

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: _____ SSN: _____

Position Title: Director, ONTO Pay Plan, Series, Grade/Step: GS-2210-15/9

Organization: 1. Office of the Secretary 3. _____
2. Office of the Chief Information Officer 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

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|-----------------------------|-------------------------|------------------------------|
| Employee Name: _____ | Date 11/03/06 | 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:
Acquire and manage the technology resources to support program goals.

SES/Organizational Goal:
Provide effective and efficient IT services to our customers.

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

Customers are provided with service that is consistent with OCIO standards.

Customers include OCIO staff; Immediate Office of the Secretary; Immediate office of CFO/ASA and its Directorates; Office of General Council; Office of the Inspector General; Commerce operating units; Office of Management and Budget; other federal agencies and the public.

Customer inquiries, regarding products and/or services, are acknowledged and customers are apprised of the status of the inquiry and when to expect resolution.

Customer needs are identified and modified based on communication with the customer.

Customer expectations are managed to ensure that customers understand the type and level of service available and the expected time frame.

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.

In the opinion of the supervisor as a result of direct observation and/or discussions with customers, stakeholders and/or peers:

Responses to customers and stakeholder requests generally reflect the most accurate and complete information available and knowledge of the requester's issues and/or concerns.

If information cannot be provided, usually responds to information requests within 48 hours.

Responses or services provided to customers, whether oral or written are delivered in a professional and courteous manner.

Deadlines are usually met and those not met are generally missed due to extenuating circumstances.

If on approved absence, an automated notification email will normally be sent in response to incoming 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 11/03/06 | Element No. 2 of 5 |
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Cascaded Organizational Goals

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Bureau Goal:

Acquire and manage the technology resources to support program goals.

SES/Organizational Goal:

Provide effective and efficient IT services to our customers.

Critical Element and Objective

Leadership

To mentor, plan, assist staff in developing the full potential.

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.

Resources are managed to accomplish the Department's Strategic Goals and OCIO objectives. OCIO 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 OCIO to ensure 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 OCIO 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

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| Employee Name: _____ | Date: 11/03/06 | Element No.: <u>3</u> of <u>5</u> |
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Cascaded Organizational Goals

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- Bureau Goal:**
Acquire and manage the technology resources to support program goals.
- SES/Organizational Goal:**
Provide effective and efficient IT services to our customers.

Critical Element and Objective

HCHB Network and Telecommunications Operations

To ensure network and telecommunication services availability as required by FISMA and DoC IT Security Program Policy and Minimum Implementation Standards.

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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 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.

- Network Standard Operating Procedures are managed for the HCHB and DOC information technology environment.
- Network monitoring tools are operational and kept current with patches and version for the HCHB and DOC information technology environment.
- Network logs are monitored for performance and capacity for the HCHB and DOC information technology environment.
- VoIP Standard Operating Procedures are managed for HCHB and DOC information technology environment.

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.

- Network Standard Operating Procedures are updated within one week of change.
- Change requests are implemented and routinely follow the Change management Policy and Procedures.
- There are usually no more than 1 exception to network and telecommunication services availability and it was due to extenuating circumstances.
- VoIP Standard Operating Procedures are updated within one week of change.
- Data and Voice Networking service availability of 99.9%. Availability due to planned network outages (maintenance), internet service provider outage, or acts of God are excluded from availability calculation.

PERFORMANCE PLAN AND APPRAISAL RECORD

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| Employee Name: _____ | Date 11/03/06 | Element No. 5 of 5 |
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Cascaded Organizational Goals

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- Bureau Goal:**
Acquire and manage the technology resources to support program goals.
- SES/Organizational Goal:**
Provide effective and efficient IT services to our customers.

Critical Element and Objective

Budget Formulation and Execution To ensure that adequate funding levels are requested.

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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.

- HCHB ONTO budget is prepared in accordance with guidance received from the CIO and budget officer.
- HCHB ONTO budget is executed in compliance with directives and strategic goals of the OCIO.
- Unfunded requirements are tracked and reported to the CIO and budget officer.
- HCHB telecommunications budget is prepared in compliance with directives received regarding the renovation project.

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.

- HCHBnet budget is usually submitted to CIO by due date.
- Network expenses generally correspond to the budget execution plan and are within +/- 10% of the plan.
- Status of HCHB network budget is usually presented the second Tuesday of each month to CIO, Deputy CIO, or as requested.
- Unfunded requirements are generally updated monthly.
- If applicable, submit accurate budgets for telecom-related renovation activities by due date.

PERFORMANCE PLAN AND APPRAISAL RECORD

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| Employee Name: _____ | Date 11/03/06 | Element No. 4 of 5 |
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Cascaded Organizational Goals

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- Management Integration Goal: Achieve Organizational and Management Excellence
- Bureau Goal:**
Acquire and manage the technology resources to support program goals.
- SES/Organizational Goal:**
Provide effective and efficient IT services to our customers.

Critical Element and Objective

HCHB Network Security Management
To ensure that the network operates in a secure environment as required by FISMA and DoC IT Security Program Policy and Minimum Implementation Standards.

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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.

- IT Security plans activities are accomplished as required by FISMA and DoC IT Security program policies.
- IT Security plan is reviewed and updated as required by FISMA and DOC IT Security program policies.
- Certification & Accreditation Package is updated as required by FISMA.
- Security log reviews and audits of user accounts are performed as required by DOC IT Security program policies.
- The Disaster Recovery Plan is randomly tested and results documented as required by DOC IT Security program policies to determine responsiveness and identify vulnerabilities of HCHB systems.
- Security Patches are installed on standard-configured equipment.

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.

- IT Security plan activities are generally accomplished within 24 hours of planned date.
- IT Security plan is generally updated biannually and is consistent with the Department's IT Security Policy and coordinated with the ITSO.
- The Continuity and Disaster Recovery Plan for the Herbert C. Hoover Building's network (HCHBnet) is usually tested and results documented monthly.
- Security patches are usually installed on standard-configured network equipment within 4 hours of notification barring uncontrollable events.
- At least 8 functional building wide tests performed each year. EPS/PA tests are generally performed on Saturday and functional test usually performed monthly.

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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 |
| Leadership | 25 | | 0 |
| HCHB Network and Telecommunications Operations | 20 | | 0 |
| HCHB Network Security Management | 20 | | 0 |
| Budget Formulation and Execution | 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) _____ | | Date | |
| Employee comments attached? <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 | |