

PERFORMANCE MANAGEMENT RECORD

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

Employee's Name: _____ SSN: _____

Position Title: Director, HRMD Pay Plan, Series, Grade/Step: GS-201/15

Organization: 1. Department of Commerce 3. Office of Administration
2. Office of Inspector General 4. Human Resources Management Division

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 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: (1) To effectively communicate with DOC officials, Congress, and other parties, as appropriate.
(2) To ensure that OIG activities emphasize critical programs and operations of the Department.
(3) To perform quality work in an appropriate time frame.
- SES/Organizational Goal:
Provide the resources, services, and tools to enable OIG to accomplish its mission goals and objectives.

Critical Element and Objective

Customer Service

To be responsive to OIG stakeholders.

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.→

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 requests and concerns of clients and other stakeholders are provided.

Information on plans, status, progress, significant developments, and time frames for completing work is provided to stakeholders.

Suggestions, feedback, and information on stakeholder needs and expectations are elicited to improve OIG work plans, products, and operations.

Information on OIG's mission, goals, functions, plans, priorities, and accomplishments is provided to 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.

As determined by the supervisor through direct observation and feedback from clients and other stakeholders:

The employee's communications with clients and other stakeholders are generally clear, courteous, timely, effective and reflect consideration of customer issues and concerns.

The employee's responses to client and other stakeholder requests and concerns reflect the most accurate, appropriate, and complete information available and are generally delivered within established time frames and in accordance with established procedures and formats.

PERFORMANCE PLAN AND APPRAISAL RECORD

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| Employee Name: _____ | Date _____ | Element No. <u>2</u> of <u>5</u> |
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Cascaded Organizational Goals

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DOC Strategic Goals:

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- 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:** To perform quality work in an appropriate time frame.
- SES/Organizational Goal:**
Provide the resources, services, and tools to enable OIG to accomplish its mission goals and objectives.

Critical Element and Objective

Program Management: To foster a positive work environment that embraces integrity, diversity, achievement, teamwork, and open communication; and to effectively plan for, acquire, manage, and apply human, budget, information, and material resources to perform timely, quality work that supports the achievement of OIG and organizational unit goals and objectives.

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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.) <u>Enter the weight for this element in the adjacent box.</u> → | Element Weight |
| | 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.

- OIG's mission, vision, core values, goals, objectives, plans, and priorities are established and communicated to employees.
- Organizational unit goals, objectives, plans, and priorities are developed and communicated to supervisors, subordinates, and peers.
- Human, budget, information, and material resources are planned for, acquired, managed, and applied to perform work.
- Improvements to OIG functions and operations are recommended and implemented.
- Current and future staffing needs are assessed and a qualified and diverse workforce is attracted and retained.

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.

- OIG's mission, vision, core values, goals, objectives, plans, and priorities are clearly articulated to employees.
- Organizational unit goals, objectives, plans, and priorities that align with OIG goals, objectives, plans, and priorities are developed and clearly articulated to superiors, subordinates, and peers.
- Human, budget, information, and material resources are effectively planned for, acquired, managed, and applied to achieve OIG and organizational unit goals and objectives.
- Plans, methods, and priorities generally support the completion of work of acceptable quality and quantity by established deadlines.
- Recruits, develops, and retains a diverse high quality workforce in conjunction with applicable law and merit systems principles and aligned to meet current and future organizational needs.

PERFORMANCE PLAN AND APPRAISAL RECORD

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| Employee Name: _____ | Date _____ | Element No. <u>3</u> of <u>5</u> |
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Cascaded Organizational Goals

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- 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:** (1) To provide a quality work environment.
(2) To ensure that OIG activities emphasize critical programs and operations of the Department.

- SES/Organizational Goal:**
Provide the resources, services, and tools to enable OIG to accomplish its mission goals and objectives.

Critical Element and Objective

Leadership: To effectively lead, direct, develop, train, and coach employees to enable them to meet or exceed performance expectations, develop or maintain their technical and professional competencies, achieve their full potential, and accomplish OIG, organizational unit, and employee goals and objectives.

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| | 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.

- Performance plans are developed and issued, progress reviews are conducted, and performance evaluations are completed.
- Work is planned, scheduled and assigned to employees; and completed work is reviewed and either accepted, amended, or returned to the employee with feedback and further instructions.
- The goals, objectives, purpose, scope, and priority of specific work assignments and the time frames for their completion are established and communicated to employees.
- Superior performance is recognized and performance and conduct problems are addressed.
- Training, development, coaching, and resources are provided to employees.

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.

- Performance plans, individual development plans, progress reviews, and performance evaluations are usually completed with employee input and in accordance with established time frames.
- Adequate resources are identified and applied in a timely manner and in conjunction with OIG established procedures.
- Completed work is generally reviewed in a thorough, timely manner, and feedback and further instructions provided to employees are generally clear, specific, and constructive.
- Timely uses resources and tools to address performance and conduct issues in accordance with OIG established procedures.
- The DOC Performance Management Tracking System is usually maintained and kept current to facilitate the bureau's compliance with the Department's CD-431 reporting deadlines.

PERFORMANCE PLAN AND APPRAISAL RECORD

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| Employee Name: _____ | Date | Element No. <u>4</u> of <u>5</u> |
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- Management Integration Goal: Achieve Organizational and Management Excellence
- Bureau Goal: To perform quality work in an appropriate time frame.
- SES/Organizational Goal:
Provide the resources, services, and tools to enable OIG to accomplish its mission goals and objectives.

Critical Element and Objective

Internal Controls and Quality Assurance: To ensure efficient and effective management of OIG resources, functions, and operations; compliance with applicable laws, regulations, policies, and standards; and production of quality, timely work products, services, and results.

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| | 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.

Work management structures and processes are developed and implemented and automated systems and other tools are identified, selected, and used to plan, direct, document, manage, and perform work.

Policies, procedures, standards, guidelines, and other internal controls are developed, reviewed, and implemented.

Automated tools and systems are identified and used as needed.

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.

Accountability processes, i. e. checks and balances, are usually in compliance with relevant laws, regulations and policies to ensure the proper use of resources.

PERFORMANCE PLAN AND APPRAISAL RECORD

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|-----------------------------|------|----------------------------------|
| Employee Name: _____ | Date | Element No. <u>5</u> of <u>5</u> |
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- Management Integration Goal: Achieve Organizational and Management Excellence
- Bureau Goal: (1) To effectively communicate with DOC officials, Congress, and other parties, as appropriate.
(2) To perform quality work in an appropriate time frame.
- SES/Organizational Goal:
Provide the resources, services, and tools to enable OIG to accomplish its mission goals and objectives.

Critical Element and Objective

Work Products & Results: To complete thorough, timely analyses based on accurate information that yield sound, practical, and relevant findings, conclusions, recommendations, advice, decisions, and actions; and conduct verbal communications and produce written products.

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

- Information that supports work assignments is identified, collected, and analyzed.
- Technical advice is provided.
- Findings, conclusions, and/or recommendations are developed and decisions are made on work products and results.
- Reports, briefing documents, correspondence, and other written products are produced.
- Briefings, presentations, discussions, and other verbal communications are conducted.

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.

- Information sources, quantities, and collection methods are generally appropriate for the assignment. Information is complete, factual and accurate.
- Analyses generally (a) are thorough, supported by accurate information, and completed in accordance with established time frames; and (b) reflect an appropriate application of technical knowledge, skills, and available resources.
- Findings, conclusions, recommendations, technical advice, and decisions are generally sound, practical, and relevant to the assignment.
- Verbal and written communications are generally of acceptable quality and delivered within established time frames.
- Communications of acceptable quality:
 - a. reflect appropriate application of the employee's knowledge and skills;
 - b. are appropriate in form, content, length, and tone for the target audience and objectives;
 - c. are clear, concise, complete, and organized;
 - d. reflect accurate use of language, grammar and syntax; and
 - e. use graphics, photographs, and other visual information products appropriately and effectively.
- Work products result in measurable improvements based on the established baseline and standard.

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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 |
| Customer Service | 15 | | 0 |
| Program Management | 15 | | 0 |
| Leadership | 25 | | 0 |
| Internal Controls and Quality Insurance | 20 | | 0 |
| Work Products and Results | 25 | | 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 \$ 25 (20 %) <i>Appropriation Code 25</i> | | | |
| <input type="checkbox"/> QSI (Level 5 Required) | | | |
| Rating Official's Signature/Title | | | Date |
| Approving Official's Signature/Title | | | Date |