

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: Director, Office of Health & Consumer Goods Pay Plan, Series, Grade/Step: GS/15/10

Organization: 1. International Trade Administration 3. Office of Health and Consumer Goods
2. Manufacturing and 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 _____	Element No. <u>1</u> of <u>4</u>
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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:** Foster Excellent Relationships with Customers and Stakeholders Objective: Improves customer satisfaction, both within the Department and USG, and in the private sector. Encourages the OHCG staff to develop and maintain stakeholder relationships
- SES/Organizational Goal:** Enhance U.S. Competitiveness in Domestic and International Markets

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 Weight 25
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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.

Responses to customer inquiries for information or services comply with ITA 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 ITA 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. 2 of 4

Cascaded Organizational Goals

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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: ITA Goal: Achieve Organizational and Management Excellence.
Objective: Facilitates a positive work environment for OHCG staff and ensures that ITA and Department objectives are met.
- SES/Organizational Goal: Achieve Organizational and Management Excellence

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
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.

Resources are managed to accomplish the Department's Strategic Goals and OHCG objectives and OHCG 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 provided 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's 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 OHCG's office 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 OHCG's 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, and 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.

The OHCG Consumer Goods Team is effectively redirected with focus on high impact industries and a de-emphasis on non-competitive industries.

OHCG is effectively restructured to combine the Medical Devices and Pharmaceutical Teams into one Health Team led by a Supervisory Team Leader.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____

Date _____

Element No. 3 of 4

Cascaded Organizational Goals

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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: ITA Goal: Enhance U.S. Competitiveness in Domestic and International Markets. Objective: Oversee the development of economic and policy analysis and information to promote U.S. business competitiveness.

SES/Organizational Goal: Enhance U.S. Competitiveness in Domestic and International Markets

Critical Element and Objective

Enhance U.S. Competitiveness. To ensure appropriate industry and other stakeholder input into trade policy development, negotiations, and implementation.

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
20

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

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 is provided to senior ITA officials, U.S. companies, other USG agencies, trade associations, and foreign counterparts on health and consumer goods issues, both domestic and international.

Guidance is provided to OHCG Team Leaders and staff concerning industry analysis, such as an E-Outlook chapters, web site industry assessments, and the Business Plan industry analysis.

The development of special industry analysis assignments to be performed by OHCG staff is tracked and any delays are dealt with. Background papers and talking points are prepared for senior ITA and DOC officials, for meetings with industry, representatives of foreign governments, and stakeholders.

Research is conducted to support new OHCG initiatives – expansion of coverage of bio-agriculture, nutritional supplements, nano technology related to processed food, and the global battle to stop the spread of counterfeit medicines.

Industry interests are represented in global activities to improve market access and to reduce regulatory barriers, such as the medical devices Global Harmonization Task Force.

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.

Ensures that OHCG staff has sufficient resources, training and guidance to complete assigned industry analysis tasks within ITA standards. Typically OHCG industry analysis complies with ITA standards and demonstrates comprehensive understanding of industry trade, and regulatory issues.

OHCG briefings for ITA management usually require minimal higher-level review.

Industry analysis usually helps support the re-focus of Consumer Goods Team into activities that support priority sectors.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____

Date _____

Element No. 4 of 4

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:** ITA Goal: Identify and Resolve Unfair Trade Practices. Objective: Improve market access for U.S. firms and ensure compliance with trade agreements.
- SES/Organizational Goal:** Enhance U.S. Competitiveness in Domestic and International Markets

Critical Element and Objective

Identifying and Resolving Unfair Trade practices. To improve market access for U.S. firms and ensure compliance with trade agreements.

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. →

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.

Reports, briefing papers, negotiation position papers, talking points, testimony, and speeches are prepared. International trade negotiations including World Wine Trade Group, U.S. -EU Wine, Codex Committees Free Trade Agreement Negotiations, WTO DOHA Round, Cartagena Protocol, etc are attended. Setting direction for China health activities is provided by OHCG staff which includes supporting the DAS for Manufacturing as the U.S. - China JCCT Pharmaceuticals and Medical Devices Subgroup. Work is conducted for the TCC Compliance Coordinators, ITA Standards Liaison and the regulatory analysis process within MAS. Setting direction for China health activities is provided by OHCG staff which includes supporting the DAS for Manufacturing as the U.S. - China JCCT Pharmaceuticals and Medical Devices Subgroup and serves as U.S. Co-chair of the U.S.-China JCCT Pharmaceuticals Task Force. U.S. health activities in key foreign markets are led by OHCG's Director and staff to address market access issues. Health related training events are organized in key markets and regions to address market access and other key issues to improve U.S. industries competitive position.

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.

OHCG industry positions in trade activities are represented within time frames specified by the Director. Ensures that responses to OHCG industry associations are usually clear, courteous and directly address issues and questions. Industry and ITA management officials are usually informed of results of OHCG staff in working with industry and other stakeholders to resolve unfair trade practices and remove trade barriers. Briefings for ITA management prepared by OHCG staff require minimal high-level review.

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	25		0
Leadership	30		0
Enhance U.S. Competitiveness	20		0
Identify and Resolve Unfair Trade Practices	25		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? <input type="checkbox"/> Yes <input type="checkbox"/> No	Date _____
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 _____