



United States Department of the Interior

BUREAU OF LAND MANAGEMENT

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EMS TRANSMISSION: 10/4/2011
Information Bulletin No. OC-2011-004

To: All National Operations Center Supervisors

From: Director, National Operations Center

Subject: Employee Performance Appraisal Plan (EPAP) Guidance for Fiscal Year (FY) 2011
Closeout and Establishment of FY 2012. **DD:** October 31, 2011

The purpose of this Information Bulletin is to provide guidance for accomplishing the close-out of FY 2011 EPAPs for all National Operations Center (NOC) employees, as well as guidance on establishing new performance plans for FY 2012.

Close Out FY 2011 EPAPS:

- Performance plans for FY 2011 must be completed within 30 days of the end of the performance appraisal period or no later than October 31, 2011.
- Employees should receive a rating of record based upon work performed during the entire appraisal period, October 1, 2010 through September 30, 2011.
- To receive a rating of record, the employee must have performed in a position supervised by the rating official and under an approved performance plan for the last 90 days. The performance period may be extended for up to a maximum of 90 days past the end of the appraisal period to allow for the rating of employees who have not been in the same position, under the same supervisor, or under performance standards for the full 90 days. Please advise Wade Frary, Human Resources Specialist, of any extensions.
- If a critical element is not performed by the employee, do not rate that critical element. Instead, indicate "NR" for "not rated."
- Write a narrative summary for each critical element assigned a rating of Exceptional, Minimally Successful, or Unsatisfactory.
- All ratings of record of Exceptional, Minimally Successful, and Unsatisfactory must be reviewed, approved and signed by the next level reviewing official(s) and discussed with the Associate Center Director, **prior to discussing with the employee.**

- Ratings of Minimally Successful or Unsatisfactory must be addressed with Robert Hamlett, Human Resources Officer or Sue Rocha, Human Resources Specialist for special guidance prior to discussion with the employee.
- After obtaining approvals, meet with the employee to discuss the summary rating, and obtain the employee's signature to indicate receipt of the EPAP. If an employee refuses to sign the EPAP, please annotate the original copy of the EPAP, stating "Employee Refused to Sign".
- Attached is a "Supervisor's EPAP Checklist" to assist you through this process (Attachment 1).
- Submit the original EPAP to Wade Frary, Human Resources Specialist, OC-110, no later than close of business October 31, 2011.

Performance Awards

Employees who receive an overall rating of record of Superior or Exceptional are eligible, and may be considered for a performance award. However, in accordance with BLM IB No. 2011-090, caps have been established on performance awards and individual contribution awards received by employees on or after October 1, 2011. The monetary awards cap is 1% of the BLM total aggregate salary cost; applies to all fund sources; and pertains to individual awards only. In addition, managers/supervisors must not exceed their FY2010 spending levels on time-off awards and Quality Step Increases (QSI) granted during FY2011 and FY 2012.

In all cases where a monetary performance award, QSI, or time-off award is being recommended, the manager/supervisor will annotate (with a check mark) the requested type of award on the bottom of the first page of the DI-3100/DI-3100(S) . **If monetary, do not annotate an amount or percentage of award.** Once all DI-3100/3100(S) forms have been submitted to the Branch of Human Resources, requested awards will be forwarded to the NOC Leadership Team for consideration. All awards will be determined once the NOC's overall awards ceiling is received.

Establishing FY 2012 Performance Plans

- Performance plans for FY 2012 must be established within 60 days from the beginning of the new performance cycle, which is no later than November 30, 2011.
- FY 2012 performance cycle is October 1, 2011 to September 30, 2012.
- Please ensure that the correct supervisory (DI-3100(S)) or non-supervisory form (DI-3100) is used and it is the most recent version:

DI3100(S), dated September 2010: <http://www.doi.gov/hrm/guidance/di-3100s2011.doc>

DI-3100, dated September 2009: <http://www.doi.gov/hrm/guidance/di-3100.doc>

- Performance plans must display the following characteristics:
 - Strategic Alignment: At least one critical element, and preferably all elements, should align with and support organizational goals and targets that are established in an organization's annual performance/strategic plan and/or that have been included in the Senior Executive Service (SES) members' performance plans. Alignment should

be clear so that employees can see how their performance plans support achievement of organizational goals. Including a generic statement in performance plans that employees' performance requirements support organizational goals is not adequate for communicating alignment. Similarly, restating organizational goals without including the metrics for determining performance against those goals is not adequate.

A copy of the section on goals and measures from the Government Performance Results Act (GPRA) Strategic Plan for FY 2011–2016 should be used as a guide in determining appropriate strategic linkage. Each employee is required to have at least one GPRA measure on their performance plan. The complete Strategic Plan is available at: <http://oneinterior.doi.net/oneinterior/News/doi-strategic-plan-21st-century-department-Department.cfm>

- All employees must have a critical element related to customer service. The standard must specify that employees will be held accountable for “how” they do their jobs related to treatment, responsiveness, etc., to both internal and external customers.
- All supervisors must have a standard in one of their elements, stating that they will be responsible for managing their program budgets within two percent of their budget limit, and will not exceed the budget limit.

If you have any questions or need assistance regarding this guidance, please contact Wade Frary, Human Resources Specialist, at 303-236-2682 or Sue Rocha, Human Resources Specialist, at 303-236-0455.

//Signed/lbs/9-30-2011//

Signed by:
Lynda B. Stelzer
Director, National Operations Center

Authenticated by:
William J. Mills
Records Administrator

1 Attachment:

[1 - Supervisory EPAP Quality Assurance Checklist \(1 p\)](#)

Distribution:
OC-110, William J. Mills