIP responsibilities.

Point Weight: 25

The weight must reflect the importance of the element or the time required to perform it, or both. Element weight must be in 5-point increments, with no element weight higher than 60 points, and all element weights must equal 100 points.

ITEM 2. Major Activities or Required Results Related to the Above Element (Maximum of 5)

1. Internal controls are in place to prevent fraud, waste, abuse and management inefficiency in the day-to-day administration of programs.
2. CWIP financial management responsibilities are met.
3. Internal controls are created for acquiring, managing, and disposing of Real Property and Personal Property and for handling sensitive and personally identifiable information.
4. Guidance is provided to the CWIP Project Manager so that the CWIP Determination Letter can be drafted.
5. The work required to record the capitalization of the costs during the production/construction of the asset is performed.

ITEM 3. Evaluation Criteria (Benchmark performance standards must be used; add supplemental standards, if needed.)

1. Internal controls comply with the Federal Manager's Financial Integrity Act (FMFIA) and the Chief Financial Officers Act and personally identifiable information is stored and disposed of in accordance with established procedures.
2. A clean CWIP audit opinion is maintained for overseen projects. CWIP projects comply with the NOAA Construction Work In Progress (CWIP) Policy and Procedures Manual.
3. The mandatory annual CWIP training requirement is completed.
4. The value of assets is accurately reported during the CWIP stage.
5. Costs are properly submitted to NOAA Finance for reclassification as capitalized assets upon completion of the production/construction.

CONSTRUCTION WORK IN PROGRESS CRITICAL ELEMENT CWIP ACTIVITY MANAGERS

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name:	Date	Element No. _____ of _____
Cascaded Organizational Goals		
<p>Each element must be cascaded from the DOC Strategic Goals. All Goals must be identified for each element. First, select the appropriate DOC Strategic Goal, then list the Bureau Goal, and the SES Manager Goal to complete the cascade.</p> <p>DOC Strategic Goals:</p> <p><input type="checkbox"/> Strategic Goal 1: Provide the information and tools to maximize U.S. competitiveness and enable economic growth for American industries, workers and consumers</p> <p><input type="checkbox"/> Strategic Goal 2: Foster science and technology leadership by protecting intellectual-property, enhancing technical standards and advancing measurement science</p> <p><input checked="" type="checkbox"/> Strategic Goal 3: Observe, protect and manage the Earth's resources to promote environmental stewardship</p> <p><input checked="" type="checkbox"/> Management Integration Goal: Achieve Organizational and Management Excellence</p> <p><input checked="" type="checkbox"/> Bureau Goal: Provide Critical Support for NOAA's Mission</p> <p><input checked="" type="checkbox"/> SES/Organizational Goal: INSERT APPROPRIATE SES GOAL</p>		
Critical Element and Objective		
<p>Construction Work In Progress (CWIP) Process</p> <p>To comply with financial stewardship and accountability requirements in executing CWIP responsibilities.</p>		
<p>Weighting Factor: (The weight for each element should reflect the significance within the framework of the Department's or bureau's organization goals. Weights should not be assigned based on the percentage of time an employee spends working on that element.)</p> <p style="text-align: center;">Enter the weight for this element in the adjacent box: →</p>		<p>Element Weight</p> <p>25</p>
<p>Results of Major Activities: Identify results that need to be accomplished in support of the performance element. A minimum of 3 and a maximum of 6 measurable results must be listed.</p>		
<ol style="list-style-type: none"> 1. Internal controls are in place to prevent fraud, waste, abuse and management inefficiency in the day-to-day administration of programs. 2. CWIP financial management responsibilities are met. 3. Internal controls are created for acquiring, managing, and disposing of Real Property and Personal Property and for handling sensitive and personally identifiable information. 4. Guidance is provided to the CWIP Project Manager so that the CWIP Determination Letter can be drafted. 5. The work required to record the capitalization of the costs during the production/construction of the asset is performed. 		
<p>Criteria for Evaluation: Supplemental Standards are required for each element and must be defined at Level 3 performance in terms of quality, quantity, timeliness, and/or cost-effectiveness. Attached Generic Performance standards also apply.</p>		
<ol style="list-style-type: none"> 1. Internal controls comply with the Federal Manager's Financial Integrity Act (FMFIA) and the Chief Financial Officers Act and personally identifiable information is stored and disposed of in accordance with established procedures. 2. A clean CWIP audit opinion is maintained for overseen projects. CWIP projects comply with the NOAA Construction Work in Progress (CWIP) Policy and Procedures Manual. 3. The mandatory annual CWIP training requirement is completed. 4. The value of assets is accurately reported during the CWIP stage. 5. Costs are properly submitted to NOAA Finance for reclassification as capitalized assets upon completion of the production/construction. 		