CLOSEOUT ASSESSMENTS
IN THE
PERFORMANCE APPRAISAL APPLICATION (PAA)
March 2007

***Reference*: DoD 1400.25-M, Subchapter 1940, paragraph 1940.6.5**

What is a Closeout Assessment?

A closeout assessment is a brief narrative description of an employee's performance, accomplishments and contributions during the current appraisal period when it is known that the rating official will cease to exercise duties resulting from a job change by the rating official or the employee. A closeout assessment is not a rating of record. Multiple closeout assessments can be done in one rating cycle.

NOTE: If the rating official or employee movement occurs within 90 days before the end of the rating cycle, the rating official will prepare an early annual recommended rating of record instead of a closeout assessment. The pay pool manager may allow exceptions to this policy based on individual circumstances.

When is a Closeout Assessment Prepared?

- A closeout assessment is only required if an employee has been assigned to a specific supervisor and has been on an approved performance plan for more than 30 consecutive days. Minimum requirement - Components may define additional requirements.

- When a rating official will cease to exercise duties related to monitoring, developing, and rating employee performance (due to job change, extended absence, retirement, etc.)

- When it is known that the employee will change positions resulting in a new rating official.

- When a rating official prepares input for an employee's recommended rating of record while the employee is on a temporary assignment; e.g., detail, temporary promotion, etc.

Who Participates in a Closeout Assessment?

- A rating official will:

    a. Indicate the start date and end date of the period being assessed
    b. Prepare a rating official assessment specifically for the closeout assessment
    c. Approve the closeout assessment

- An employee will:

    a. Prepare an employee self-assessment (voluntary but strongly encouraged) specifically for the closeout assessment
    b. Acknowledge the closeout assessment

What are Closeout Assessments Used For?

The appropriate rating official shall consider a closeout assessment when determining:

- Recommended rating of record
- Share assignments
- Payout distribution

Once the Closeout Assessment is Done, What Next?

- If the employee changes jobs, a new performance plan may be necessary. The previous performance plan/appraisal will need to be "closed" by the rating official using the

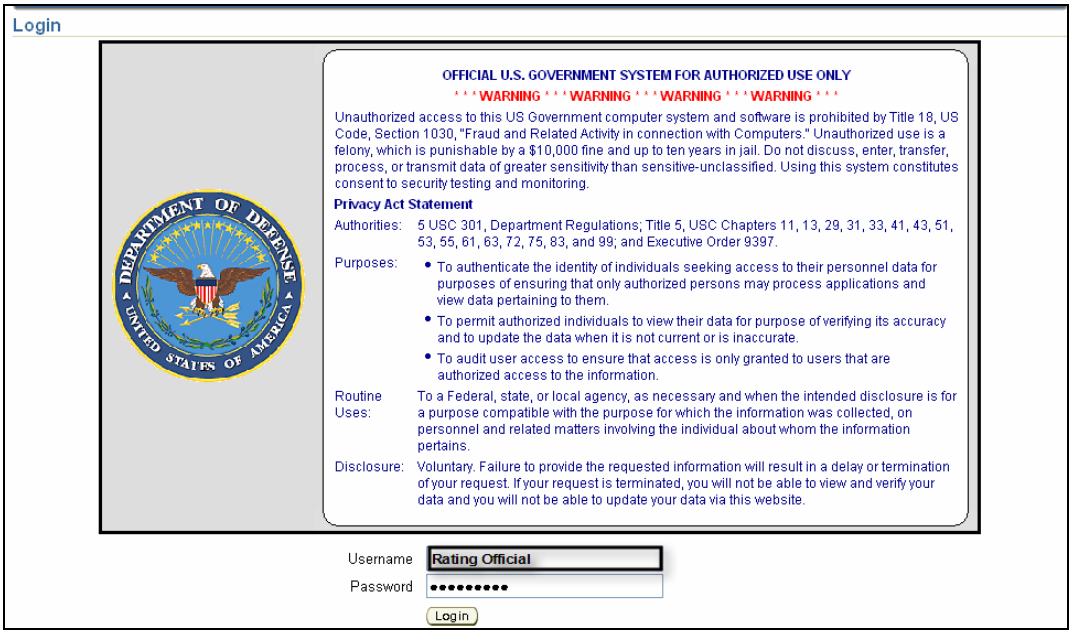
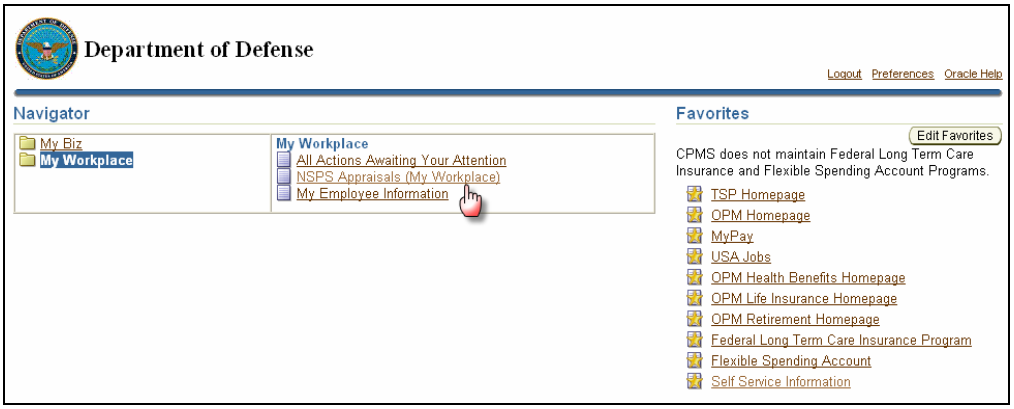
functionality under Plans/Appraisals in Progress. In this case, after the closeout assessment is documented, the Rating Cycle End Date on the original performance plan/appraisal must be changed to 1 day prior to the effective date of the job change and a new performance plan is initiated with a Rating Cycle Start Date equal to the effective date of the job change.

- If the supervisor changes jobs, the supervisor must do their closeout assessment and use the Change Rating Official feature to route the existing performance plan to the new supervisor. No changes to Rating Cycle dates are needed.

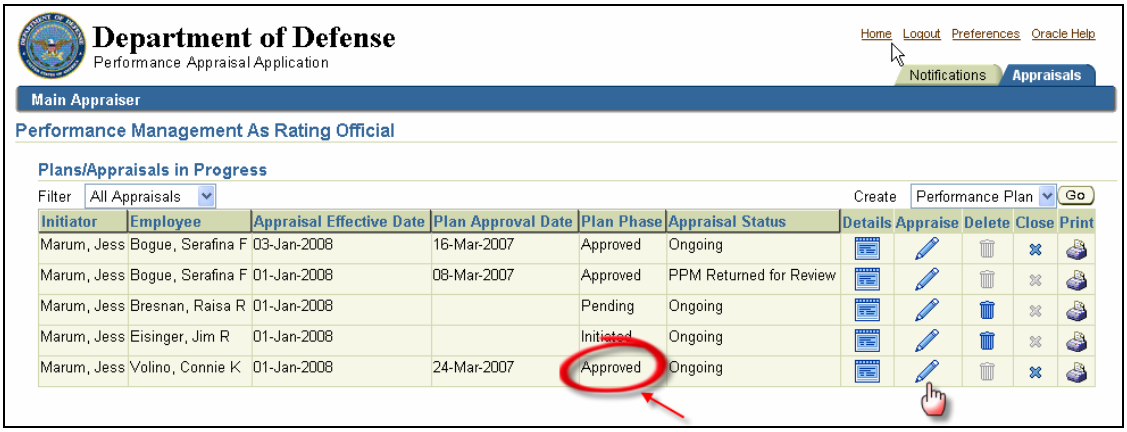
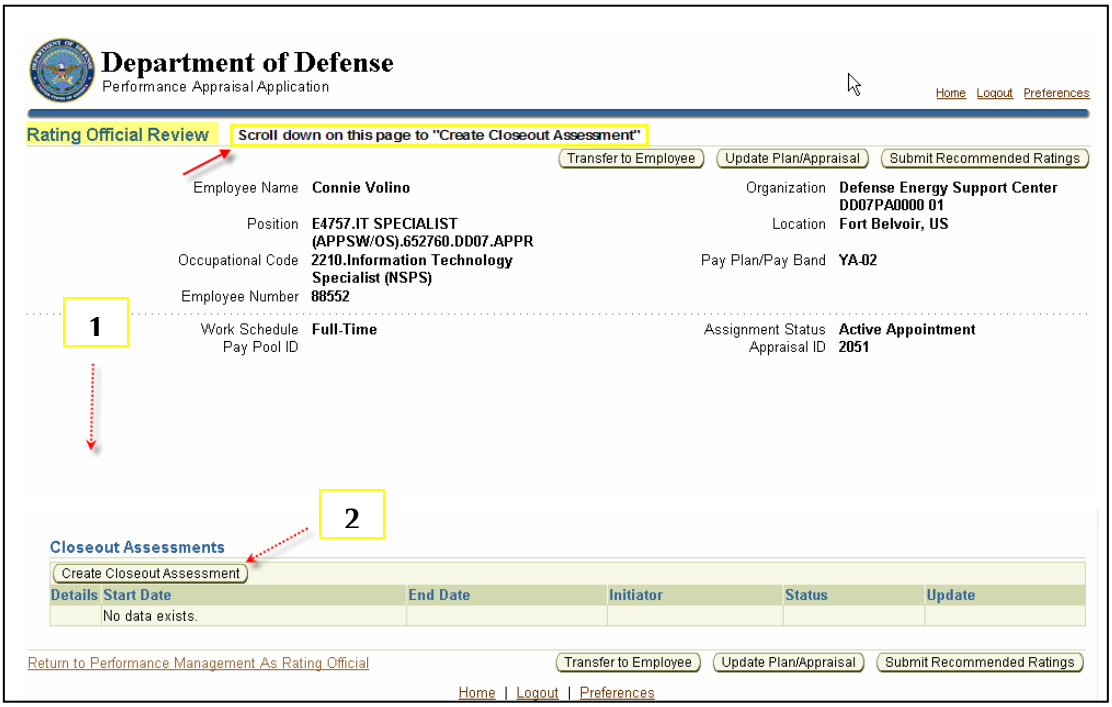
Quick Overview of Steps for a Closeout Assessment:

RESPONSIBILITY	OVERVIEW
Rating Official	Rating Official enters "Closeout Assessment Start Date and Closeout Assessment End Date" (Required fields).
Rating Official	Rating Official invites Employee to provide "Self Assessment" for Closeout Assessment
Employee	Employee provides "Self Assessment" and transfers Plan/Appraisal back to Rating Official
Rating Official	Rating Official reviews Employee Self Assessment and provides Rating Official Assessment for Closeout Assessment
Rating Official	Rating Official transfers Plan/Appraisal back to Employee for Acknowledgement of the Closeout Assessment
Employee	Employee: - Reviews Rating Official Assessment for Closeout Assessment - Acknowledges - Transfers Plan/Appraisal back to Rating Official
Rating Official	Rating Official enters "Communication Date", "Communication Method", and clicks the "Approve" button to finalize the Closeout Assessment NOTE: If Employee does not acknowledge, select "Refuse" or is not available to electronically acknowledge Closeout Assessment, select "Other" under Employee Acknowledgement.

HOW TO COMPLETE A CLOSEOUT ASSESSMENT
Rating Official

Step	Action – Rating Official
Action: Rating Official is creating Closeout Assessment.	
1	 Enter Username and Password - click **"Login"**
2	 Click **"NSPS Appraisals (My Workplace)"**

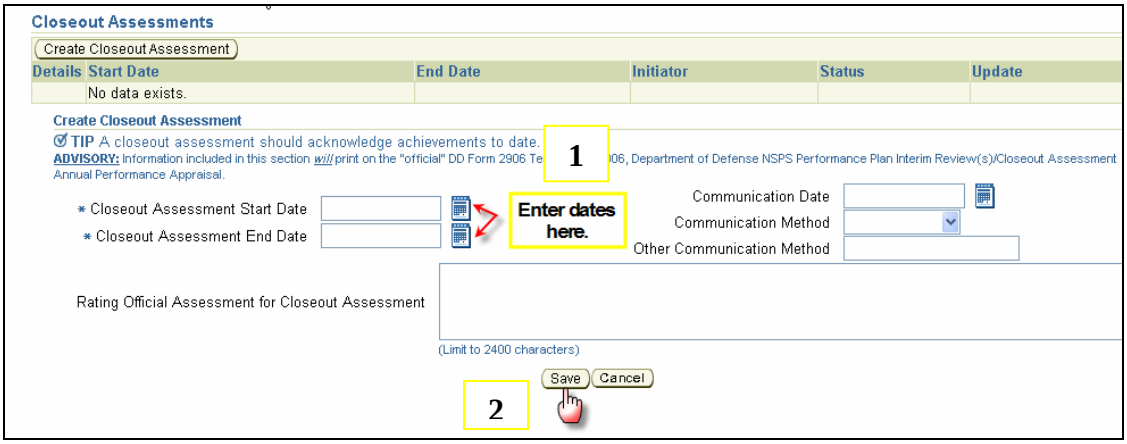
HOW TO COMPLETE A CLOSEOUT ASSESSMENT
Rating Official

Step	Action – Rating Official
3	 The Plan Phase equals "Approved." and the Appraisal Status equals "Ongoing". Click **"Appraise"** icon to continue.
4	 1. Scroll down to the bottom of this page to **"Closeout Assessment"** area. 2. Click "**Create Closeout Assessment**".

HOW TO COMPLETE A CLOSEOUT ASSESSMENT
Rating Official

Step	Action – Rating Official

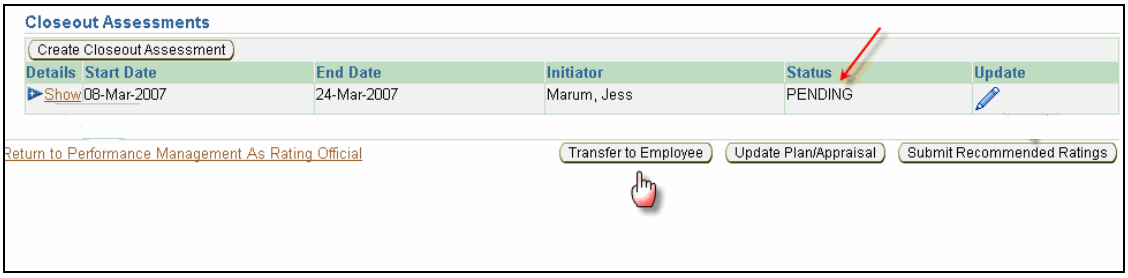
5

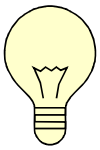


1. Enter **"Closeout Assessment Start Date and Closeout Assessment End Date"** (Required fields)
2. Click **"Save"** to save any input.

Once the closeout assessment has been created, the closeout assessment cannot be deleted.

6



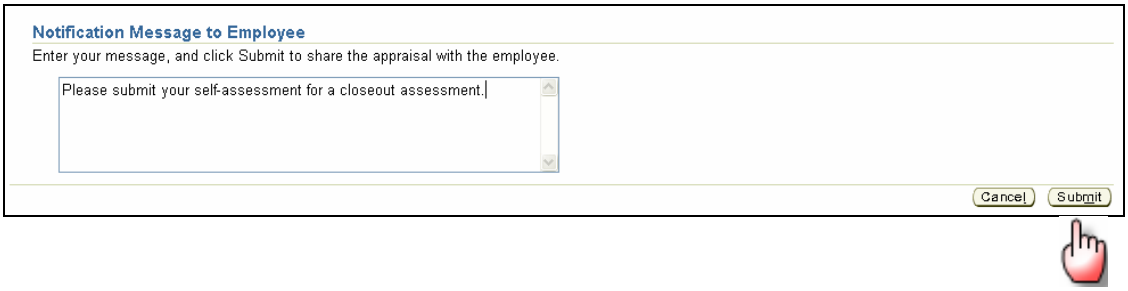
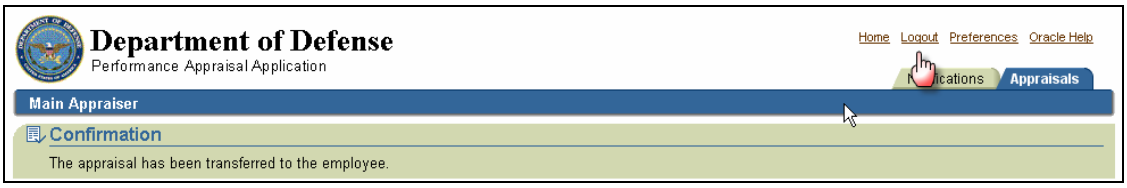
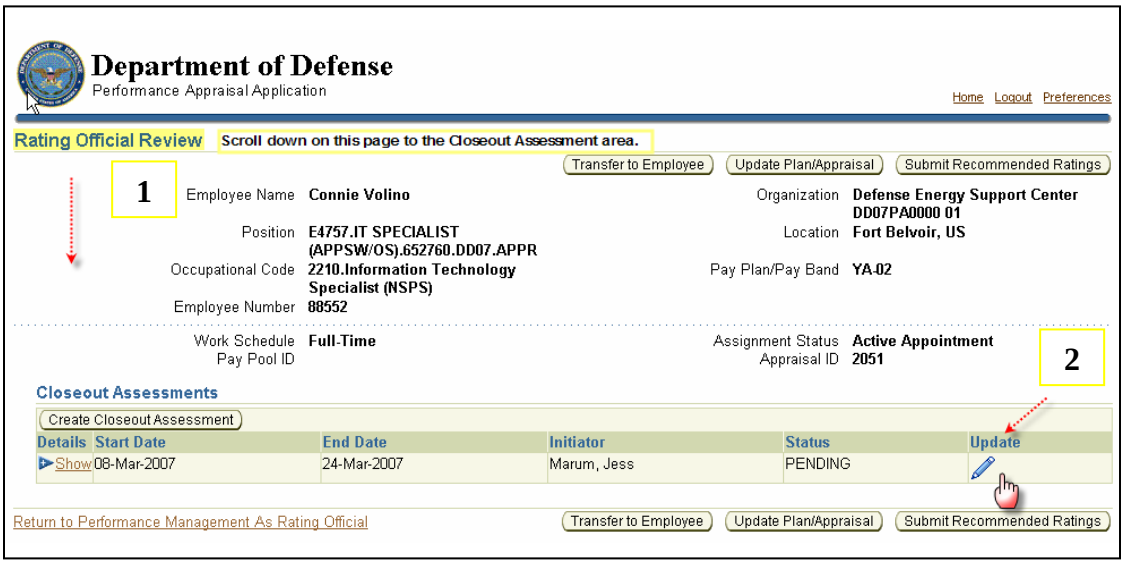


<u>Show</u> – Located under the Details column, clicking this link expands the window to see all the details. After clicking "Show", click the "Hide" link to collapse the window.

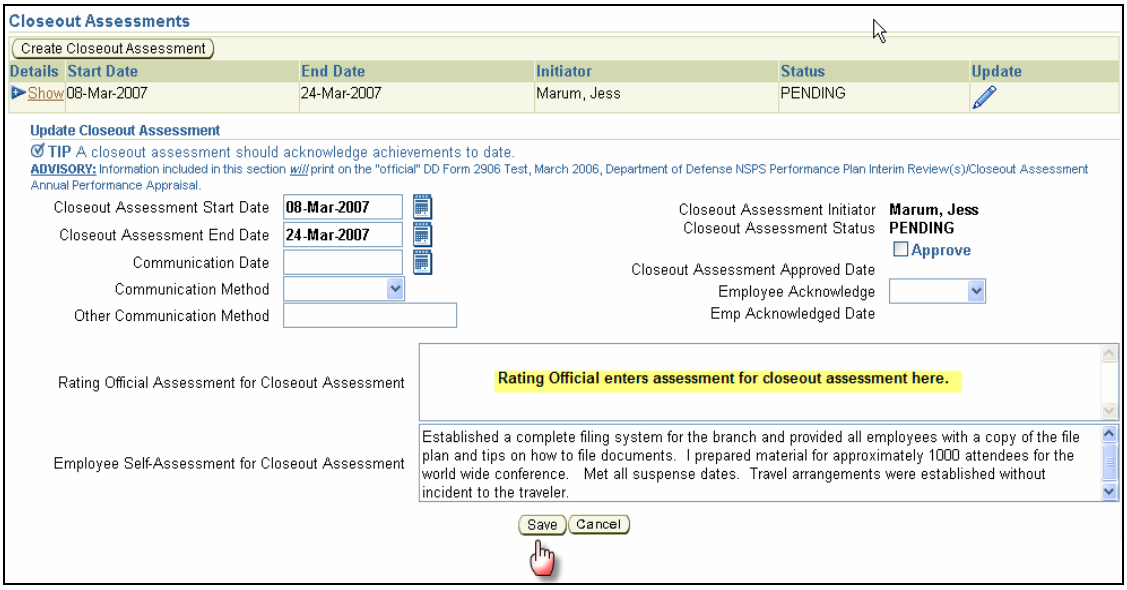
<u>Update</u> – To update this area, click "Update."

- Click **"Transfer to Employee"** to send to employee to provide their employee self-assessment.

HOW TO COMPLETE A CLOSEOUT ASSESSMENT
Rating Official

Step	Action – Rating Official
	 - Provide message to employee and click **"Submit"**.  - Click **"Logout".**
Action: Employee has provided Rating Official their employee self-assessment for closeout assessment.	
7	Follow Steps 1-3 above to access the performance plan/appraisal.
8	 1. Scroll down to the bottom of this page to **"Closeout Assessment"** area. 2. Click "**Update**".

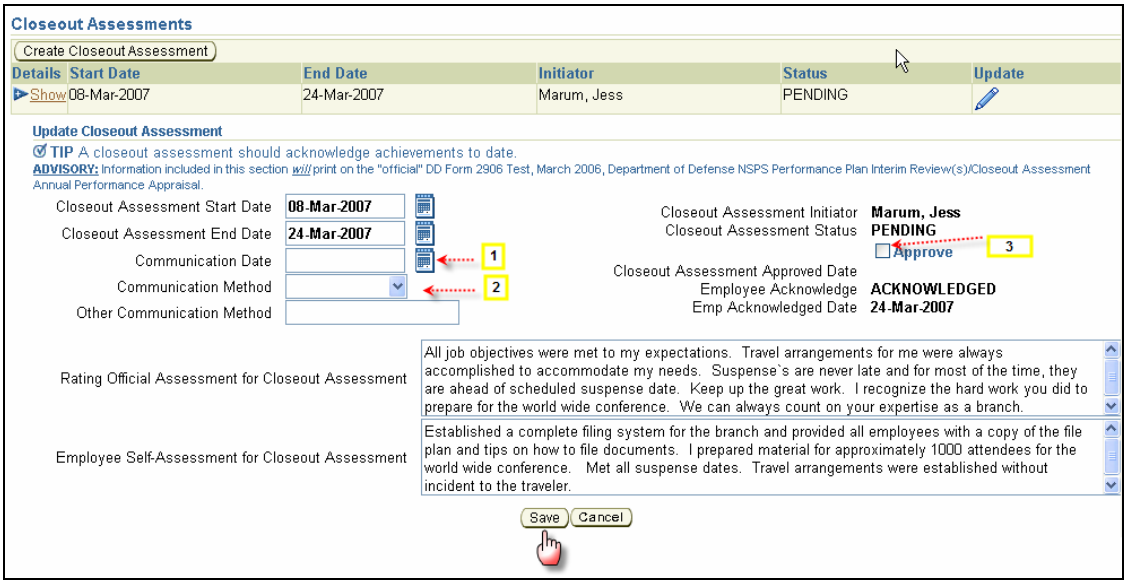
HOW TO COMPLETE A CLOSEOUT ASSESSMENT
Rating Official

Step	Action – Rating Official
9	 - Enter **"Rating Official Assessment for Closeout Assessment"** - Click **"Save"**
10	Click Transfer to Employee at the top or bottom of the page to send to the employee to acknowledge the closeout assessment.
Action: Employee has acknowledged closeout assessment. Rating Official must finalize the closeout assessment.	
11	Follow Steps 1-3 above to access the performance plan/appraisal.

HOW TO COMPLETE A CLOSEOUT ASSESSMENT
Rating Official

Step	Action – Rating Official
12	 1. Scroll down to the bottom of this page to **"Closeout Assessment"** area. 2. Click "**Update**".

HOW TO COMPLETE A CLOSEOUT ASSESSMENT
Rating Official

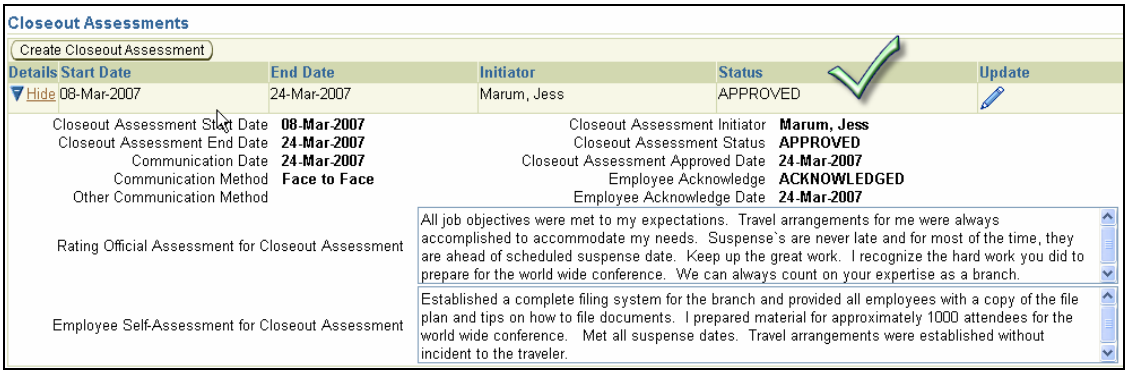
Step	Action – Rating Official
13	

1. Enter **"Communication Date"**
2. Enter **"Communication Method"**
3. Click the **"Approve"** box to finalize the Closeout Assessment
4. Click **"Save"**

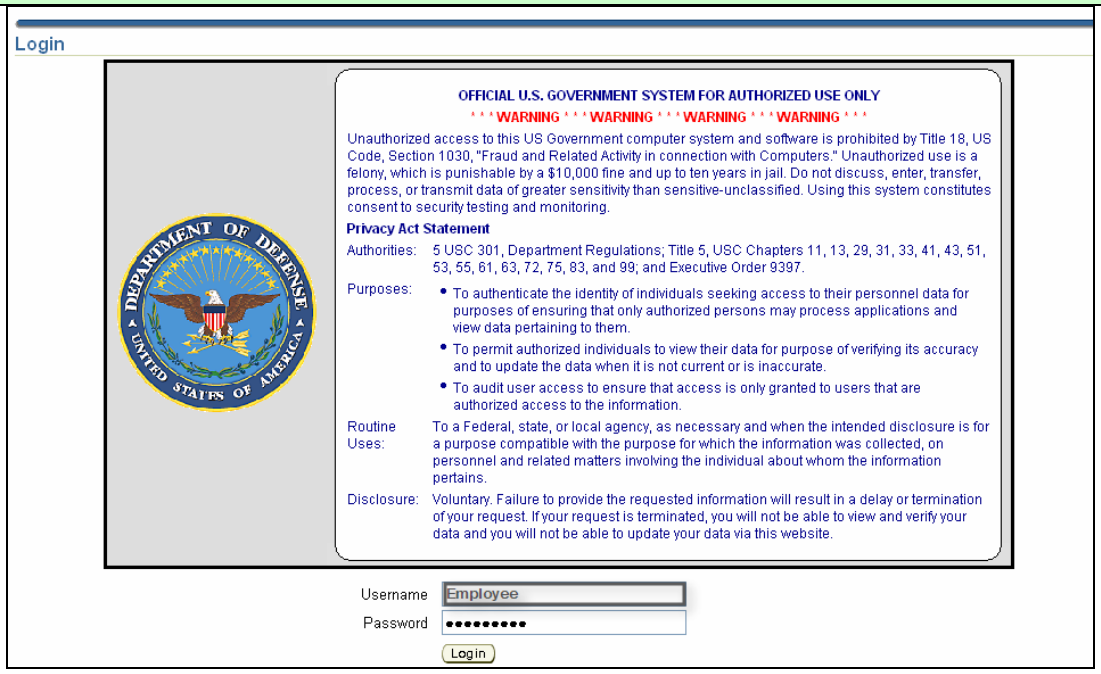
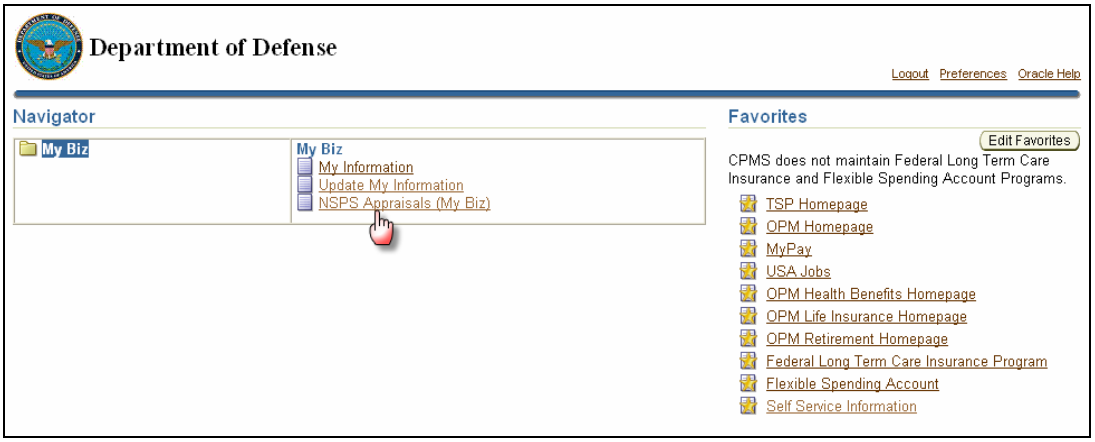
Once the closeout assessment has been approved, this function cannot be undone.

NOTE: If Employee refuses to acknowledge, select "Refuse". If employee is not available to electronically acknowledge Closeout Assessment, select "Other" under Employee Acknowledgement.

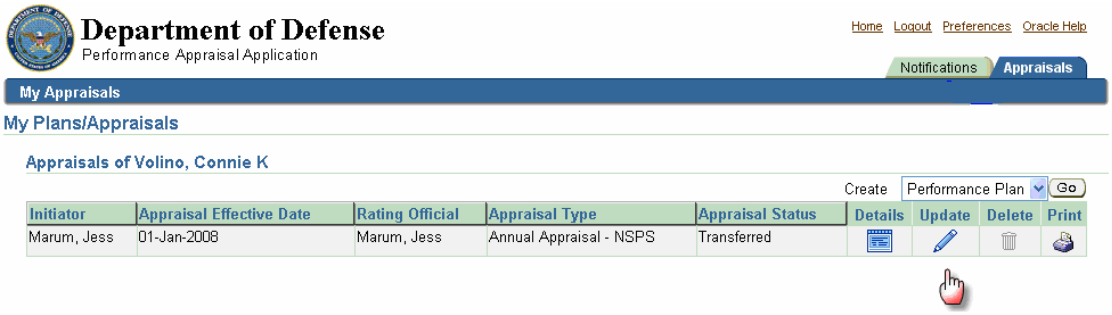
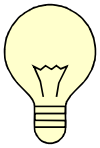
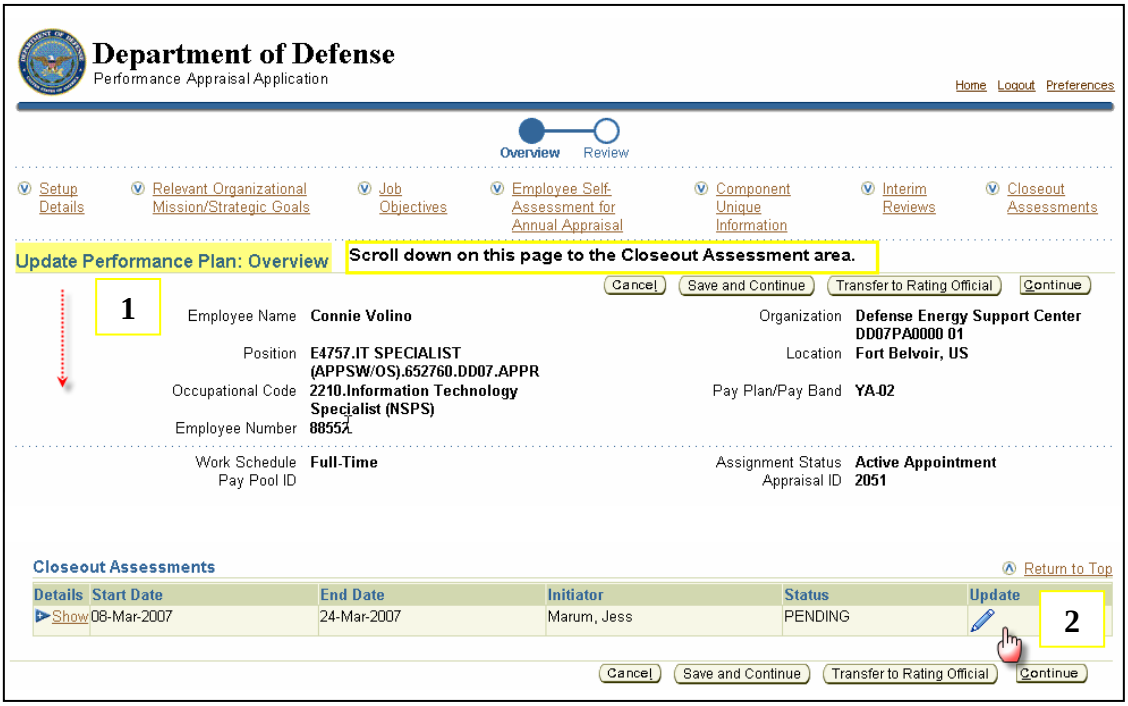
HOW TO COMPLETE A CLOSEOUT ASSESSMENT
Rating Official

Step	Action – Rating Official
14	 The closeout assessment status now equals **“Approved”.**

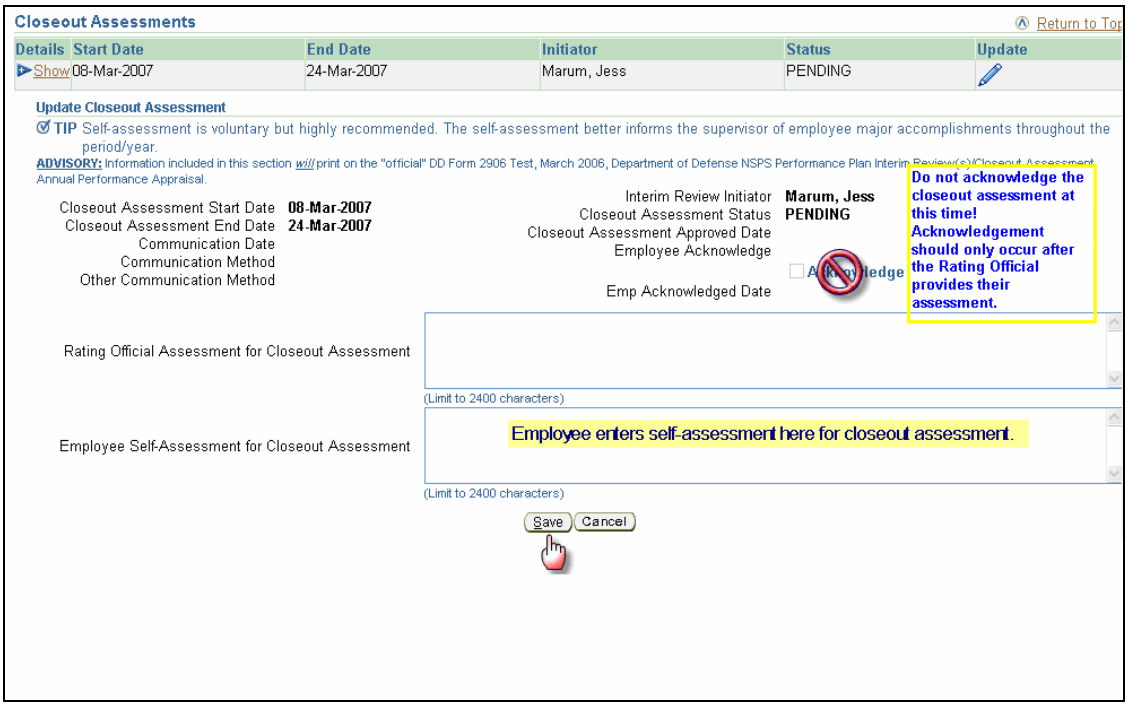
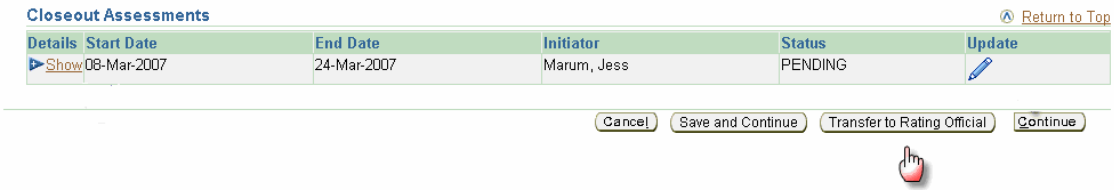
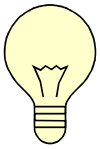
HOW TO COMPLETE A CLOSEOUT ASSESSMENT
Employee

Step	Action - Employee
Action: Rating Official has requested Employee Self-Assessment for Closeout Assessment.	
1	 Enter User Name and Password and click on **"Login"**
2	 Click **"NSPS Appraisals (My Biz)"**

HOW TO COMPLETE A CLOSEOUT ASSESSMENT
Employee

Step	Action - Employee
3	  **<u>Notifications Tab</u> – If you wish to see the comments from the Rating Official, click on the subject line for the most recent notification under the Notifications tab.** Click **"Update"** icon.
4	 1. Scroll down to the bottom of this page to **"Closeout Assessment"** area. 2. Click "**Update**".

HOW TO COMPLETE A CLOSEOUT ASSESSMENT
Employee

Step	Action - Employee
5	 - Enter **"Employee Self-Assessment for Closeout Assessment"** - Click **"Save"** **NOTE: Do not "Acknowledge" the closeout assessment at this time. Acknowledgement should only occur after the Rating Official provides their assessment.**
6	 - Click **"Transfer to Rating Official"** to send back to Rating Official.  **<u>Show</u> – Located under the Details column, clicking this link expands the window to see all the details. After clicking "Show", click the "Hide" link to collapse the window.** **<u>Update</u> – To update this area, click "Update."**

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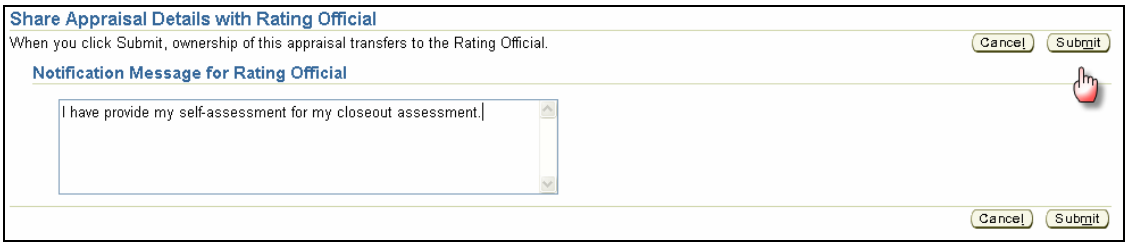
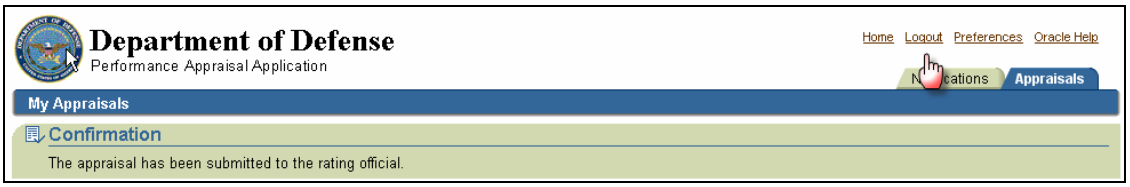
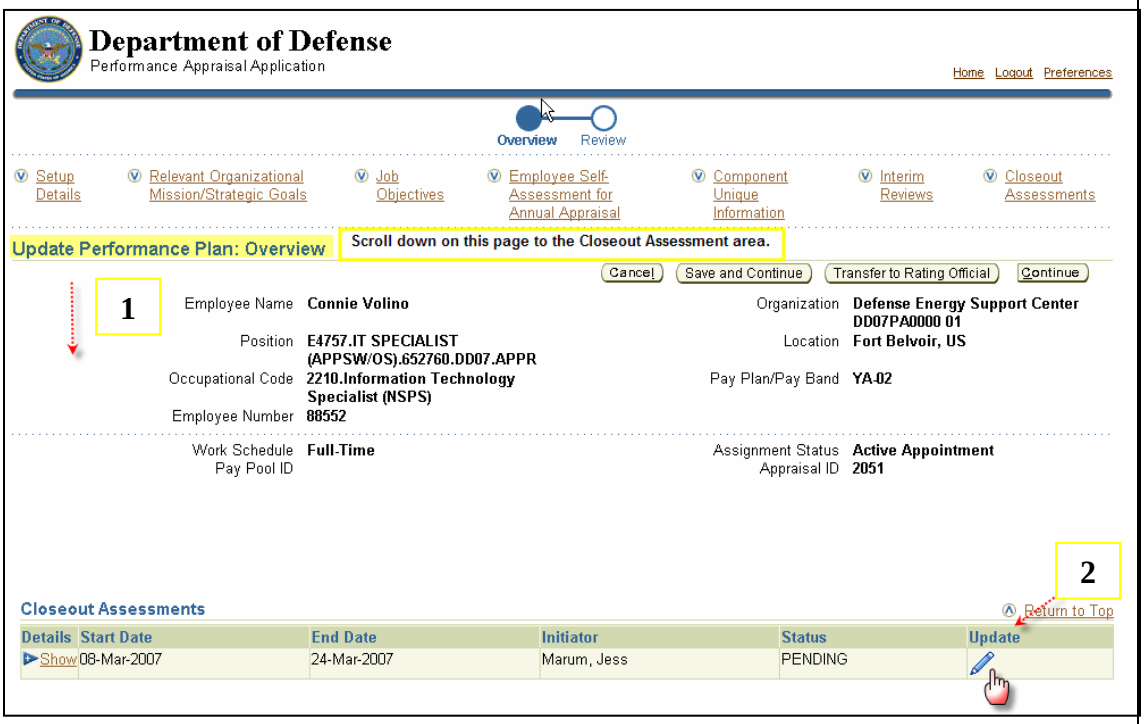
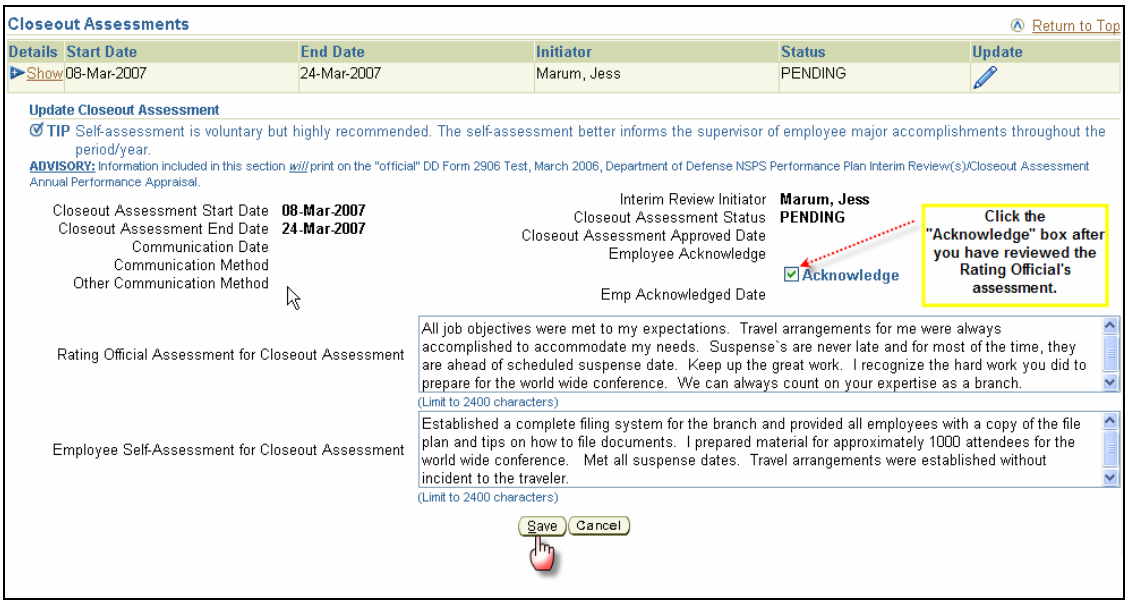
Employee

Step	Action - Employee
	 - Provide message to employee and click **"Submit"**.  - Click **"Logout".**
Action: Rating Official is providing Employee with their Rating Official Assessment for Closeout Assessment. Employee must now acknowledge the closeout assessment.	
7	Follow Steps 1-3 above to access the performance plan/appraisal.
8	 1. Scroll down to the bottom of this page to **"Closeout Assessment"** area. 2. Click "**Update**".

HOW TO COMPLETE A CLOSEOUT ASSESSMENT
Employee

Step	Action - Employee
9	 - Click the **"Acknowledge"** box once the Rating Official's assessment has been reviewed. - Click **"Save"** to save your acknowledgement. **Once you have acknowledged the closeout assessment, this function cannot be undone.** **NOTE: The status will not change from "Pending" to "Approved" until the Rating Official approves the closeout assessment.**
10	Click Transfer to Rating Official to send the acknowledgement to the Rating Official.