

CD-430
(10/05)

U.S. Department of Commerce

PERFORMANCE MANAGEMENT RECORD

Coverage	Bureau Appraisal Cycle	Appraisal Year
<input checked="" type="checkbox"/> General Schedule <input type="checkbox"/> Federal Wage System <input type="checkbox"/> Wage Marine	<input checked="" type="checkbox"/> October 1 - September 30 <input type="checkbox"/> June 1 - May 31 <input type="checkbox"/> November 1 - October 31	From: <u>06/01/07</u> To: <u>09/30/07</u>

Employee's Name: _____

Position Title: Administrative Officer Pay Plan, Series, Grade/Step: GS 0341 13

Organization: 1. U.S. Dept of Commerce 3. Office of Oceanic & Atmospheric Res.

2. National Oceanic & Atmospheric Admin 4. Great Lakes Environmental Res. Lab.

PERFORMANCE PLAN CERTIFICATION

This plan is an accurate statement of the work that will be the basis for the employee's performance appraisal.

Privacy Act Statement - Disclosure of your social security number is voluntary. The number is linked with your name in the official personnel records to ensure unique identification of your records. The social security number will be used solely to ensure accurate entry of your performance rating into the automated record system.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name:

Date

Element No.

1 of 4

Cascaded Organizational Goals

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

DOC Strategic Goals:

- Strategic Goal 1: Provide the information and tools to maximize U.S. competitiveness and enable economic growth for American industries, workers and consumers
- Strategic Goal 2: Foster science and technology leadership by protecting intellectual-property, enhancing technical standards and advancing measurement science
- Strategic Goal 3: Observe, protect and manage the Earth's resources to promote environmental stewardship
- Management Integration Goal: Achieve Organizational and Management Excellence
- Bureau Goal: Provide critical support for NOAA's mission
- SES/Organizational Goal: Provide critical support to GLERL's personnel involved in performance of milestones.

Critical Element and Objective

Customer Service

To respond to internal and external customers, stakeholders, and the public.

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

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

Element Weigh

15

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

- . Responses to customer inquiries for information or services comply with office standards.
- . Customer inquiries are acknowledged, and customers are apprised of the status of the inquiry and when to expect resolution.
- . Customer needs are identified, and issues are clarified in communications with the customer.
- . Customer expectations are managed to ensure that customers understand the type and level of service available and expected time frames.
- . Customer service is provided in collaboration, consultation, and partnership with customers, other agencies, and stakeholders.

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

- . Routinely responds to each customer request with factually accurate information that is consistent with office and departmental guidance and policies, as well as other relevant program or technical documents.
- . Work products reflect consideration of customer issues and concerns.
- . Routinely responds to e-mail and telephone inquiries within 16 business hours. If information is not readily available, usually responds to requests within 24-48 hours.
- . Answers written requests for information within 5-7 days from date of receipt, or within other time frames specified by the supervisor or program requirements.
- . Oral responses to customers are usually clear, courteous and directly address issues and questions.
- . If on approved absence, an automated notification e-mail will normally be sent in response to in-coming messages that indicates your absence, the period of absence and identifies an alternate contact. Voice mail messages must also provide the caller with the same information.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____	Date _____	Element No. <u>2</u> of <u>4</u>
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Critical Element and Objective

Administrative Officer Functions: To ensure adequate administrative services are available to support GLERL

Weighting Factor (The weight for each element should reflect the significance within the framework of the Department's or bureau's organization goals. Weights should not be assigned based on the percentage of time an employee spends working on that element.)	Element Weight
Enter the weight for this element in the adjacent box. →	35

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

- . The annual budget for the laboratory is formulated and executed. Budget information is presented to management and the lab.
- . Travel, procurement, and time & attendance are processed. Procedures are reviewed and modified to ensure compliance with federal regulations.
- . Purchases are reviewed for compliance with federal procurement regulations.
- . GLERL expenditures are recorded, tracked, and analyzed to prevent over runs and for adherence to spending plans and regulations.
- . Fund availability is certified for document approval.

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

- . The annual budget is generally complete, presented to management by the established deadline, and includes justifications and backup material.
- . Reviews of procedures will be completed at least annually.
- . Reports will be organized according to established formats.
- . Travel, procurement, and time & attendance are processed within 48 hours.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____	Date _____	Element No. <u>3</u> of <u>4</u>
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Critical Element and Objective

Leadership
to manage assigned programs and resources.

Weighting Factor: (The weight for each element should reflect the significance within the framework of the Department's or bureau's organization goals. Weights should not be assigned based on the percentage of time an employee spends working on that element.) Enter the weight for this element in the adjacent box. →	Element Weight
	35

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

- Resources are managed to accomplish the Department's Strategic Goals and GLERL objectives. GLERL priorities are communicated to staff.
- Employees are coached to realize their potential, using individual development plans and training programs to increase staff productivity.
- Employee performance and recognition is managed through continuous feedback on performance, performance appraisals and awards, and resolution of performance deficiencies.
- Employees are motivated to achieve high performance and to produce high quality products and materials.
- Employment actions such as selections and promotions are managed, and are consistent with equal opportunity and diversity principles. Employee grievances and allegations of discrimination receive a prompt response with the goal of resolution at the lowest organizational level.
- Office complies with legal and reporting obligations, the Privacy Act, and other applicable statutes, including the requirements of governmental and other suppliers of data to the GLERL to ensure the confidentiality of Personally Identifiable Information(PII).

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

- Staff is applied effectively to complete assignments and meet the responsibilities of the office.
- Office performance is consistent with GLERL standards and performance plans/evaluations.
- Staff is constantly being developed to meet changing requirements.
- Performance plans and individual development plans are in place by November 30.
- Mid-year progress reviews are conducted by April 30.
- Performance appraisals and ratings are completed by October 31.
- The Performance Management Tracking System is maintained and usually kept current to facilitate the bureau's completion of the Department's CD-431 reporting deadlines.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name:	Date	Element No. <u>4</u> of <u>4</u>
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Critical Element and Objective

roperty Custodian Function: Maintain all accountable personal property within the designated area.

Weighting Factor (The weight for each element should reflect the significance within the framework of the Department's or bureau's organization goals. Weights should not be assigned based on the percentage of time an employee spends working on that element.) Enter the weight for this element in the adjacent box. →	Element Weigh 15
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Results of Major Activities: Identify results that need to be accomplished in support of the performance element. A minimum of 3 and a maximum of 6 measurable results must be listed.

- . Personal property accountability is established for the custodial area. Reports for lost, damaged, or destroyed property are submitted to the Property Accountability Officer (PAO) for review and approval.
- . For newly acquired property, bar codes are affixed to accountable and "sensitive" items and an acquisition document is completed and provided to the Property Office (PO) after approval.
- . The appropriate Property Management Network member is notified if a division or office receives property directly from a vendor. A receiving report is completed for all accountable property acquisitions that are delivered to a division or office, which are not received and processed through the appropriate Property Management Network number.
- . Exit clearance procedures and accounts for all assigned property are monitored and enforced to ensure that all property is appropriately accounted for.
- . Property passes are issued, filed and terminated to ensure the employees return property and are held accountable.

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

- . The custodial area reports an inventory accuracy rate of at least 95 percent with no more than 5 percent of the property not found or missing. Any discrepancies found in the annual inventory report are reconciled within 30 calendar days of the inventory report.
 - . Form CD-50 "Personal Property Control" or equivalent is submitted to the PO within 10 business days of receipt or transfer. When an employee no longer serves as the PC, ensures the employee receives a signature on the CD-50 or equivalent from the PO releasing the PC from accountability.
 - . Ensures that property passes are regularly monitored to renew or terminate existing passes where applicable.
- Across the custodial area, at least 95 percent of the property must be listed under current employees or contractors. Lost, stolen, damaged or destroyed property is reported in a security incident report within 2 business days of date of incident.
- . Lost, stolen, destroyed, damaged, surplused or unserviceable property is detailed and submitted on Form CD-52 "Report of Review of Property" within 5 business days from date of incident. Employees are held accountable for property lost, damaged or destroyed while in their possession, specifically where carelessness or negligence is involved.

Employee Name: _____			
PERFORMANCE SUMMARY RATING			
<ul style="list-style-type: none"> • List each element in the performance plan. • All elements are critical. • Assign a rating level for each element: <ul style="list-style-type: none"> (5) Level 5 (highest level of performance); (4) Level 4; (3) Level 3; (2) Level 2; (1) Level 1 (unacceptable performance) • Score each element by multiplying the weight by the rating level. • Interim ratings should be considered when you prepare the final summary rating. • After each element has been scored, compute the total point score by adding the individual scores. • Rating officials must provide either an overall narrative justification of the summary rating or a written justification for each element rating. • A written justification is required for any element rated below Level 3. 			
Performance Element	Individual Weights (Total must equal 100)	Element Rating (5, 4, 3, 2, 1)	Score
1. Customer Service	15		0
2. Administrative Officer Functions	35		0
3. Leadership	35		0
4. Property Custodian	15		0
TOTAL SCORE			0
PERFORMANCE RATING			
<input type="checkbox"/> Level 5 (470 – 500)	<input type="checkbox"/> Level 4 (380 – 469)	<input type="checkbox"/> Level 3 (290 – 379)	<input type="checkbox"/> Level 2 (200 – 289)
Rating Official's Signature/Title			Date
Approving Official's Signature/Title			Date
Employee's Signature (indicates appraisal meeting held)		Employee comments attached?	Date
		<input type="checkbox"/> Yes <input type="checkbox"/> No	
PERFORMANCE RECOGNITION			
<input type="checkbox"/> Performance Award \$ _____ (%) <i>Appropriation Code</i> _____ <input type="checkbox"/> QSI (Level 5 Required)			
Rating Official's Signature/Title			Date
Approving Official's Signature/Title			Date