

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: DCFO and Director of ASSD Pay Plan, Series, Grade/Step: GS 301-15

Organization: 1. Economic Development Administration 3. Administrative and Support Services
2. Office of Management Services 4. _____

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 06/01/07	Element No. <u>1</u> of <u>5</u>		
Cascaded Organizational Goals				
<p>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.</p> <p>DOC Strategic Goals:</p> <p><input checked="" type="checkbox"/> Strategic Goal 1: Provide the information and tools to maximize U.S. competitiveness and enable economic growth for American industries, workers and consumers</p> <p><input type="checkbox"/> Strategic Goal 2: Foster science and technology leadership by protecting intellectual-property, enhancing technical standards and advancing measurement science</p> <p><input type="checkbox"/> Strategic Goal 3: Observe, protect and manage the Earth's resources to promote environmental stewardship</p> <p><input checked="" type="checkbox"/> Management Integration Goal: Achieve Organizational and Management Excellence</p> <p><input checked="" type="checkbox"/> Bureau Goal: Increase private enterprise and job creation in economically distressed communities Improve community capacity to achieve and sustain economic growth</p> <p><input checked="" type="checkbox"/> SES/Organizational Goal: Financial Operations and Management; EDA-wide Policy and Program Management</p>				
Critical Element and Objective				
<p>Customer Service To respond to internal and external customers, stakeholders, and the public.</p>				
<p>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.)</p> <p style="text-align: center;">Enter the weight for this element in the adjacent box. →</p>		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;">Element Weight</td> </tr> <tr> <td style="text-align: center;">15</td> </tr> </table>	Element Weight	15
Element Weight				
15				
<p>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.</p>				
<ol style="list-style-type: none"> 1. Customers, both internal and external, received the services as defined by the functions and responsibilities of the Division and customer expectations were managed to ensure customers understood the type and level of service available and expected time frames. 2. Relationships are established and maintained with counterparts in Department and other DOC bureaus and these relationships facilitate the accomplishment of EDA and Department goals and activities. 3. The DAS/MS is kept apprised of any problematic or controversial issues and provided recommendations for the resolution of such issues. 4. Organizational objectives are achieved through communication and collaboration with other Agency and Department offices and other Department bureaus. 5. Customer inquiries are acknowledged, needs are identified, issues are clarified, and customers are apprised of the status of the inquiry and when to expect resolution. 6. Customer service is provided in collaboration, consultation, and partnership with customers, other agencies, and stakeholders. 				
<p>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.</p>				
<ol style="list-style-type: none"> 1. Pro-actively identifies and addresses customer needs and expectations. 2. Routinely and timely responds to customers with factually accurate information that is consistent with EDA and Department guidance and policies and relevant program or technical documents. 3. Service and work products reflect consideration of customer issues and concerns. 4. Writing reflects sound analytical thinking, presents concise, well-reasoned conclusions, and is free of grammatical and typographical errors. 5. Oral communication with superiors, peers, subordinates, and others is clear, courteous, consistent with Agency, Department and Administration policies and directly addresses issues and questions. 				

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name:

Date
06/01/07

Element No. 2 of 5

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:** Increase private enterprise and job creation in economically distressed communities
Improve community capacity to achieve and sustain economic growth
- SES/Organizational Goal:** Financial operations and Management; EDA-wide Policy and Program Management

Critical Element and Objective

Leadership
To effectively lead staff and manage program and allotted 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
25

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. A long-term strategic view and plans are developed that enable the Director and Office to look beyond the immediate day-to-day operational requirements to plan for and implement organizational and operational improvements.
2. Division staff is informed of, and act consistently with, the Assistant Secretary's policies, management goals, and direction.
3. Employee performance plans are linked to Agency and Department goals and objectives as directed in guidance and the PMA.
4. The performance management and awards systems are utilized to motivate high performing employees and stimulate performance in employees with low productivity.
5. The workplace is managed to recognize, value and take advantage of the diversity of the staff; to encourage employee initiative and innovation; to recognize individual and group accomplishment; and to promote a safe and secure work environment.
6. Efficient and effective business processes are implemented that support the most productive utilization of resources to accomplish the EDA mission, goals, and objectives.

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. Timely and comprehensively informs staff of Headquarters' and Department directives, guidance, policy direction and the priorities of the Secretary and Assistant Secretary, and routinely gives staff the necessary tools to carry out this direction.
2. Translates strategic goals and objectives for employees into relevant and measurable performance plans that facilitate employees' understanding of EDA's goals and objectives.
3. Pro-actively develops plans or initiatives for improvement that go beyond routine operations to support Agency goals and objectives.
4. Regularly informs staff of safety and security requirements and consistently ensures that workplaces are kept in compliance.
5. Pro-actively reviews business practices to identify and implement improvements in office operations. Timely implements new "standardized" business processes or best practices in office operations.
6. Applies staff resources to timely complete assignments and meet the responsibilities of the Office.
7. The Performance Management Tracking System is maintained and usually kept current to facilitate the bureau's completion of the Department's CD-4321 reporting deadlines.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____

Date
06/01/07

Element No. 3 of 5

Cascaded Organizational Goals

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- Bureau Goal:** Increase private enterprise and job creation in economically distressed communities
Improve community capacity to achieve and sustain economic growth
- SES/Organizational Goal:** Organizational excellence

Critical Element and Objective

Management of Administrative Activities

To provide effective management and oversight of EDA's administrative responsibilities, functions and initiatives.

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
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.

1. The procurement and purchase card programs are managed, internal controls established, and small and disadvantaged businesses are appropriately considered.
2. Agency requirements for the Paperwork Reduction Act, including reporting requirements and submission of new forms requests are accomplished.
3. Department requirements are accomplished and green is achieved on the Property matrix.
4. The Security Program is managed and OMB and Department requirements met.
5. The COOP manual is resubmitted; minimum COOP training requirements are executed; and requirements for the Pandemic Flu Preparedness Manual are completed; all in accordance with Department guidelines.
6. Management is kept apprised of the status of all open audits and appeals, and collections due from grantees are collected as agreed upon in the audit resolution.

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. Technical support for agency contract requirements is timely, responsive and accurate.
2. Purchase card business processes, procedures and internal controls are tested, reviewed and updated as necessary. Card holders are kept timely informed of changes to Department or EDA policies and guidance.
3. Department property management requirements, as they are disseminated, are timely and thoroughly executed.
4. NACI clearances and HSPD -12 cards are obtained for all employees with 15 years or less of service by September 30, 2007.
5. The COOP and Pandemic Flu Preparedness Manuals are timely updated and resubmitted; and a COOP training exercise is executed by the end of the third quarter.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____

Date
06/01/07Element No. 4 of 5

Cascaded Organizational Goals

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Improve community capacity to achieve and sustain economic growth
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Critical Element and Objective

Management of Human Resources

Provide overall management and oversight of EDA's human resources program delivery and human capital functions

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

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.

1. A Feasibility Study is performed (or determined to be unnecessary by the Department) and green is achieved on the PMA.
2. E-OPF is implemented, unless exigencies outside of EDA's control prevent implementation this year.
3. An Agency-wide training program is developed which addresses grants management, economic development, leadership, diversity, and administrative support functions, IT, legal and executive development.
4. EDA's Human Capital Plan is updated or re-written and implemented.
5. EDA's HR Accountability Plan is developed and implemented.
6. Day-to-day human resources functions are executed in compliance with Department policies.

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. E-OPF is implemented timely and files are accurately converted.
2. The Grants Management Program is launched and the first course of leadership training is held.
3. By the end of FY 2007, a training plan is created that identifies Agency training requirements for program officers; includes plans for economic development training; sources of training; and includes a plan for intra-agency cross training. The training plan also addresses on-going requirements for leadership development, diversity, administrative, IT, legal and executive development training; identifies delivery mechanisms and the approximate costs of various types of training.
4. By the end of FY 2007, the EDA Human Capital Plan and Accountability Plan are either re-written or updated, and meet Department requirements and guidance.
5. Green is achieved on competitive sourcing initiative.
6. Human resources were applied effectively to ensure the timely provision of services and meet the responsibilities of the Office.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____	Date 06/01/07	Element No. <u>5</u> of <u>5</u>
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Cascaded Organizational Goals

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- Bureau Goal:** Increase private enterprise and job creation in economically distressed communities
Improve community capacity to achieve and sustain economic growth
- SES/Organizational Goal:** Organizational excellence

Critical Element and Objective

Financial Management
To provide overall direction and management of EDA financial operations

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 20
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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.

1. Administrative and financial internal controls for A-123 compliance are documented and tested, and plans to address identified weaknesses are developed and implemented.
2. Bureau activities do not increase material weaknesses or significant deficiencies.
3. Financial systems are maintained in accordance Department, OMB and Treasury guidance. Plans to achieve and maintain compliance with FFMA and A-127 to support the goal of a Commerce-wide clean audit are implemented.
4. A Commerce corporate approach to financial management is fostered that ensures uniform application of Department financial management goals and objectives.
5. Coordination and integration of financial functions with budget and program functions is facilitated.
6. Financial operations supported a Department unqualified financial audit in compliance with the Financial Performance initiative of the PMA.

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. Identified controls are adequately documented and updated as necessary. Internal control assessments/tests are performed in accordance with each year's Department and Bureau test plan.
2. Financial reports and statements are produced on or before the due date and are free of any major discrepancies.
3. Reports and statements are produced and/or corrected before the due date. Where major deficiencies are found, they are corrected within the timeframe established by the review.
4. Green is generally achieved on the monthly metrics and corrective actions taken for metrics not meeting the standard.
5. ASSD regularly participates on and effectively represents EDA on relevant issues in appropriate Department-wide Councils.
6. Actively facilitates cooperation and collaboration between Budget, Accounting, and Performance Evaluation.

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
Customer Service	15		0
Leadership	25		0
Management of Administrative Activities	20		0
Management of Human Resources	20		0
Financial Management	20		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	