

**NATIONAL OCEANIC & ATMOSPHERIC
ADMINISTRATION**

**HUMAN CAPITAL ACCOUNTABILITY
SYSTEM PLAN**



FY 2008-2011

Table of Contents

- I. Introduction 3**
- II. Accountability Measures and Data Collection Strategies 6**
 - A. HCAAF System: Strategic Alignment 6
 - B. HCAAF System: Leadership and Knowledge Management (KM) 8
 - C. HCAAF System: Results-Oriented Performance Culture 12
 - D. HCAAF System: Talent Management 16
 - E. HCAAF System: Accountability 20
- III. Accountability Resources 23**
- IV. Reporting Accountability Results 23**
- Appendix A: Program Management Evaluation Process 24**
- Appendix B: Tactical Controls 54**
- Appendix C: Abbreviations 59**

I. Introduction

Responsibility for Human Capital (HC) accountability is shared by top NOAA management, line managers, and Workforce Management Office (WFMO) officials. This includes ensuring that employees are efficiently and effectively managed in support of NOAA's mission and ensuring that all Merit System Principles and related HC rules and regulations are followed. Implementation of the NOAA HC Accountability System will promote effective HC Management by identifying and resolving problems before they impact NOAA's employees or the accomplishment of the mission.

In accordance with the DOC HR Accountability System (HR Bulletin #036) NOAA will perform recurring internal self-assessments to ensure that its practices are consistent with Merit System Principles, statutory and regulatory requirements, DOC policies, and negotiated agreements. Line managers should understand which practices and procedures are critical to a merit-based Human Resources Management (HRM) system through an active communication process.

Concurrently, NOAA has multiple internal and external drivers moving NOAA towards more effective HC planning including:

Legislative and Regulatory: In the last few years, governmentwide concerns with human capital issues have resulted in a number of legislative, policy, and regulatory changes. Some of these are the Chief Human Capital Act of 2002, 5 CFR 250.203¹, the Office of Personnel Management's (OPM) Human Capital Assessment and Accountability Framework (HCAAF), Human Capital Standards for Success, and the Annual Human Capital Management Report (HCMR).

Technology: Technology is changing so rapidly and dramatically that all organizations, public and private, are having difficulty obtaining and maintaining the skills needed to plan for and operationalize their technology requirements. In NOAA, this encompasses not only standard information technology (IT), but also the highly sophisticated equipment used in programs. NOAA's strategic goals envision a bureau capable of developing new technologies, providing integrated data sets for decision support and management systems, enhancing data management and analysis capabilities, and providing easy accessibility of environmental data by the public.

Workforce Characteristics: Sixteen (2,017 employees) percent of the NOAA workforce is eligible to retire today. An additional seventeen percent (2,146 employees) of our workforce will become eligible in 2009-2014. This means that thirty-three (4,581) percent of our workforce will be eligible to retire by 2014. If only forty percent of our retirement eligible workforce retires by 2014, we would lose fifteen percent of our workforce. This is particularly critical in some of our mission critical occupations such as Meteorologist where

¹ This establishes requirements for an agency to maintain a current human capital plan and submit to OPM an annual human capital accountability report

forty-four percent will be eligible to retire by 2014 and Information Technology Specialist where forty-one percent will be eligible by 2014.

Good business practice suggests that diversity enhances organizational performance. While NOAA has made strides in increasing the diversity of its workforce, it still must be the focus of continued recruitment and retention efforts.

NOAA's Federal workforce is augmented by a significant number of contract employees. Without this contractor workforce, NOAA would not be able to accomplish the challenging goals set out in the Bureau Strategic Plan. Contract employees also serve as a talent pool from which to fill vacant positions.

Business Practices: Although NOAA has a world-class workforce that is highly motivated and focused on accomplishing NOAA's mission, the Bureau's human capital management business practices have been neglected. However, NOAA is committed to organizational excellence and recognizes the need to improve its human capital management practices as part of its larger effort to integrate planning, performance measurement, and budget formulation. New business processes, along with an increased emphasis on customer service and strategic alliances, create the need for new skills and different ways of thinking about our work.

Management: Studies conducted by the Merit Systems Protection Board (MSPB) in 1998 and OPM in 2001 concluded that Federal managers do a commendable job of performing the technical work of their units but have a much harder time with the human resource management tasks of staffing (recruitment, assessment, selection, and promotion), training and development, and performance management. A variety of factors and trends contribute to this problem, including organizational culture (rewards and punishments, budget cycles, conflicting priorities, lack of career leadership, human resources history), managerial selection processes, lack of appropriate managerial training, decentralization and delegation of human resource management, downsizing, and delayering.

Resources: NOAA's resources (dollars and people) are likely to continue to face restrictions for the foreseeable future. This impacts NOAA's ability to retain critical knowledge and skills and to increase the recruitment of multi-disciplinary staff.

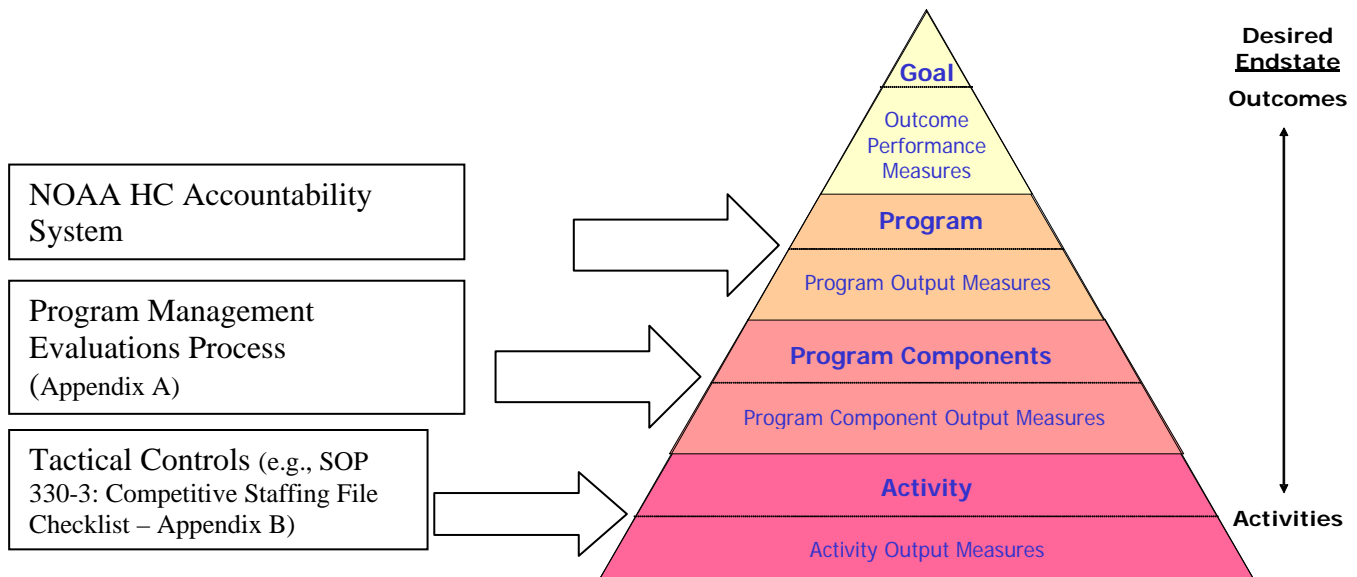
NOAA is committed to continuous improvement. Developing and using the capabilities and capacity of our workforce in effective and productive ways and assessing the results of our human capital management activities are critical to that improvement. NOAA has formalized this Human Capital Accountability System Plan (HCASP) to ensure NOAA-wide accountability for human capital management. The plan is a mechanism to evaluate the effectiveness of the 2006 – 2011 NOAA Strategic Human Capital Management Plan which supports NOAA's mission and goals and ensures compliance with the Merit System Principles and other HC related legal requirements. This plan also incorporates the five systems described in the HCAAF: Strategic Alignment

- Leadership and Knowledge Management

- Results-Oriented Performance Culture
- Talent Management
- Accountability.

This plan will be adjusted as necessary to accommodate the redirection of work impacted by factors such as: 1) changed bureau requirements or direction; 2) funding levels; 3) emerging needs; and 4) Governmental and national priorities. If an activity listed in this plan is found not to fully achieve an HCM Strategic or HC Plan goal or objective, it will be modified or eliminated as deemed appropriate.

As part of its Planning, Programming, Budgeting, and Execution System, NOAA has established a performance measurement model. This HC Accountability System Plan is consistent with that model. The following is a graphic representation of the integration of human capital accountability with the NOAA Performance Measurement Model.



II. Accountability Measures and Data Collection Strategies

A. HCAAF System: Strategic Alignment

HCAAF System Standard: Agency HC management strategies are aligned with mission, goals, and organizational objectives and integrated into its strategic plans, performance plans, and budgets.

Discussion: Human capital strategies should be aligned with mission, goals, and organizational objectives and integrated into its strategic plans and performance plans. The NOAA Strategic Human Capital Management Plan includes workforce planning tied to NOAA's Strategic Plan. The WFMO Director chairs the NOAA Human Capital Council that provides advice to top management and builds consensus on HC issues. In addition, the WFMO Director is a member of the NOAA Executive Panel which helps set NOAA's strategic direction. WFMO staff work with NOAA line and corporate offices to assist with strategic human capital planning. For example, WFMO assisted in the development of a human capital plan specifically for the new Geostationary Operational Environmental Satellite program to be launched in the 2012 time frame.

Human Capital Goal:

- Align human capital management policies, programs, processes, and systems to support accomplishment of the NOAA mission, vision, goals, and priorities.

HCAAF Critical Success Factors:

- **Workforce Planning:** Identify the human capital required to meet NOAA goals, conducts analyses to identify competency gaps, develops strategies to address human capital needs and close competency gaps, and ensures NOAA is appropriately structured.
- **Human Resources as Strategic Partner:** Promote HR professionals as consultants with managers to develop, implement, and assess HC policies and practices to achieve NOAA's mission and organizational goals.
- **Human Capital Best Practices and Knowledge Sharing:** Leverage efforts and work with others to share best practices and learn about new developments.
- **Human Capital Planning:** Design a coherent framework of human capital policies, programs, and practices to achieve human capital requirements to support the NOAA Strategic Plan.

Objectives:

- A. Evaluate and improve existing human capital management processes and programs, employing streamlining, automation, re-engineering, and best-practices, to ensure they are efficiently supporting desired organizational outcomes and in compliance with regulatory requirements (i.e., Merit System Principles).
- B. Ensure that all levels of management receive training and understand their role in human capital management, how to manage for inclusion and diversity, and their labor-management relations responsibilities and are held accountable for the results.
- C. Ensure that the human capital management functions are adequately staffed and prepared, in competencies and resources, to proactively partner and consult with managers in implementing this Plan.
- D. Ensure that human capital management requirements and investments are an integral part of NOAA’s Planning, Programming, Budgeting, and Execution System (PPBES), the resulting budget and performance plans, and technology and facilities plans by including human capital representatives as key advisors in planning for changes that will involve NOAA’s workforce.

Measurement Objective (Purpose)	Measure	Measurement Approach	Frequency	Responsible Activity
Measure NOAA’s progress on the President’s Management Agenda (PMA) for HC <u>Requirement Source:</u> OMB/OPM/DOC	Progress in the strategic management of HC against NOAA goals stated in the “Proud to Be” and against OPM guidance contained in the HCAAF.	Release of update to DOC on the Bureau’s progress on the goals set forth in the President’s Management Agenda (PMA) (including “Proud to Be” expectations) Data Source: WFMO records, PMA HC scorecard, LO/CO reports	Quarterly	LO/CO/WFMO
To determine alignment of HC strategies with mission, goals, and organizational objectives. <u>Requirement Source:</u> 5 CFR 250	Monitor progress in HC and, when needed, realignment of HC Plan activities and goals with the Bureau’s Strategic Plan.	Creation and update of HC Plan Data Source: NOAA Documents (e.g., Strategic Plan, SHCMP)	Annually	WFMO

B. HCAAF System: Leadership and Knowledge Management (KM)

HCAAF System Standard: Agency leaders and managers effectively manage people, ensure continuity of leadership, and sustain a learning environment that drives continuous improvement in performance, and provide a means to share critical knowledge across the organization. KM must be supported by an appropriate investment in training and technology.

Discussion: NOAA leaders must provide the committed, consistent, and inspired direction needed to address organizational issues. An effective organization includes a leadership team committed to developing increasingly effective ways of meeting mission and customer needs, accomplishing results, and investing in and developing human capital.

To improve and enhance the effectiveness of current NOAA leaders and develop capable future leaders, NOAA is utilizing the following strategies, plans, systems and information:

- Federal Human Capital Survey results
- NOAA Leadership and Management Development Strategy which guides activities such as:
 - The NOAA Leadership Competency Development Program (LCDP)
 - Leadership development course evaluations and program assessment
- Review and assessment of year-end performance ratings and evaluations of leaders

These help NOAA target leadership/knowledge management needs and describe an effective approach to meeting those needs. NOAA will continue to conduct the following activities to support this strategic need:

- Continue to offer leadership development opportunities for emerging leaders, new leaders, and experienced leaders through the Leadership Competencies Development Program, NOAA Leadership Seminar, and through other leadership development programs and assignments.
- Continue to promote participation in external leader development programs such as the Federal Executive Institute, DOC SES Candidate Development Program, DOC Executive Leadership Development Program, and the DOC Aspiring Leader Development Program.

Human Capital Goals:

- Ensure NOAA has leadership with the technical and managerial knowledge and skills needed to manage a diverse workforce and to accomplish NOAA's strategic goals and priorities.
- Promote knowledge-sharing, continuous learning and improvement, and a climate of open communications.

HCAAF Critical Success Factors:

- Leadership Succession Management: NOAA identifies leadership competencies and establishes objectives and strategies to ensure there is a continuous pipeline of available leadership within the organization.
- Knowledge Management: NOAA systematically provides resources, programs, and tools for knowledge sharing across NOAA in support of mission accomplishment.
- Change Management: NOAA has in place leaders who understand what it takes to effectively bring about changes that achieve significant and sustained improvements in performance.
- Integrity and Inspiring Employee Commitment: Leaders maintain high standards of honesty and ethics that serve as a model for the whole workforce.
- Continuous Learning: Leaders foster a learning culture that provides opportunities to develop. Use a balanced and aggressive recruitment strategy to continue to attract and hire quality employees at the mid and senior leadership levels.

Leadership and Knowledge Management

Objectives:

- A. Develop and implement a comprehensive leadership and management development strategy that prepares, hires, develops, assesses, and rewards non-SES managers using validated managerial competencies.
- B. Develop and implement a succession planning strategy that supports accomplishment of diversity management objectives and mission results.
- C. Ensure NOAA’s leaders are prepared and have adequate resources to support change processes.
- D. Ensure that an integrated, strategic training and development program builds needed Bureau leadership competencies.
- E. Assess NOAA’s investment (time, funding, staff, technology, and facilities) in workplace learning in order to ensure that resources meet targeted needs.
- F. Create a NOAA learning infrastructure that includes partnerships among Line Offices, assessment of the Bureau’s priority learning needs, consideration of diverse learning styles and other differences, development of strategic learning plans, and linkages to the budget process in order to ensure learning priorities are aligned with and support organizational objectives.
- G. Ensure training and development programs build needed competencies, including more effective incorporation of knowledge sharing, mentoring, and distance learning in the development of employees.

Measurement Objective (Purpose)	Measure	Measurement Approach	Frequency	Who is Responsible
Determine the competency gaps in leadership positions <u>Requirement Source:</u> 5 CFR 250	Size of gaps, development of targets and plans with milestones for reaching targets.	Plan developed to address gaps in leadership positions Data Source: NOAA reports	Quarterly	LO/CO/WFMO
Measure adequacy of leadership pools <u>Requirement Source:</u> 5 CFR 250	% progress towards closing the gap or the difference between the required competencies and current proficiency levels.	Show progress towards closing skills gap through annual target setting and analysis of gap closure data Data Source: WFMO, FCAT-M	Annually	WFMO

Measurement Objective (Purpose)	Measure	Measurement Approach	Frequency	Who is Responsible
Determine if there is adequate pipeline to address projected leadership losses <u>Requirement Source:</u> 5 CFR 250	Measure the relationship between the numbers of employees in the leadership pipeline as related to the number of leadership positions.	Pipeline leadership strength as measured by NOAA leadership development programs' (e.g., LCDP) graduation numbers. Data Source: Program graduation numbers.	As appropriate to graduation dates	LO/CO/WFMO
Assess if qualified Leadership Program participants are moving into leadership positions <u>Requirement Source:</u> NOAA	Post-program participant placement rates	Number of program participants placed into leadership positions [during or following completion of the program). Data Source: Program placements	Annually	LO/CO/WFMO
Measure employee belief that their organizational culture promotes improvement in processes, products and services, and organizational outcomes (“climate survey”) <u>Requirement Source:</u> 5 CFR 250	A score based on the HRPMS/FHCS results. This measure is explained in OPM’s HCAAF chapter on Systems, Standards and Metrics	Leadership and KM Index from the NOAA Employee Survey (tbd) and Federal Human Capital Survey (FHCS). Data Source: NOAA Employee Survey (tbd), OPM FHCS (as provided by DOC)	Annually	LO/CO/WFMO
Determine if Leadership succession decisions, policies, processes, and practices comply with Merit System Principles (MSPs) and related laws, rules, and regulations <u>Requirement Source:</u> 5 CFR 250	Merit based execution of the leadership and KM system	Annual Internal Audits per HR Bulletin 36 Data Source: WFMO audit findings and reports	Per audit schedule	WFMO

Measurement Objective (Purpose)	Measure	Measurement Approach	Frequency	Who is Responsible
Determine the percentage of employees who agree or strongly agree they have the tools they need to perform their work or have training to perform their jobs. <u>Requirement Source:</u> 5 CFR 250	The percentage of NOAA employees participating in the survey who agree or strongly agree.	NOAA Employee Survey (tbd) /OPM FHCS Data Source: NOAA Employee Survey (tbd) /OPM FHCS (as provided by DOC)	Annually	LO/CO/WFMO
Determine if employees believe that employees in their work units share their knowledge with each other <u>Requirement Source:</u> 5 CFR 250	The percentage of NOAA employees participating in the survey who agree or strongly agree.	NOAA Employee Survey (tbd) /OPM FHCS Data Source: NOAA Employee Survey (tbd) /OPM FHCS (as provided by DOC)	Annually	LO/CO/WFMO
Determine employee overall job satisfaction <u>Requirement Source:</u> 5 CFR 250	A score based on items on the HRPMS. This measure is explained in OPM's HCAAF chapter on Systems, Standards and Metrics.	Job Satisfaction Index from NOAA Employee Survey (tbd) /OPM FHCS Data Source: NOAA Employee Survey (tbd) /OPM FHCS (as provided by DOC)	Annually	LO/CO/WFMO

C. HCAAF System: Results-Oriented Performance Culture

HCAAF System Standard: The Agency has a diverse, results-oriented, high performing workforce and a performance management system that differentiates between high and low performance and effectively links individual, team, unit performance to organizational goals and objectives.

Discussion: NOAA is committed to advancing an organizational culture that promotes high performance and inclusion of all staff in setting and accomplishing mission goals. NOAA is also committed to cultivating a work environment that values cooperation and knowledge-sharing to engage employees and enhance their abilities to contribute to the mission.

To support (1) a management culture that promotes high performance, ensures accountability, and includes staff in setting and accomplishing programmatic goals and (2) an organizational culture that promotes and facilitates cooperation and information-sharing to achieve results, NOAA is utilizing the following systems and information:

- Organizational performance indicators
- Federal Human Capital Survey results
- Transactional survey results
- Assessment of awards program

Such data and information help NOAA foster a results-oriented performance culture. NOAA will conduct the following activities to support this strategic need:

- Utilize OPM's Performance Appraisal Assessment Tool (PAAT) to evaluate effectiveness.
- Promote individual excellence through recognition of employee contributions, fair treatment and an environment that values and delivers equal opportunity and inclusiveness.

Human Capital Goal:

- Create a responsive, high-performance culture.

Results-Oriented Performance Culture

HCAAF Critical Success Factors:

- Communication: NOAA has a process for sharing information and ideas about the organization with all employees for feedback, involvement, planning and mission execution.
- Performance Appraisal: A process is in place to evaluate and review performance.
- Awards: NOAA takes actions to recognize and reward appropriate individual and team achievement.
- Pay for Performance: NOAA uses pay-for-performance systems, where authorized, to link salary levels to an individual's overall performance and contribution to the mission.
- Diversity Management: NOAA maintains an environment characterized by inclusiveness of individual differences and responsiveness to the needs of diverse groups of employees.
- Labor/Management Relations: NOAA promotes awareness and understanding among all rating officials. Fosters effective a Labor Relations program via vigilant Nation-wide administration/coordination among the management representative cadre which is convened annually for strategizing/development of Labor Relations matters.

Objectives:

- A. Ensure that overall mission results are achieved by aligning individual performance expectations with short-term and long-term organizational goals.
- B. Develop the capacity to facilitate (e.g., team building, work redesign, change management, inclusion and managing diversity strategies) organizational culture change in NOAA.
- C. Assure that employee rewards and recognition programs are adequately linked to performance that contributes to achievement of Bureau goals.
- D. Assure that NOAA’s performance management systems focus on accountability for results.

Measurement Objective	Measure	Measurement Approach	Frequency	Who is Responsible
Measure whether employees believe the work they do is important <u>Requirement Source:</u> 5 CFR 250	The percentage of NOAA employees participating in the survey who agree or strongly agree	NOAA Employee Survey (tbd) /OPM FHCS Data Source: NOAA Employee Survey (tbd) /OPM FHCS (as provided by DOC)	Annually	LO/CO/WFMO
Determine whether NOAA policies and programs promote diversity in the workplace (for example, recruiting minorities and women, training in awareness of diversity issues, mentoring) <u>Requirement Source:</u> 5 CFR 250	The percentage of NOAA employees participating in the survey who agree or strongly agree.	NOAA Employee Survey (tbd) /OPM FHCS Data Source: NOAA Employee Survey (tbd) /OPM FHCS (as provided by DOC)	Annually	LO/CO/WFMO
Measure whether employees believe that steps are taken in their work unit steps to deal with poor performers who cannot or will not improve <u>Requirement Source:</u> 5 CFR 250	The percentage of NOAA employees participating in the survey who agree or strongly agree.	NOAA Employee Survey (tbd) /OPM FHCS Data Source: NOAA Employee Survey (tbd) /OPM FHCS (as provided by DOC)	Annually	LO/CO/WFMO

Measurement Objective	Measure	Measurement Approach	Frequency	Who is Responsible
<p>Assess whether employees hold their leadership in high regard</p> <p><u>Requirement Source:</u> 5 CFR 250</p>	<p>A score based on items on the HRPMS.</p>	<p>Results-Oriented Performance Culture Index from NOAA Employee Survey (tbd) /OPM FHCS</p> <p>Data Source: NOAA Employee Survey (tbd) /OPM FHCS as provided by DOC</p>	<p>Annually</p>	<p>LO/CO/WFMO</p>
<p>Determine whether performance management decisions, policies, processes and practices comply with MSPs and related laws, rules, and regulations</p> <p><u>Requirement Source:</u> 5 CFR 250</p>	<p>Accountability Audits showing improvements from previous audits.</p>	<p>Merit based execution of the Results-Oriented Performance Culture Systems</p> <p>Data Source: Accountability audit report and findings</p>	<p>Every 3 years (per Audit Schedule)</p>	<p>LO/CO/WFMO</p>
<p>Assess whether employees believe others in their work units share their knowledge with each other</p> <p><u>Requirement Source:</u> 5 CFR 250</p>	<p>The percentage of NOAA employees participating in the survey who agree or strongly agree.</p>	<p>NOAA Employee Survey (tbd)/OPM FHCS</p> <p>Data Source: NOAA Employee Survey (tbd) /OPM FHCS (as provided by DOC)</p>	<p>Annually</p>	<p>LO/CO/WFMO</p>

D. HCAAF System: Talent Management

HCAAF System Standard: The agency has closed skills, knowledge, and competency gaps and deficiencies in Leadership and Mission Critical Occupations (MCOs), and has made meaningful progress toward closing skills, knowledge, and competency gaps and deficiencies in all occupations used in the agency.

Discussion: To uphold its reputation as a leading scientific and research organization, NOAA must continue to attract and retain talented people. To enhance its status as an employer of choice, NOAA must continue to build and maintain a diverse workforce and provide an environment that is conducive to performance excellence, encourages full participation, and supports personal, professional, and organizational growth. NOAA must also identify and address competency gaps. Accordingly, NOAA is committed to providing opportunities for staff to develop the skills and competencies needed to meet strategic and programmatic goals and achieve performance excellence.

To support NOAA's ability to recruit, hire, and retain a highly-skilled, diverse, and capable workforce, we are utilizing the following systems and information:

- New hire survey data
- Federal Human Capital Survey results
- Automated hiring systems data
- Delegated Examining Unit (DEU) audit data
- Annual assessment surveys for targeted MCOs

Such data and information help NOAA to:

- Enhance the NOAA hiring program by working with line and corporate offices to develop strategies for identifying recruitment sources and acquiring diverse staff with needed skills and competencies.
- Expand the diversity of applicant pools by reaching out to diverse organizations for recruitment purposes.
- Review the effectiveness of NOAA's strategy to recruit, hire, and retain a highly-skilled, diverse workforce.
- Review the use and effectiveness of recruiting and retention flexibilities in attracting and retaining needed staff.
- Continue to offer and encourage family-friendly practices such as alternative work schedules and telework.

Human Capital Goal:

- Recruit, hire, develop, and retain a diverse workforce with the competencies necessary to accomplish the Bureau mission.

HCAAF Critical Success Factors:

- Recruitment: The workforce plan drives the aggressive and strategic recruitment of diverse and qualified candidates for the workforce.
- Retention: Leaders, managers, and supervisors create and sustain effective working relationships with employees.

Talent Management**Objectives:**

- Develop and implement a model process and tools to conduct workforce planning and analysis, including the identification of current and future competencies necessary to accomplish the Bureau’s mission.
- Conduct a comprehensive workforce analysis resulting in a NOAA-wide workforce plan that includes recruitment and hiring strategies and programs for staff development, building on existing competencies and developing new skills required for mission accomplishment.
- Increase the use of recruitment, retention, and other workplace flexibilities and tools to ensure a highly skilled, diverse, and productive workforce.
- Establish programs and policies to address key employee concerns raised by periodic surveys and other feedback mechanisms.

Measurement Objective (Purpose)	Measure	Measurement Approach	Frequency	Who is Responsible
Measure customer satisfaction with HR services <u>Requirement Source:</u> DOC/OPM	Increased % of customers rate overall services as good, very good, or excellent on surveys	The overall service rating from FHCS, NOAA Employee Survey (tbd), and Chief Human Capital Officer (CHCO) survey results. Data Source: WFMO/survey data	Annually	WFMO

Measurement Objective	Measure	Measurement Approach	Frequency	Who is Responsible
Determine the percentage of employees who believe their work unit is able to recruit people with the right skills <u>Requirement Source:</u> 5 CFR 250	The percentage of NOAA employees participating in the survey who agree or strongly agree.	NOAA Employee Survey (tbd) /OPM FHCS Data Source: NOAA Employee Survey (tbd) /FHCS (as provided by DOC)	Annually	LO/CO/WFMO
Measure management satisfaction with HR flexibilities to determine if used effectively <u>Requirement Source:</u> OPM	Increased communication on HR flexibilities. Document flexibilities that need improvement.	Review the overall service ratings from the CHCO Management Satisfaction Survey. Data Source: CHCO Management Satisfaction Survey	Quarterly	LO/CO/WFMO
Maintain parity in workforce diversity with Civilian Labor Force (CLF), with the primary focus being the Relevant Civilian Labor Force (RCLF) <u>Requirement Source:</u> 5 CFR 250	The % of each of the Race/ National Origin (RNO) and Gender groupings compare favorably with CLF and WCLF data or show progress towards improving representation. No CLF/WCLF data is available for employees with disabilities overall or for disabled veterans.	Workforce diversity, including employees with disabilities, veterans with/without disabilities, and the composition of all Equal Employment Opportunity (EEO) groups in NOAA's workforce reflect CLF/WCLF data or to Department statistics when no CLF/WCLF data is available. Data Source: WFMO/ Office of Civil Rights (OCR), Human Resource Management Information System (HRMIS) Data	Quarterly	LO/CO/WFMO
Measure and track retirement statistics for leadership and MCO positions as part of workforce planning <u>Requirement Source:</u> 5 CFR 250	Analyze retirement eligibility and retirement projections and report findings to DOC related to Leadership and MCO positions.	Update the retirement analysis projections annually. Data Source: WFMO, retirement report from HRMIS	Annually	WFMO

Measurement Objective	Measure	Measurement Approach	Frequency	Who is Responsible
Maintain 70 day hiring cycle for non-SES positions <u>Requirement Source:</u> NOAA	% of non-SES selection cases completed within 70 days	The NOAA wide average number of working days from the signing of the Hiring Plan to the making of an offer of employment Data Source: Hiring Service Plan records	Monthly	LO/CO/WFMO
Maintain 20 day selection time for non-SES positions <u>Requirement Source:</u> NOAA	% of time selecting officials complete their non-SES selections within 20 days	The NOAA wide average for the time a selecting official receives a valid Certificate of Eligibles to the time a selection is made. Data Source: Hiring Service Plan records	Monthly	LO/CO/WFMO
Maintain 45 day hiring time for non-SES positions <u>Requirement Source:</u> OPM	% of cases in which job offers are extended within 45 days for non-SES positions	The NOAA-wide percentage of cases in which the number of working days from the closing date of announcements for non-SES positions through the date job offers are extended. Data Source: Hiring Records	Quarterly	LO/CO/WFMO
Maintain 72 day hiring cycle for SES positions <u>Requirement Source:</u> NOAA	% of SES selection cases completed within 72 days.	The NOAA wide average number of working days from the signing of the Hiring Plan to the completion of the Qualifications Review Board process. Data Source: Hiring Service Plan records	Monthly	LO/CO/WFMO
Maintain 45 day hiring time for SES positions (total NOAA time 38 days) <u>Requirement Source:</u> OPM	% of cases in which job offers are extended within 45 days for SES positions	The NOAA-wide percentage of cases in which the number of working days from the closing date of announcements for SES positions through the date job offers are extended. Data Source: Hiring Records	Quarterly	

<p>Measure adequacy of MCO pools</p> <p><u>Requirement Source:</u> 5 CFR 250</p>	<p>% progress towards closing the gap or the difference between the required competencies and current proficiency levels.</p>	<p>Show progress towards closing skills gap through annual target setting and analysis of gap closure data</p> <p>Data Source: WFMO, LO/CO reports</p>	<p>Annually</p>	<p>WFMO</p>
<p>Determine the competency gaps in MCO positions for which models have been developed</p> <p><u>Requirement Source:</u> 5 CFR 250</p>	<p>Size of gaps, development of targets and plans with milestones for reaching targets.</p>	<p>Plan developed to address gaps in MCO positions</p> <p>Data Source: NOAA reports</p>	<p>Quarterly</p>	<p>LO/CO/WFMO</p>
<p>Measure workforce belief that the organization has the talent necessary to achieve goals</p> <p><u>Requirement Source:</u> 5 CFR 250</p>	<p>The score is based on % increase in positive responses to questions related to Talent Management.</p>	<p>Talent Management Index from NOAA Employee Survey (tbd) /OPM FHCS</p> <p>Data Source: NOAA Employee Survey (tbd)/OPM FHCS</p>	<p>Annually</p>	<p>LO/CO/WFMO</p>
<p>Determine whether recruitment, selection and advancement decisions, policies, processes and practices comply with MSPs and related laws, rules, and regulations</p> <p><u>Requirement Source:</u> 5 CFR 250</p>	<p>Accountability Audits</p>	<p>Merit based execution of the Talent Management System</p> <p>Data Source: WFMO</p>	<p>Per Audit schedule</p>	<p>WFMO</p>

E. HCAAF System: Accountability

HCAAF System Standard: Agency HC management decisions are guided by a data-driven, results-oriented planning and accountability system. Results of the Agency accountability system must inform the development of HC goals and objectives, in conjunction with the Agency’s strategic planning and performance budgets. Effective application of the accountability system contributes to the Agency’s practice of effective HC management in accordance with the MSPs and incompliance with Federal laws, rules, and regulations.

Discussion: The annual Human Capital Management Report will be used to illustrate the effectiveness of NOAA's Human Capital programs. This report will contain the results and outcomes of all major human capital activities conducted during the fiscal year. In addition, it will include NOAA's accountability activities, e.g., audits, program evaluations, employee surveys, etc. It will detail NOAA's WFMO Client Services Operations status, including progress made since the last audit and measures in place to ensure compliance with the Merit System Principles and related laws and regulations. The results contained in the report are used to inform the Bureau's Strategic Human Capital Plan and efforts, and update the Accountability Plan as necessary.

To support this effort, we are using the following systems and information:

- NOAA has recently implemented SOP 330-3: Competitive Staffing File Checklist as one action to ensure that relevant Merit System Principles are being followed. NOAA expects to implement additional tools and procedures to further support compliance with the Merit System Principles as needed.
- The web-based NOAA Supervisory Resource Guide provides guidance to managers and supervisors on their HR role. It also discusses HR accountability and states that it is a shared responsibility between managers and the WFMO. The Guide emphasizes that all WFMO actions must comply with Merit System Principles, law and regulations but also explains that many flexibilities are available.

What is common to all organizations deploying HC initiatives is a need to track those initiatives and measure progress. To do this NOAA is preparing a Human Capital Dashboard that will place the various measures used to track progress in one easy to read diagram. The dashboard will be a living document that will be updated regularly to reflect NOAA's progress.

Human Capital Goal:

- Ensure compliance with Merit System Principles and other HC related regulatory and legal requirements.

Critical Success Factor:

- Compliance: Department and OPM monitors and evaluates HC Program performance and compliance with Merit System Principles.
- Change: Identify, implement, and monitor necessary improvements.

Objectives:

- Review the Human Capital and Accountability System Plans regularly to report results against milestones and update as necessary.
- Evaluate the results on human capital initiatives identifying and monitoring improvements and expected results.
- Conduct periodic Human Capital Accountability Audits that include an evaluation of HC management systems.

Measurement Objective	Measure	Measurement Approach	Frequency	Who is Responsible
Evaluate the Accountability System Plan metrics for relevance and impact <u>Requirement Source:</u> 5 CFR 250	NOAA's performance as measured by the Human Capital Management Report (HCMR)	Completion of the HCMR and subsequent feedback from DOC Data Source: HCMR and DOC	Annually	WFMO/Human Capital Council (HCC)
Determine if DEU operations are being conducted in accordance with OPM regulations, handbook, procedures, and policy. <u>Requirement Source:</u> 5 CFR 250	Perform audits through on-site visits and/or electronic reviews and documented results per Bulletin 34 and via the Self Assessment process	Completion of the DEU Audit Report. Data Source: DEU Annual Reports	Per Audit Schedule	WFMO

III. Accountability Resources

Planning and budgeting for HC initiatives, including accountability activities, are integrated into the NOAA budget process. There is no budget dedicated solely to HC Accountability Systems. The Deputy Under Secretary provides overall leadership for accountability activities throughout NOAA and advises the Under Secretary for Oceans and Atmosphere and Senior Staff in carrying out NOAA's responsibilities for human capital management. The Chief Financial Officer has responsibility for performance measures in NOAA while the Director of the Workforce Management Office provides leadership for human capital initiatives. They are supported in these roles by three executive level councils; the Human Capital Council, the NOAA Executive Panel, and the NOAA Executive Council.

IV. Reporting Accountability Results

NOAA ensures accountability through a series of plans, strategies, reviews, surveys, audits, assessments, and reports. Results of NOAA accountability activities are detailed annually and in the quarterly PMA Scorecard. Challenges and drivers change and shape the direction of NOAA's goals, objectives, priorities and the availability of resources of all types. To ensure accountability of HC programs as a dynamic and agile system, WFMO continuously updates a variety of reports that create a consistent system to monitor, analyze, and evaluate the performance of the accountability activities as they relate to the NOAA mission.

Appendix A: Program Management Evaluation Process

NOAA
Workforce Management Office
Program Management Evaluation

Introduction

Workforce Management Office (WFMO) transactional practices and procedures shall comply with the requirements described in current guidance regarding all facets of human resources operations. This guidance spans the spectrum of daily operations, not limited to but including: OPM's Delegated Examining Operations Handbook; NOAA's Merit Assignment Plan; existing Departmental and NOAA Administrative Orders; Department Human Resources Bulletins, NOAA Standard Operating Procedures, and internal policies. When followed, the requirements and procedures shown in these policies and procedures will provide for properly executed HR transactions with valid audit trails through records construction and retention. Accordingly, these work products together with the applicable guidelines/laws/rules/regulations will serve as the foundation of WFMO's program management evaluation (PME) process. This process is also referenced in this document as a self-assessment, consistent with the Department's Human Resources Bulletin #036 (FY 06), which requires an annual assessment of HR programs.

Requirements

1. The PME program is an annual self-assessment of WFMO operational services – with primary focus on DEU/MAP case processing, results-oriented performance culture activities, Student Educational Employment Programs and Recruitment/Relocation/Retention Incentives actions. The self-assessment shall be accomplished by WFMO staff that do not supervise and are not assigned to the operational Client Service Office (CSO) component being evaluated. The PME Team will be led by a senior Policies and Program Management (PPMO) staff member, hereafter the PME Program Manager. PME teams and the team lead will be recommended to the Director, WFMO by the Director, PPMO, in collaboration with the Director, CSO. All PME teams must be approved by the Director, WFMO.
2. A self-assessment will be accomplished no less frequently than once each twelve months. The initial self-assessment schedule as well as the exact scope and size of the sample, which must be broad enough to represent a valid indicator of performance, will be determined by the Director, PPMO. The PME Report template and associated checklists (attached) shall be used for the annual self-assessment and maintained by the PME Program Manager until the self-assessment is completed. A written report of self-assessment findings will be prepared by the PME Program Manager utilizing the aforementioned PME Report template. The report and certification that the annual self-assessment has been completed shall be provided to the Director, WFMO; the NOAA Human Capital Accountability Officer; and, the Director, CSO.

3. For DEU and MAP cases, the checklists contain information that must be verified from each certificate identified in the sample and a representative sample of the applications received in response to vacancy announcements. The sample size of cases (a minimum of 10%) to be reviewed or number of applications to be reviewed may be expanded at the discretion of the PME Program Manager. Items that do not apply to a specific certificate should be marked not applicable; there should be no blank items. It must also be shown that:

- Applicants had sufficient opportunity to receive vacancy information in sufficient time to apply before closing dates.
- Applicants were evaluated according to Merit System Principles, Veterans' Preference, other applicable laws, and OPM, Department, NOAA requirements and procedures.
- Any complaints received from applicants concerning a specific announcement were resolved and settlement documentation was filed in the Announcement file. Such documents shall be retained for review by cyclic evaluation teams.
- Approvals of selective placement and quality ranking factors accepted by the servicing WFMO must be filed in the Announcement file and be available for review by cyclic evaluation teams.
- Documentation of examining activities can be fully and readily reconstructed.

4. For actions relating to results-oriented performance culture, Student Educational Employment Programs and Recruitment/Relocation/Retention Incentives, an audit checklist will serve as the source document to conduct the review of a representative sample (10%) of each of those respective actions in the subject CSO component.

5. Major discrepancies identified during self-assessments, such as inconsistent application of operating instructions, serious violations (which include statutory violations and violations of OPM regulation), and systemic problems, regardless of whether they lead to serious violations or major discrepancies, plus corrective actions, must be recorded in the report. Corrective action plans shall be tailored to address permanent solutions to identified major discrepancies and serious violations. While a corrective action plan is not mandated for minor discrepancies, the use of a corrective action plan would be a valuable tool when used to eliminate recurring discrepancies. It can also serve as a valuable training instrument.

Findings

1. The self-assessment findings will be reviewed/approved by the Director, PPMO and subsequently provided to the Directors for WFMO & CSO and the NOAA Human Capital Accountability Officer.

2. The findings must contain the information required in the program evaluation report template provided in Attachment (1).

3. The appropriate WFMO official (CSO Division Director) is responsible for conducting an analysis of the findings, determining the causes and contributing factors, addressing and correcting the specific causes leading to the findings, taking the necessary corrective actions and providing a written report to document the completion of the actions and of any continuing or follow on steps to improve regulatory compliance and minimize repeat occurrences within xx days [recommend 45 or 60 calendar days] of the date of the report issuance.

Attachments

1. Program Evaluation Report Template
2. DEU Checklist
3. MAP Checklist
4. Performance Culture Checklist
5. Student Educational Employment Program Checklist
6. Recruitment/Relocation/Retention Incentives Checklist

ATTACHMENT 1 - PROGRAM EVALUATION REPORT TEMPLATE

CSO Organization & Location _____
Period Covered by Evaluation _____

I. INTRODUCTION

State the location/dates encompassed by the self-evaluation. Sample language: This program management evaluation was conducted at (CSO component) and covered all aspects of its operational activities during the period (inclusive dates). The primary purpose of the evaluation was to assess the success of the personnel action processing activity in supporting the mission of NOAA and its compliance with merit system principles and established laws/rules/regulations. The evaluation program is designed to identify areas where process improvements should be made to increase overall efficiency and cost effectiveness, and to identify systemic problems and staff training needs. Describe the evaluation team. Include names, organizational title and grade/band, normal assignment and location in the organization.

II. STAFFING

This paragraph will include information concerning environmental factors affecting the CSO component under review including the structure of the component and its location in the organization and any sizable change in workload or serviced population (both current and anticipated). At a minimum, include the following:

- DEU staff: Number of FTEs supporting the DE operation, DE staff composition, level of expertise, annual turnover rate, and, for each DE staff member, name, title, series, grade, years of DE experience, and date of most recent OPM DE training; and
- DEU activity: Number of applications processed, number of certificates issued, selections reported, passovers/objections requested and number approved, number applicant-requested reconsiderations with number resolved in favor of applicant, and number of applicants granted priority consideration during the time period of the review.

III. OTHER FUNCTIONAL AREAS

This paragraph will include information concerning results-oriented performance culture activities, Student Educational Employment Programs and Recruitment/Relocation/Retention Incentives actions.

IV. DATA SOURCES

State the sources used as the basis for the report. Summarize the evaluation methodology in this section. Sample language: Evaluators used a variety of information gathering methods:

- A sample (10%) of case files and related files maintained by the CSO component;
- Lists from automated personnel systems indicating the nature of action code, the date, and appointment type of covered actions
- Interviews with staff members;
- Interviews with selecting officials and applicants;

V. EVALUATION RESULTS AND FINDINGS

When recruitment, hiring, and merit promotion processes comply with the merit system principles and veterans' preference requirements and other applicable law in conducting competitive and non-competitive examining:

- Recruitment methods yield a balanced pool of well-qualified applicants. Recruitment considers issues of diversity and imbalance in the workforce or candidate pools.
- There is fair and open competition for vacancies; the application process complies with merit principles and other related legal requirements. Surplus employee programs are properly applied.
- Candidates are assessed using the correct job-related qualification requirements that are equitably applied. Interview and placement practices do not favor or disfavor specific candidates or types of applicants.
- Veterans' preference laws are properly applied in the ranking and selection processes.
- The component is effective in filling positions with external candidates. The determination that the component is effective is supported by: selecting officials' opinions, timely certification, reasonable cost of operations, establishment and adherence to required local standard procedures, accurate and timely quarterly report submission, security of examining materials, and other locally identified measures.

Summarize the results of the self-assessment based on criteria above and findings from case file, certificate, and application review. Cite any violations of law or regulation (Merit System Principles, the Veterans' Preference Act of 1944, as amended, Privacy Act, EEO, RPL/PPP, CTAP/ICTAP, 5 USC 3305, 5 CFR 332, Subpart C, etc.) including corrective action recommended and taken.

VI. ALL OTHER FINDINGS AND CORRECTIVE ACTIONS

The findings and corrective actions identified through both program review and case-specific analysis will be detailed in this section of the report (methodology below.) General findings on the program as a whole may require corrective action or, in those instances where efficiency and effectiveness matters are involved, may require only a recommendation from the evaluation team. The case-specific findings will require corrective action. Both the findings and the specific corrective actions to be taken will be documented in this section of the report. The corrective action plan will be developed in conjunction with the respective CSO component. The PME Program Manager will provide oversight to assure required actions are completed in accordance with the plan.

VII. RESPONSIBILITY FOR CORRECTIVE AND PREVENTIVE ACTIONS

The appropriate WFMO official (CSO Division Director) will be responsible for conducting an analysis of the findings, determining the causes and contributing factors, addressing and correcting the specific causes leading to the findings, taking the necessary corrective actions and

providing a written report to document the completion of the actions and of any continuing or follow on steps to improve regulatory compliance and minimize repeat occurrences within xx days [recommend 45 or 60 calendar days] of the date of the report issuance.

Format for reporting findings and recommending actions:

GENERAL FINDINGS:

FINDING

REQUIRED OR RECOMMENDED ACTION

CASE-SPECIFIC FINDINGS:

CASE FILE #1: EXAMINATION FILE # (or similar local reference)

SPECIFICS OF CASE: (number of applications, number qualified and not qualified, number applications reviewed)

FINDING(S):

REQUIRED CORRECTIVE ACTION(S):

STATUS OF CORRECTIVE ACTION(S):

CASE FILE #2: (Continue as above listing all cases reviewed as part of the evaluation.)

OTHER FINDINGS: List any findings that have not been addressed in one of the sections above. This section of the report may be omitted if there are no findings that have not been included above.

Signature of Evaluation Team Leader Date

Printed Name of Evaluation Team Leader

Organizational Title, Series, and Grade/Band

ATTACHMENT #2 - DELEGATED EXAMINING ACTION REVIEW

Selectee:		Effective Date:	NOAC/Nature of Action Code: see Guide to Processing Personnel Actions		
Title, Pay Plan/Series/Grade:			LAC/Legal Authority: see Guide to Processing Personnel Actions		
Organization:				SF-52 or Request Date:	
Announcement #:		Date Open:	Date Close:		
Certificate #:		Cert Date:	Date Cert Returned:		
# Applied:	# Qualified:	Date of Panel or Rating:			
VP Elig: CPS ___ CP ___ XP ___ TP ___		# VP Referred:	# NV Referred:	VP Selected:	NV Selected:
Well-Qualified ICTAP:					

References: 5 U.S.C. 3330, 5 CFR 330.707(b), Delegated Examining Operations Handbook (DEOH)

INSTRUCTIONS: Use this checklist in conjunction with the Delegated Examining Program Review checklist, the Delegated Examining Operations Handbook (DEOH). Delegated examining authority applies to filling temporary and term positions as well as permanent competitive service positions (see DEOH 2.9 for explanation).

Y/N	Review Item	Comments
	Formal referral request submitted to DEU, e.g., SF 39. [DEOH 3-C-1]. Request correctly contains:	
	1. Department or agency name	
	2. Name and address of bureau or field establishment	
	3. Request number	
	4. Date of request (DEU should date stamp requests upon receipt)	
	5. Number of vacancies	
	6. Position title, series, grade (including full performance level) and duty location	
	7. Type of appointment (Career Conditional, Temporary, Term)	
	8. Date the request was initiated	
	9. Reemployment priority list cleared	
	10. CTAP/ICTAP cleared	
	11. Work schedule (FT, part-time, intermittent)	
	12. Name and telephone number of contact person	
	13. Request approval signature block	
	14. Issuing officer signature block	
	15. Certificate number	
	16. Date certificate issued	

Y/N	Review Item	Comments
	17. Date certificate due back	
	18. Position description	
	19. Job analysis documents	
	20. Justification for selection placement factors	
	21. Qualification requirements: KSAs/competencies	
	22. Crediting plan/assessment tool	
	23. Application forms for name requests	
	Job analysis identifies: [5 CFR 300.103a]	
	1. Basic duties and responsibilities	
	2. KSAs required to perform the duties and responsibilities	
	3. Factors that are important in evaluating candidates	
	4. One or more SME's are involved in job analysis	
	Selective placement factors are documented and justified by job description, job analysis, and other job-related processes. [DEOH 5-B-3]	
	Crediting plan is consistent with job analysis: [5 CFR 300.103b]	
	1. One or more SME is involved in developing the crediting plan/rating schedule	
	2. Acceptable rating method/assessment tool(s) is used [DEOH 5-B-6]	
	Public notice meets requirements. [DEOH 3-B-1; 5 CFR 330.102] Documentation shows:	
	1. Job announced in USAJOBS, including jobs filled from standing inventories or automated system [DEOH 5.6]	
	2. Announcements are open consistent with the policies the agency has established. [DEOH 3-B-1]	
	Vacancy announcement provides required information: [5 U.S.C. 3330, 5 CFR 330.707(b), DEOH]	
	1. Name and description	
	2. Agency name	
	3. Announcement number	
	4. Series and grade	
	5. Salary Range	
	6. Promotion potential	
	7. Opening date	
	8. Closing date (including use of cut-off dates, if any)	
	9. Duty locations	
	10. Number of vacancies	
	11. Who may apply for the position	
	12. Application procedures	
	13. Procedures for obtaining additional information [5 CFR 330.707]	

Y/N	Review Item	Comments
	14. Qualification requirements for each grade level: KSAs/competencies, including selective factors and quality ranking factors, if any	
	15. Basis of rating	
	16. How to claim veterans' preference	
	17. EEO Statement (5 CFR 330.707(b)(13))	
	18. Agency definition of well-qualified and how CTAP and/or ICTAP candidates may apply, including proof of eligibility [DEOH 4-B-2]	
	19. Type of appointment (i.e., permanent, term, or temporary, including NTE dates)	
	20. Special conditions when one announcement is used	
	21. Application receipt procedures	
	22. Additional items (i.e., physical requirements, restriction to veterans, gender, part-time or intermittent employment, shift work, unusual tours of duty, travel requirements, minimum/maximum entry age, mandatory interview, any other applicable information) [DEOH 6.5]	
	23. Reasonable accommodation provided	
	24. P.O.C. and telephone number	
	25. For positions restricted to preference eligibles: Statement explaining whether applications will be accepted from non-preference eligibles, and if so that they will not be considered if veterans are available for Custodian, Messenger, Guard, and Elevator Operator positions.	
	26. For restriction of consideration to one sex: Documentation of approval from OPM [5 CFR 332.407]	
	Recruitment activities yield a balanced pool of quality applicants, i.e. recruitment program ensures equal employment opportunities without discrimination. [5 CFR 720.204]	
	Application acceptance procedures meet requirements: [DEOH 4-A-1]	
	1. Applications are date stamped and/or postmarks are annotated	
	2. If extensions are granted, response dates are given to applicants who request application materials by closing date	
	3. Late applications are appropriately accepted or rejected	
	4. Incomplete applications are considered based on information provided <u>or</u> requests are sent to applicants requesting more information	
	5. Restrictions to limit consideration to one sex are appropriate and approved by OPM [5 CFR 332.407]	
	6. Government franked envelopes are not used [18 U.S.C. 1719]	

Y/N	Review Item	Comments
	Applications are reviewed for legally required information: [DEOH 4-A-1]	
	1. Date of birth (age is a factor for law enforcement positions)	
	2. Citizenship [5 CFR 338.101]	
	Note: DoD only – Reference DoD Memorandum 24 September 2001, Appointment of Retired Members of the Armed Forces to Positions in the Department of Defense. This guidance remains in effect. Consequently, retired members of the Armed Forces may be appointed to positions in the civil service in or under DoD during the 180 days immediately after retirement or when still in a terminal leave status without regard to obtaining authorization under 5 U.S.C. 3326(b)(1).	
	Documentation shows clearance of applicable priority placement programs:	
	1. CTAP [5 CFR 330.608]	
	2. DoD Priority Placement Program [DoD 1400.20-1-M]	
	3. RPL [5 CFR 330.207]	
	4. ICTAP [5 CFR 330.708]	
	Veterans' preference is properly adjudicated. [DEOH 6.3 and 8.4; 5 U.S.C. 3309]	
	Basic qualifications, including selective placement or quality ranking factor determinations, are documented.	
	Superior academic achievement is documented if the basis for appointment. [Qualifications Standards Operating Manual or X-118C]	
	After applications are rated, applicants should be issued notices of results advising them of eligibility and ineligibility. [DEOH 5-C-14]	
	Reconsideration of rating decisions is handled properly. [DEOH 5-C-15]	
	Rating procedure documentation for referral is retained: [DEOH 3.7]	
	1. Position description	
	2. Job analysis, ratings, and quality level definitions	
	3. Rating procedure including transmutation table	
	4. Applicable qualification standard	
	5. Copy of OMB-approved supplemental application form, if used	
	6. Tie breaking method, if used	
	7. Identification of SME's and personnelists who participated in rating process	
	Ranking determinations are accurate in accordance with established KSAs and crediting plan.	
	Certificate numbering scheme includes the FY.	

Y/N	Review Item	Comments
	Certificate contains required information: [DEOH 6-A-9]	
	1. Certificate number	
	2. Title, series, grade, and duty location of position	
	3. Eligibles' names	
	4. Numerical rating of each eligible certified, including veterans' preference points and appropriate preference symbols	
	5. Addresses and phone numbers of eligibles, if applications are not sent with certificate	
	6. Signature/date of issuing official	
	7. Due date of certificate	
	8. Annotation of actions taken on each competitor certified for selection	
	Order of certification is proper. [DEOH 6-B-2; 5 U.S.C. 3317]	
	Supplemental certificates are issued properly. [DEOH 8.9]	
	Tie breakers are used properly. [DEOH 6-R-6]	
	Selections are made from the highest three eligibles available for appointment. [5 CFR 332.404]	
	Selections are consistent with ranking certification. [DEOH 6-C-1; 5 U.S.C. 3318; 5 CFR 332.404 and 332.405]	
	Selecting officials properly document certificate selection/ nonselection actions, e.g., declination, failed to reply. [DEOH 6-C-1]	
	Selecting officials return certificates promptly after making selections. [DEOH 6-C-1]	
	Passovers and/or objections to preference eligibles are handled properly. [DEOH 6-D-1, 6-D-2, 6-D-7; 5 CFR 332.406; 5 U.S.C. 3318]	
	Case file can be reconstructed for audit purposes. (The DEOH recommends retaining a copy of selectee's application in the examining file to permit audit in case selectee's OPF is not available.)	
	Certificates are audited after certificates are returned in accordance with agency's policy.	
	Codes and authorities on SF 50/SF 52 are correct:	
	1. Legal authority and nature of action codes	
	2. Veterans' preference	
	3. Tenure group	
	4. FEGLI	
	5. Retirement plan	
	6. Pay determination proper	
	7. Qualification standard annotated on SF 52 if other than OPM	
	Remarks entered on SF 50 are correct:	
	1. Probationary period	
	2. Service counting towards career tenure	
	3. Date appointment affidavit signed	

Y/N	Review Item	Comments
	<i>And, if appropriate:</i>	
	4. Reason for temporary appointment (reason stated)	
	5. Supervisor certified that employment need is truly temporary	
	6. Conditions explained in statement dated _____ (not required for conversions). Employee's statement is filed on left side of OPF.	
	7. Appointment limited to one year or less and subject to termination at any time	
	8. Temporary appointment does not confer eligibility to be promoted or reassigned to other positions or the ability to be converted to a career-conditional appointment	
	<p>Forms filed on right (long-term) side of OPF:</p> <ul style="list-style-type: none"> • Application for Federal employment e.g., OF 612, resume, etc. (only those used for appointments) • SF 61 (Appointment Affidavit), unless action is a conversion • OF 306 (Declaration of Federal Employment) • Copy of SF 50 (Notification of Personnel Action) <p><i>When applicable:</i></p> <ul style="list-style-type: none"> • SF 144 (Statement of Prior Federal Employment) • DD 214 (Certificate of Release or Discharge from Active Duty) • SF 15 (Application for 10-Point Veteran Preference) • VA letter or active service retirement orders certifying service connected disability • Health and life insurance forms • Certification of Investigation Notice • Retirement forms • Selective service certification for males born after 12-31-59 	

Reviewer/Title: _____

Date: _____

Date: _____

ATTACHMENT #3 - MERIT PROMOTION AUDIT COMPETITIVE & NONCOMPETITIVE ACTIONS

Selectee:	Effective Date:	NOAC/Nature of Action: see Guide to Processing Personnel Actions	
From Title/Series/Pay Plan/Grade (potential)/Organization:			LAC/Legal Authority: see Guide to Processing Personnel Actions
To Title/Series/Pay Plan/Grade (potential)/Organization:			SF-52 or Request Date:
Announcement #:	Open:	Close:	Area of Consideration:
Date of Referral List:	Date Referral List Returned:		Date of Panel or Rating:
Well-qualified ICTAP: Yes No	# Applied:	# Qualified:	# Referred:
Position was filled by a well-qualified, eligible ICTAP candidate*: Yes No If no, explain:			
* Note: If position was filled by ICTAP, do not complete Sections 1 and 2 of this worksheet.			

References: 5 CFR 300, 315, 330, 335; Guide to Processing Personnel Actions, Chapters 9 and 14

INSTRUCTIONS: Use Section 1 for competitive promotions, time-limited promotions and details for more than 120 days to higher-graded positions, changes to lower grade and reassignments to positions with greater promotion potential, and reinstatements and transfers to higher grades than previously held. Use Section 2 for noncompetitive promotions based on accretion of duties. Use Section 3 for reinstatements, transfers, conversions, and special authorities.

SECTION 1. COMPETITIVE ACTIONS		
Y/N	Review Item	Comments
	Merit promotion plan meets regulatory requirements and was followed for this selection. [5 CFR 335.103]	
	Documentation shows clearance of applicable priority placement programs:	
	1. CTAP [5 CFR 330.608]	
	2. DoD Priority Placement Program [DoD 1400.20-1-M] For DoD Only: DoD Priority Placement Program authorized by OPM in lieu of CTAP (5 CFR 330.601(c))	
	3. RPL [5 CFR 330.207]	
	4. ICTAP [5 CFR 330.708]	
	Vacancy is listed in USAJOBS, as required. (Position is in the competitive service, outside applicants are within the area of consideration, <u>and</u> position is to be filled for more than 120 days.) [5 CFR 335.105 and 330.102]	
	OPM given electronic copy of complete vacancy announcement containing required information. [5 CFR 330.707]	
	27. Name and description	
	28. Agency name	

SECTION 1. COMPETITIVE ACTIONS

	29. Announcement number	
	30. Series and grade	
	31. Salary Range	
	32. Promotion potential	
	33. Opening date	
	34. Closing date (including use of cut-off dates, if any)	
	35. Duty locations	
	36. Number of vacancies	
	37. Who may apply for the position	
	38. Application procedures	
	39. Procedures for obtaining additional information [5 CFR 330.707]	
	40. Qualification requirements for each grade level: KSAs/competencies, including selective factors and quality ranking factors, if any	
	41. Basis of rating	
	42. How to claim veterans' preference	
	43. EEO Statement (5 CFR 330.707(b)(13))	
	44. Agency definition of well-qualified and how CTAP and/or ICTAP candidates may apply, including proof of eligibility [DEOH 4-B-2]	
	45. Type of appointment (i.e., permanent, term, or temporary, including NTE dates)	
	46. Special conditions when one announcement is used	
	47. Application receipt procedures	
	48. Additional items (i.e., physical requirements, restriction to veterans, gender, part-time or intermittent employment, shift work, unusual tours of duty, travel requirements, minimum/maximum entry age, mandatory interview, any other applicable information) [DEOH 6.5]	
	49. Reasonable accommodation provided	
	50. P.O.C. and telephone number	
	51. For positions restricted to preference eligibles: Statement explaining whether applications will be accepted from non-preference eligibles, and if so that they will not be considered if veterans are available for Custodian, Messenger, Guard, and Elevator Operator positions.	
	52. For restriction of consideration to one sex: Documentation of approval from OPM [5 CFR 332.407]	
	Area of consideration is sufficiently broad to ensure availability of high quality candidates. [5 CFR 335.103(b)(2)]	

SECTION 1. COMPETITIVE ACTIONS

	Action is a time-limited promotion for more than 120 days to a higher-graded position. (Prior service during preceding 12 months under noncompetitive time-limited promotions or noncompetitive details counts toward 120 day total.) Action results in initial assignment to supervisor/manager position. Advance written notice of probationary period is given to employee. [5 CFR 335.103(c)(1)(ii)]	
	1. Position is filled competitively, as required. [5 CFR 335.103(c)(i)]	
	2. Promotion is to meet temporary needs for a specified period of not more than 5 years. [5 CFR 335.102(f)]	
	3. Advance written notice of conditions of promotion is given to employee. [5 CFR 335.102(f)(1)]	
	Action is a detail for more than 120 calendar days to higher graded position. Position is filled competitively. (Prior service during preceding 12 months under noncompetitive time-limited promotions or noncompetitive details counts toward 120 day total.) [5 CFR 335.103(c)(1)(ii)]	
	Job analysis identifies: [5 CFR 300.103a]	
	1. Basic duties and responsibilities	
	2. KSAs required to perform duties/responsibilities, including selective factors	
	3. Factors that are important in evaluating candidates	
	Crediting plan is consistent with the job analysis. [5 CFR 300.103(b)(1)]	
	Qualifications and crediting plan are properly applied. [5 CFR 335.103(b)(3)]	
	Veteran candidates applying under the Veterans Employment Opportunities Act of 1998, as amended, are properly rated, ranked, and referred (Veterans preference not allowed)	
	Due weight is given to performance appraisals and incentive awards. [5 CFR 335.103(b)(3)]	
	Merit promotion process can be reconstructed, including how candidates rated and ranked. [5 CFR 335.103(b)(5)]	
	Selectee meets time-in-grade. (Applies to GS positions only.) [5 CFR 300 subpart F]	
	Selectee meets time-after-competitive appointment, if applicable. [5 CFR 330.501]	
	Selection is from among the best-qualified candidates. [5 CFR 300.102(b)]	

SECTION 1. COMPETITIVE ACTIONS

	<p>Nature of action (NOA) and nature of action code (NOAC) are correct. [Guide to Processing Personnel Actions, Chapters 9 and 14]</p> <table border="0"> <tr> <td><u>If action is:</u></td> <td><u>NOA is:</u></td> <td><u>NOAC is:</u></td> </tr> <tr> <td>Permanent promotion</td> <td>Promotion</td> <td>702</td> </tr> <tr> <td>Time-limited promotion for more than 120 days</td> <td>Promotion NTE</td> <td>703</td> </tr> <tr> <td><u>If action is:</u></td> <td><u>NOA is:</u></td> <td><u>NOAC is:</u></td> </tr> <tr> <td>Chg to Lower Grade (more promotion potential)</td> <td>Chg to Lower Grade</td> <td>713</td> </tr> <tr> <td>Detail to a higher grade for more than 120 days</td> <td>(SF 52 required)</td> <td>none</td> </tr> <tr> <td>Reassignment (more promotion potential)</td> <td>Reassignment</td> <td>721</td> </tr> <tr> <td>Reinstatement to a higher grade than previously held</td> <td>Reins-Career</td> <td>140</td> </tr> <tr> <td></td> <td>Reins-Career-Cond</td> <td>141</td> </tr> <tr> <td>Trans to higher grade than previously held</td> <td>Transfer</td> <td>130</td> </tr> </table>	<u>If action is:</u>	<u>NOA is:</u>	<u>NOAC is:</u>	Permanent promotion	Promotion	702	Time-limited promotion for more than 120 days	Promotion NTE	703	<u>If action is:</u>	<u>NOA is:</u>	<u>NOAC is:</u>	Chg to Lower Grade (more promotion potential)	Chg to Lower Grade	713	Detail to a higher grade for more than 120 days	(SF 52 required)	none	Reassignment (more promotion potential)	Reassignment	721	Reinstatement to a higher grade than previously held	Reins-Career	140		Reins-Career-Cond	141	Trans to higher grade than previously held	Transfer	130	
<u>If action is:</u>	<u>NOA is:</u>	<u>NOAC is:</u>																														
Permanent promotion	Promotion	702																														
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Trans to higher grade than previously held	Transfer	130																														
	<p>Legal authority (LA) and legal authority code (LAC) are correct. [Guide to Processing Personnel Actions, Chapters 9 and 14]</p> <table border="0"> <tr> <td><u>If action is:</u></td> <td><u>LA is:</u></td> <td><u>LAC is:</u></td> </tr> <tr> <td>(1) Perm promotion; (2) reassignment; (3) change to lower grade; <u>OR</u> (4) time-limited promotion for more than 120 days</td> <td>Reg. 335.102 Comp</td> <td>N3M</td> </tr> <tr> <td>Reinstatement to a higher grade than previously held</td> <td>Reg. 315.401</td> <td>KQM</td> </tr> <tr> <td>Transfer to a higher grade than previously held</td> <td>Reg. 315.501 Prom</td> <td>KVM</td> </tr> <tr> <td>Detail</td> <td>----</td> <td>----</td> </tr> </table>	<u>If action is:</u>	<u>LA is:</u>	<u>LAC is:</u>	(1) Perm promotion; (2) reassignment; (3) change to lower grade; <u>OR</u> (4) time-limited promotion for more than 120 days	Reg. 335.102 Comp	N3M	Reinstatement to a higher grade than previously held	Reg. 315.401	KQM	Transfer to a higher grade than previously held	Reg. 315.501 Prom	KVM	Detail	----	----																
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Transfer to a higher grade than previously held	Reg. 315.501 Prom	KVM																														
Detail	----	----																														

SECTION 1. COMPETITIVE ACTIONS		
	Remarks entered on SF 50 are correct:	
	1. Selected from (# promotion certificate) dated (date)	
	<i>And, if appropriate:</i>	
	2. Full performance level of employee's position is (enter pay plan and grade)	
	3. Salary includes WGI for which employee became eligible on (date)	
	4. Position is at the full performance level	
	5. From promotion NTE (date)	
	6. Qualification requirements modified because of general OPM amendment	
	7. Qualified for this position only under training agreement. Not eligible for other positions in this series until satisfactorily completes prescribed training	
	8. Removes temporary limitation placed on last action	
	9. Probation for supervisory position completed	
	10. Subject to completion of one year probationary period for assignment to supervisory/managerial position beginning	

SECTION 2. NONCOMPETITIVE PROMOTIONS BY ACCRETION OF DUTIES		
Y/N	Review Item	Comments
	Agency merit promotion plan allows promotion resulting from an employee's position being classified at a higher grade because of additional duties and responsibilities. [5 CFR 335.103(c)(3)(ii)] Note: Although this regulatory citation does not refer to this type of promotion as an accretion of duties promotion, an employee's position being classified at a higher grade because of additional duties and responsibilities has often been referred to as an accretion of duties promotion.	
	Agency practices consider the following factors regarding accretion of duties promotions: <ul style="list-style-type: none"> • The employee continues to perform the same basic functions; • The duties of the former position have been absorbed into the new position; • The new position has no known promotion potential; • The additional duties and responsibilities do not adversely affect any other encumbered position; and, • The upgrading of the position does not involve the addition of supervisory duties as the sole basis for the reclassification. 	
	Basis for noncompetitive promotion based on accretion of duties can be reconstructed.	
	Employee meets qualification requirements (an employee whose position is upgraded as a result of a reclassification is considered to meet the qualification requirements of the upgraded position, since he/she has been performing the higher-graded work. However, employees must meet any	

SECTION 2. NONCOMPETITIVE PROMOTIONS BY ACCRETION OF DUTIES

	licensure or certification requirements, as well as any minimum educational requirements. [Qualification Standards Operating Manual, Section 2E(3)(d)]	
	Employee meets time-in-grade. (Applies to GS positions only.) [5 CFR 300 subpart F]	
	Codes and remarks on SF 50 are correct: [Guide to Processing Personnel Actions, Chapter 14-B, rule 7]	
	1. NOAC/Nature of action is: 702 Promotion	
	2. LAC/Legal authority is: N7M Reg. 335.102 ReClass	
	3. Remark is: Result of additional duties and responsibilities	

SECTION 3. REINSTATEMENTS, TRANSFERS, CONVERSIONS, & SPECIAL AUTHORITIES

Y/N	Review Item	Comments
	Appointed by reinstatement [5 CFR 315.401]	
	Documentation shows clearance of applicable priority placement programs:	
	1. CTAP [5 CFR 330.608]	
	2. DoD Priority Placement Program [DoD 1400.20-1-M]	
	3. RPL [5 CFR 330.207]	
	4. ICTAP [5 CFR 330.708]	
	Selectee meets time limit on eligibility (i.e., no limit for preference eligibles and those who complete service requirement for career tenure. For all others, within 3 years of separation unless extended in accordance with 5 CFR 315.401(c)).	
	Selectee meets qualification requirements	
	Selectee meets time-in-grade restriction [5 CFR 300 subpart F]	
	Competitively selected (under 5 CFR 335) if reinstated to a higher grade or position which warrants higher promotion potential than previously held on a permanent basis in the competitive service.	
	Appointed by transfer: [5 CFR 315.501]	
	1. Appointed without a break in service of a single workday	
	2. Current career/career conditional employee of another agency or agency with Interchange Agreement	
	3. Selectee meets qualification requirements	
	4. Competitively selected (under 5 CFR 335) if transferred to a higher grade or position which warrants higher promotion potential than previously held on a permanent basis in the competitive service.	

SECTION 3. REINSTATEMENTS, TRANSFERS, CONVERSIONS, & SPECIAL AUTHORITIES

	Appointed by conversion from other types of employment, e.g., VRA, disabled veterans, PMI: [5 CFR 315 subpart G]	
	1. Selectee meets eligibility requirements for conversion	
	2. Conversion is within allowable timeframe	
	3. Selectee meets qualification requirements	
	Appointed under special authorities, e.g., former Peace Corps personnel: [5 CFR 315 subpart F]	
	1. Selectee meets eligibility requirements of special authority	
	2. Selectee meets qualification requirements	
	Codes and authorities on SF 50/52 are correct:	
	1. Legal authority and nature of action codes	
	2. Veterans' preference	
	3. Tenure group	
	4. Pay determination is proper	
	5. Qualification standard annotated on SF 52 if other than OPM	
	Remarks entered on SF 50 are correct:	
	1. Probationary period	
	2. Service counting toward career tenure	
	3. Date appointment affidavit signed	
	4. Other remarks as appropriate from Table 9-I, Guide to Processing Personnel Actions	
	<p>Forms filed on right (long-term) side of OPF:</p> <ul style="list-style-type: none"> • Application for Federal employment e.g., OF 612, resume, etc. (only those used for appointments) • SF 61 (Appointment Affidavit), unless action is a conversion • OF 306 (Declaration of Federal Employment) • Copy of SF 50 (Notification of Personnel Action) <p><i>When applicable:</i></p> <ul style="list-style-type: none"> • SF 144 (Statement of Prior Federal Service) • DD 214 (Certificate of Release or Discharge from Active Duty) • SF 15 (Application for 10-Point Veteran Preference) • VA letter or active service retirement orders certifying service connected disability • Certification of Investigation Notice • Selective service certification (males born after 12-31-59) 	

Reviewer/Title: _____

Date: _____

ATTACHMENT #4 - PERFORMANCE CULTURE CHECKLIST

Employee Name:	
Title, PP/Series/Grade:	
Organization:	
Performance Rating:	Date of Rating:

Y/N	Review Item	Comments
	EPF is maintained in a secure, locked space.	
	Employee has a current, written or otherwise recorded, performance plan based on work assignments and responsibilities.	
	Performance plan was provided to employee at the beginning of the rating period (normally within 60 days).	
	Performance plan is signed by rating official (and approving official, pay pool manager, as applicable), and contains employee signature (unless note is present about employee refusing to sign).	
	Performance standards appear reasonable and measurable.	
	Performance rating is based on at least 120 days of performance under a covered position.	
	At least one progress review was completed and documented during the appraisal period.	
	A rating of record was assigned and documented on the performance plan within 30 days of the end of the appraisal cycle.	
	Summary rating level properly derived and assigned (element scores are properly summed).	
	Unacceptable rating was reviewed and approved by a higher-level management official.	
	Forms or other supporting document used by rating officials to recommend a personnel action affecting an employee when the basis for action is performance related. Examples of such forms are certificates for Within-Grade Increase (CD-416), Recommendations for Recognition (CD-326), and Probationary or Trial Period Reports (CD-35).	
	Awards forms (CD-326s) reflect an approval date that precedes the effective date.	
	EPF contains four years of aforementioned forms and records (performance plans and documentation of performance-based personnel actions) unless employee has not been employed at NOAA for four years (or other valid reason).	

	Any QSI recommendations reflect appropriate documentation (5-Level: signed performance plan which contains justification; 2-Level: signed performance plan with QSI justification attached)	
	When a QSI is awarded, (1) employee is in the GS pay plan; and (2) employee has not received a QSI within the preceding 52 consecutive calendar weeks.	
	Awards forms are signed and contain a justification.	
	Awards greater than \$10,000 are approved by OPM.	
	SF-50s which document awards are supported by a signed CD-326 that contains a justification.	

CSO Organization & Location:
Period Covered by Evaluation:
Reviewer Signature and Date:

ATTACHMENT 5 - STUDENT TEMPORARY EMPLOYMENT CHECKLIST

Employee Name:
Title, PP/Series/Grade:
Organization:

Y/N	Review Item	Comments
	Student is pursuing an educational program as outlined in 5 CFR 213.3202(a)(1)	
	Student is enrolled or has been accepted for enrollment and is seeking a degree (diploma, certificate, etc.,) in a high school or in a technical or vocational school, 2-year or 4-year college or university, or graduate or professional school that has been accredited as outlined in 5 CFR 213.3202(a)(2)	
	Student is enrolled in an academic institution at least half-time (copy of current class schedule) OR Acceptance letter from a college or university or graduate school (graduating seniors only)	
	Student meets qualification requirements of the position as outlined in OPM's Qualification Standards for position to which appointed	
	SF-52	
	Signed PD coversheet with PD and performance plan	
	Classification is based on the occupational series for which hired (NOT xx99 series)	
	Application (resume, OF 612, or any acceptable form)	
	Transcript	
	Work permit (if under age 18)	
	Meets citizenship requirements as outlined in 5 CFR 213.3202(a)(6), DAO 202-300 and DOC HR Bulletin #071, FY07	
	Nepotism Justification (if applicable)	

CSO Organization & Location:
Period Covered by Evaluation:
Reviewer Signature and Date:

ATTACHMENT 5 - STUDENT CAREER EXPERIENCE PROGRAM CHECKLIST

Employee Name:
Title, PP/Series/Grade:
Organization:

Y/N	Review Item	Comments
	Student is pursuing an educational program as outlined in 5 CFR 213.3202(b)(1)	
	Student is enrolled or has been accepted for enrollment and is seeking a degree (diploma, certificate, etc.) in a high school or in a technical or vocational school, 2-year or 4-year college or university, or graduate or professional school that has been accredited as outlined in 5 CFR 213.3202(b)(2)	
	Student is enrolled in an academic institution at least half-time (copy of current class schedule) OR Acceptance letter from a college or university, or graduate or professional school (graduating seniors only)	
	Student meets qualification requirements of the position as outlined in NOAA's Qualification Standards for SCEP dated May 25, 1997	
	Work experience is related to academic/career goals	
	Signed SCEP Agreement between NOAA and academic institution	
	Signed work study schedule which totals a minimum of 640 work hours	
	SF-52	
	Signed PD coversheet with PD and performance plan	
	Classification of positions for GS or Alternative Personnel System as student trainees to the xx99 series of the appropriate occupational group. Wage Grade positions classified as student trainees to the xx01 series of the appropriate occupation group.	
	Application (resume, OF 612 or any acceptable form)	
	Transcript	
	Work permit (if under age 18)	
	Meets citizenship requirements as outlined in 5 CFR 213.3202(b)(6), DAO 202-300 and DOC HR Bulletin #071, FY07	
	Nepotism Justification (if applicable)	

CSO Organization & Location:
Period Covered by Evaluation:
Reviewer Signature and Date:

ATTACHMENT #5 - STUDENT CAREER EXPERIENCE CONVERSION CHECKLIST

Employee Name:
Title, PP/Series/Grade:
Organization:

Y/N	Review Item	Comments
	SF-52	
	Signed PD coversheet with PD and performance plan	
	Official Transcript	
	Student meets citizenship requirements	
	Student meets qualification requirements of the position to which they will be appointed	
	Conversion is within 120 days of completion of requirements for diploma, certificate, or degree	
	Conversion to term, career or career-conditional position	
	Documentation that the student has completed a minimum of 640 work hours in a field or functional area related to target position/career field while enrolled in a Federal work-study program as a student; OR	
	Documentation signed by the DOC Director for Human Resources Management if crediting up to 320 hours of career-related work experience acquired through a comparable non-Federal work-study program, military experience or previous Federal appointment in accordance with 5 CFR 213.3202(b)(11) OR Documentation signed by the DOC Director for Human Resources Management if waiving 320 hours of career related work experience per HR Bulletin #068, FY07	
	Favorable recommendation by an official of the agency	

CSO Organization & Location:
Period Covered by Evaluation:
Reviewer Signature and Date:

ATTACHMENT #6 - RECRUITMENT INCENTIVE CHECKLIST

Employee Name:		
Title, PP/Series/Grade:		
Organization and Duty Location:		
Amount of Incentive:	Effective Date:	Service Agreement Period:

Y/N	Review Item	Comments
	Employee is eligible to receive a recruitment incentive as outlined in 5 CFR 575.103?	
	Documentation is provided to indicate position is likely to be difficult to fill in the absence of a recruitment incentive as outlined in 5 CFR 575.106?	
	Employee is newly appointed to the Federal Government as outlined in 5 CFR 575.102?	
	The recruitment incentive is documented in writing and has been approved by an authorized agency official as outlined in 5 CFR 575.108(a)?	
	Approval was prior to the employee's EOD date as outlined in 5 CFR 575.108(b)?	
	A service agreement was initiated and is on file with the Employee's signature, Manager's signature and Approving Official's signature and indicates the length, commencement, and termination dates of the service period; the amount of the incentive; the method and timing of incentive payments, the conditions under which an agreement will be terminated by the agency, any agency or employee obligations if a service agreement is terminated; and any other terms and conditions for receiving and retaining a recruitment incentive prior to payment of the recruitment incentive?	
	The service period in the agreement is more than 6 months but does not exceed 4 years and the service period terminates on the last day of a pay period?	
	Is the employee currently serving under a service agreement for a relocation or retention incentive? OR has the employee received a retention incentive payment without a service agreement as outlined in 5 CFR 575.105(c)?	
	SF-52 has been completed, signed by an authorized official and processed for payment using the 815 Nature of Action Code?	
	Payment amount does not exceed 25% of the annual rate of basic pay of the employee at the beginning of the service period multiplied by the number of years (including fractions of a year) in the service period?	
	If recruitment incentive is more than 25% is there documentation that approval was received from OPM based on a critical agency need as outlined in 5 CFR 575.109(c)(1)?	

CSO Organization & Location:
Period Covered by Evaluation:
Reviewer Signature and Date:

ATTACHMENT #6 - RELOCATION INCENTIVE CHECKLIST

Employee Name:		
Title, PP/Series/Grade:		
Organization and Duty Location:		
Amount of Incentive:	Effective Date:	Service Agreement Period:

Y/N	Review Item	Comments
	Employee is eligible to receive a relocation incentive as outlined in 5 CFR 575.203?	
	Documentation is provided to indicate that the employee must relocate to a different geographic area, is an employee of the Federal Government immediately before the relocation, and the position will likely be difficult to fill in the absence of a relocation incentive as outlined in 5 CFR 575.206?	
	The employee has established a residence in the new geographic area prior to payment of the relocation incentive as outlined in 5 CFR 575.205(b)?	
	The employee's rating of record for the position held immediately before the move is at least Fully Successful or equivalent as outlined in 5 CFR 575.205(c)?	
	The relocation incentive is documented in writing and has been approved by an authorized agency official as outlined in 5 CFR 575.208(a)?	
	Approval was prior to the employee's EOD date in the position at the new duty station as outlined in 5 CFR 575.208(a)(3)?	
	A service agreement was initiated and is on file with the Employee's signature, Manager's signature and Approving Official's signature and indicates the length, commencement, and termination dates of the service period; the amount of the incentive; the method and timing of incentive payments, the conditions under which an agreement will be terminated by the agency, any agency or employee obligations if a service agreement is terminated; and any other terms and conditions for receiving and retaining a relocation incentive prior to payment of the relocation incentive?	
	The service period in the agreement begins upon commencement of service at the new duty station and must terminate on the last day of a pay period, not to exceed 4 years? If commencement period is delayed, the service agreement is documented as outlined in 5 CFR 575.210(b)(3)?	
	Is the employee currently serving under a service agreement for a recruitment or relocation incentive as outlined in 5 CFR 575.205(d)?	
	SF-52 has been completed, signed by an authorized official and processed for payment using the 816 Nature	

	of Action Code?	
	Payment amount does not exceed 25% of the employee's annual rate of basic pay in effect at the beginning of the service period multiplied by the number of years (including fractions of a year) in the service period?	
	If relocation incentive is more than 25% is there documentation that approval was received from OPM based on a critical agency need as outlined in 5 CFR 575.209(c)(1)?	

CSO Organization & Location:
Period Covered by Evaluation:
Reviewer Signature and Date:

ATTACHMENT #6 - RETENTION INCENTIVE CHECKLIST

Employee Name:		
Title, PP/Series/Grade:		
Organization and Duty Location:		
Amount of Incentive:	Effective Date:	Service Agreement Period:

Y/N	Review Item	Comments
	Employee is eligible to receive a retention incentive as outlined in 5 CFR 575.303?	
	Documentation is provided that supports a determination to pay a retention incentive on the following: (1) The unusually high or unique qualifications of the employee or a special need of the agency for the employee's services makes it essential to retain the employee; and (2) the employee would be likely to leave the Federal service in the absence of a retention incentive as outlined in 5 CFR 575.306; OR If the retention incentive is for a current Federal employee who would be likely to leave for a different position in the Federal service documentation is provided that meets the requirements outlined in 5 CFR 575.315?	
	The employee's rating of record is at least Fully Successful or equivalent as outlined in 5 CFR 575.305(d)?	
	The retention incentive is documented in writing and has been approved by an authorized agency official as outlined in 5 CFR 575.308 or 5 CFR 575.315(d) prior to payment being made?	
	Is a service agreement required as outlined in 5 CFR 575.310?	
	If a service agreement is required the agreement was initiated and is on file with the Employee's signature, Manager's signature and Approving Official's signature and indicates the specified period of service the employee must complete with the agency, the retention incentive percentage rate, the method and timing of the incentive payments, the conditions under which an agreement will be terminated by the agency, any agency or employee obligations if a service agreement is terminated; and any other terms and conditions for receiving and retaining a retention incentive prior to payment of the retention incentive?	
	If a service agreement is not required as outlined in 5 CFR 575.310(g), and the retention payment has been in place for more than 1 year, has an annual review been conducted and documented?	
	The service period in the agreement begins on the first day of a pay period and ends on the last day of a pay period as outlined in 5 CFR 575.310(b)?	

	Is the employee currently serving under a service agreement for a recruitment or relocation incentive as outlined in 5 CFR 575.307(g)?	
	SF-52 has been completed, signed by an authorized official and processed for payment using the 827 Nature of Action Code?	
	Payment amount does not exceed 25% of the employee's rate of basic pay in effect at the beginning of the service period multiplied by the number of years (including fractions of a year) in the service period? OR If a group retention incentive, payment amount does not exceed 10% of the employee's rate of pay?	
	If retention incentive is more than 25% or 10% is there documentation that approval was received from OPM based on a critical agency need as outlined in 5 CFR 575.309(e)?	

CSO Organization & Location:
Period Covered by Evaluation:
Reviewer Signature and Date:

Appendix B: Tactical Controls – Competitive Staffing File Checklist

STANDARD OPERATING PROCEDURE	SOP 330-3 (Rev 1.)
NOAA, Workforce Management Office	Subject: Competitive Staffing File Checklist
Approved by: Eduardo J. Ribas Director, Workforce Management Office	Date: September 17, 2008
Replaces: Previous SOP guidance at respective Workforce Management Office (WFMO) components currently in effect.	

A. SUMMARY: Authority has been given by the Office of Personnel Management to agencies to carry out an effective recruitment program for both competitive and merit assignment staffing actions.

B. OBJECTIVES: This Standard Operating Procedure (SOP) is being established as part of the continuous improvement of our work processes to ensure consistent, quality staffing service that complies with legal and regulatory requirements.

C. RESPONSIBILITIES:

The Human Resource Specialist is responsible for completing competitive staffing actions using either delegated examining procedures or merit assignment procedures for their assigned clients that meet regulatory compliance. Use of the competitive staffing file checklist is mandatory for all NOAA and other serviced client competitive staffing actions.

D. PROCEDURES:

1. When positions are advertised under both merit assignment procedures and delegated examining procedures separate staffing files must be established and maintained.
2. When positions are advertised under both merit assignment procedures and delegated examining procedures, the completed SF-52 must be filed in the staffing file from which selection is made, e.g., if selection is made from the MAP certificate, the MAP staffing file will contain the completed SF-52.
3. Clearance for RPL/PPP must be completed twice - prior to advertising the position and prior to the offer being made.
4. Copies of the CD-516, PD, and Performance Plan, if applicable, must be retained for all grade levels in the staffing file.

Responsible Person	Task	Action
HR Specialist	1	Ensures the competitive staffing package contains all the required documentation and competitive staffing file checklist is completed and filed in the staffing file within 30 days of selection. Provides file to another HR Specialist to conduct a peer review of staffing file and documentation. Once all reviews have been completed, files staffing file in accordance with procedures outlined in NOAA MAP or OPM DE Handbook.
HR Specialist (Peer Review)	2	Conducts review of staffing file and documentation to ensure compliance with applicable laws, regulations, policies and procedures within 1 week of receipt of file. If documents are missing or if there are concerns, provides feedback to HR Specialist that originated the action. If no issues, sign and date competitive staffing file checklist. Returns to HR Specialist that initiated the action.
Supervisor	3	Reviews the competitive staffing file and documentation to ensure compliance with applicable laws, regulations, policies and procedures within 1 week of receipt of file. If correction is needed, provides feedback to HR Specialist that originated the action. If no issues, signs and dates competitive staffing file checklist. Returns to HR Specialist that initiated the action for filing.

EXHIBIT:

WFM Competitive Staffing File Checklist

**NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION
HUMAN CAPITAL ACCOUNTABILITY SYSTEM PLAN
FY 2008 - 2011**

Exhibit

WFM COMPETITIVE STAFFING FILE CHECKLIST

Specialist:				
Vacancy Announcement Number(s):				
SF-52#:		STMS #:		
Title, Pay Plan, Series, Grade:				
Opening Date:		Closing Date:		
Number of Positions:	PERM:	TERM:	TEMP:	OTHER:
Location(s):				
DE only:		MAP only:		DE & MAP:

Vacancy Announcement Related Items:

- Copy of completed SF-52 (including approval signature and date)
 - "REFERRAL OF ELIGIBLES" stamp (in lieu of SF-39 for DE actions) and all information required by SF-39 listed on the SF-52
 - RPL/PPP cleared (upon receipt and before select call) & noted on SF-52 in addition to supporting documentation
- Relocation expenses paid? Y/N. If no, documentation of nonpayment justification
- If Temporary or Term position – reason stated as to why in Part D of the SF-52
- CD-516, PD and performance plan for all levels for which the position was announced
- Job analysis documentation
- Crediting plan from Hiring Management which includes question weights
- Documentation of selective factor (SF-39A or equivalent)
- Individual Hiring Services Plan
- Copy of USA Jobs Announcement (Overview Tab only)
- Copy of Hiring Management Vacancy Announcement (final version) with questions
- Document reason for re-announcing the position
- Other Relevant Documentation:
- STMs entered
- All applications and supporting documents that are part of the application (e.g., DD214, transcripts, etc.) are in Hiring Management

Certificate Related Items:

- Certificate #: _____
- Date Certificate Issued: _____ Date Certificate Returned: _____
- Copy of selection letter(s)
- CTAP/ICTAP Cleared – Annotate SF-52, Part D with the following statement: ***This vacancy was announced under VA# _____, dated _____ and there were no well qualified CTAP/ICTAP Eligibles.***
- Paper copy of Certificate properly documented and audited within 3 business days of selection prior to offer
 - Audited by: _____
 - Date Audited: _____
- Documentation to support the following (Circle the following that relate to this case file):
 - **Declinations** ➤ **Certificate returned unused justification** ➤ **Extension of Certificate(s)**
 - **Failed Replies** ➤ **Objections/Passovers (DE)** ➤ **Why recruit cancelled**
- Superior quals/3 Rs incentive justification & approval
- Other relevant documentation: (e.g., applicant correspondence, offer letter, etc.)
- STMs updated

**NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION
HUMAN CAPITAL ACCOUNTABILITY SYSTEM PLAN
FY 2008 - 2011**

- Certificate audited in Hiring Management and closed out – completed certification survey, changed applicant status codes, changed vacancy status code to audited, complete closeout DE workload form contained in WFMO SOP 332-1

Selectee Name	Selection Date	EOD Date	STMs Number
---------------	----------------	----------	-------------

Selectee Name	Selection Date	EOD Date	STMs Number
---------------	----------------	----------	-------------

- Date of Client Follow-up within 30 days of EOD: _____
Name of Selecting Official: _____
Comments: _____
- Date checklist completed: _____
- Specialist's signature and date certifying that staffing file and documentation is completed:

- Signature of Specialist (peer review) and date: _____
- Signature of Supervisor review and date: _____

Created September 12, 2008

INSTRUCTIONS FOR COMPLETING COMPETITIVE STAFFING FILES

The following steps are required to “complete” a Competitive Staffing action whether MAP or DE

1. When advertising positions using Merit Assignment Procedures, follow the requirements outlined in the NOAA Merit Assignment Plan and applicable Collective Bargaining Agreement provisions.
2. When advertising positions using Delegated Examining, follow the procedures outlined in the Delegated Examining Operations Handbook and WFMO SOP 332-1.
3. Ensure that the Pledge of Applicants language is incorporated into the announcement and is being followed.
4. Ensure recruitment procedures and practices comply with merit system principles and avoid prohibited personnel practices. [5 U.S.C. 2301 and 2302]
5. Be sure the qualifications requirements used in the vacancy announcement follow the OPM Qualifications Standards, ensuring that any Selective Placement Factor is part of minimum qualifications and specialized experience is well defined for each grade level and pay band at which position is advertised. [Qualification Standards Operating Manual, HR Bulletin, #47, FY 06]
6. In developing the Vacancy Announcement, follow the procedures outlined in WFMO SOP 330-2 and applicable DOC HR bulletins.
7. In developing the Job Analysis and Crediting Plan, follow the procedures outlined in WFMO SOP 330-1.
8. Ensure vacancy announcements contain all required information including EEO statement, KSAs, and alternative methods to apply. [5 CFR 330.707(b); HR Bulletin #47, FY 06]
9. Ensure vacancy announcements are prepared consistent with public notice requirements and ensure they include 1) information on how to claim veterans' preference and 2) the agency's definition of

**NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION
HUMAN CAPITAL ACCOUNTABILITY SYSTEM PLAN
FY 2008 - 2011**

well-qualified and information on how CTAP and/or ICTAP candidates may apply, including required proof of eligibility. [5 CFR 330.707; HR Bulletin #038, FY06]

10. When advertising positions under delegated examining adhere to veterans' preference and the "rule of three" in hiring.
11. When a Delegated Examining certificate is returned, be sure to properly document the paper certificate with the codes outlined in the DEO Handbook, Chapter 6, Section C.
12. In Hiring Management change codes for Selectee, Non-Selection, Declination, etc., to mirror codes used on paper certificate.
13. Delegated Examining Certificates, including unused certificates, must be audited within 3 business days of selection prior to the offer to the selectee in both Hiring Management and on the paper certificate. This audit must be conducted by someone other than the HR Specialist who issued the certificate who is certified to conduct Delegated Examining. [5 U.S.C. 3318; 5 CFR 250.101, 250.102 and 332.404]
14. Close Vacancy Announcement in Hiring Management.
15. Ensure SF-52 is signed and dated by HR Advisor with authority delegated by SOP 250-1 and is complete with correct salary and appropriate remarks and provide to HR Assistant prior to EOD.
16. Review and complete Competitive Staffing File Checklist and ensure peer review and supervisory review is conducted.
17. Complete STMs entries.
18. Ensure staffing file contains all required documentation related to the position.

**NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION
HUMAN CAPITAL ACCOUNTABILITY SYSTEM PLAN
FY 2008 - 2011**

Appendix C: Abbreviations

CHCO-Chief Human Capital Officer
CLF-Civilian Labor Force
CO-Corporate Office
DEU-Delegated Examining Unit
EEO-Equal Employment Opportunity
FHCS-Federal Human Capital Survey
HC – Human Capital
HCAAF-Human Capital Assessment and Accountability Framework
HCASP-Human Capital Accountability System Plan
HCMR-Human Capital Management Report
HRMIS-Human Resource Management Information System
KM-Knowledge Management
LCDP-Leadership Competencies Development Program
LMS-Learning Management System
LO-Line Office
MCO-Mission Critical Occupation
MSPB-Merit Systems Protection Board
OPM- Office of Personnel Management
PAAT-Performance Appraisal Assessment Tool
PMA- President’s Management Agenda
RNO-Race/National Origin
WFMO-Workforce Management Office