

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: Budget Analyst Pay Plan, Series, Grade/Step: GS-0343-12/04

Organization: 1. DOC/NOAA 3. Office of Oceanic & Atmos. Research

2. National Oceanic & Atmospheric Admin. 4. Pacific Marine Environmental Laboratory

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. <u>1</u> of <u>3</u> |
|-----------------------------|------------|----------------------------------|

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 research and tech. personnel involved in the performance of milestones.

Critical Element and Objective

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

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| 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. → | 20 |

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

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|-----------------------------|------------|----------------------------------|
| Employee Name: _____ | Date _____ | Element No. <u>2</u> of <u>3</u> |
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Critical Element and Objective

Reimbursable funding
to efficiently manage PMEL's sponsored research program

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| 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 50 |
|--|----------------------|

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

- 1. Proposals are submitted to funding agencies in compliance with funding agency requirements.
- 2. PMEL MOU's are processed and requirements of DOC and the funding agency are met.
- 3. PI access to funds in the CBS system is expedited and CBS requirements are complied with.
- 4. PMEL carryover and allotment issues are minimized.

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

- 1. Timeliness: The number of reimbursable MOU's reviewed and fully executed are usually prepared in an accurate and timely fashion. MOU/MOA packages are usually compiled and sent to OAR HQ within 10 days of receipt of an acceptable funding document from the sponsor. Associated data entry in CBS, for reimbursable projects is usually done within 2 - 3 working days of the receipt of all required information.
- 2. Quality: The adequacy of the MOU draft as judged by DOC Legal is usually acceptable. Financial reports, reimbursable carryovers, MOU/MOA packages, and information disseminated to PMEL personnel are generally accurate in their content.

PERFORMANCE PLAN AND APPRAISAL RECORD

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|-----------------------------|------|----------------------------------|
| Employee Name: _____ | Date | Element No. <u>3</u> of <u>3</u> |
|-----------------------------|------|----------------------------------|

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Critical Element and Objective

Personnel administration
to respond to questions, issues/problems/and actions raised by staff, supervisors and managers at PMEL.


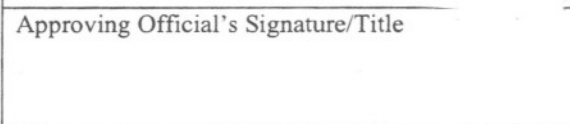
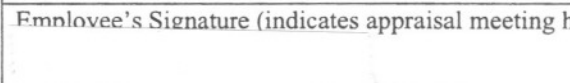

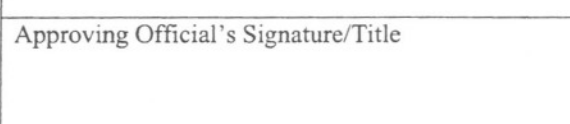
| | |
|--|-----------------------|
| Weighting Factor. (The weight for each element should reflect the significance within the framework of the Department's or bureau's organization goals. Weights should not be assigned based on the percentage of time an employee spends working on that element.) | Element Weight |
| Enter the weight for this element in the adjacent box. → | 30 |

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

- 1. Technical expertise and recommendations are provided on staffing method, recruitment, appointment options, and other related personnel administration areas.
- 2. PMEL personnel packages are prepared.
- 3. PMEL FTE resources are managed to within the current ceiling and labor costs data is made available and accessible to PIs.

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.

- General Measure: Quality
- Specific Measure: The adequacy of written or verbal guidance is usually technically correct, thorough, concise and of good quality.
- General Measure: Timeliness
- Specific Measure: Internal PMEL business processes are usually initiated within 1 - 2 days of receipt of the action.
- General Measure: Quality
- Specific Measure: PMEL personnel packages usually comply with established business practices and regulations.

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| 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 | 20 | | 0 |
| 2. Reimbursable Funding | 50 | | 0 |
| 3. Personnel Administration | 30 | | 0 |
| | | | 0 |
| | | | 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) |
| <input type="checkbox"/> Level 1 (100 – 199) | | | |
| 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 |
|  | | | |