

### 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>10/01/06</u>  To: <u>09/30/07</u>

Employee's Name: C SSN: \_\_\_\_\_

Position Title: IT Specialist Pay Plan, Series, Grade/Step: GS-2210-12

Organization: 1. NTIS 3. E-systems & Systems Development  
2. CIO 4. \_\_\_\_\_

#### PERFORMANCE PLAN CERTIFICATION

This plan is an accurate statement of the work that will be the basis for the employee's performance appraisal.

[Large empty box for performance plan certification]

**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

<b>Employee Name:</b> _____	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:** Promote progress by serving as the Federal Government's central means of making technical information perpetually and widely available.
- SES/Organizational Goal:** The Office ensures control over and accountability for all NTIS funds, property, and other assets.

### 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.)

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.

- Responses to customer inquiries for information or services comply with NTIS 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 NTIS 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.

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.

Information is provided to customers on or before established deadlines.

## PERFORMANCE PLAN AND APPRAISAL RECORD

<b>Employee Name:</b> _____	Date _____	Element No. <u>2</u> of <u>4</u>
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### Critical Element and Objective

System and Software Development  
 objective: Develops new systems or software based upon customer needs.

**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
35

**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.

- Contribution to the planning and development of integration systems, either new or existing is made.
- Systems are developed, integrated with other systems as needed, and are capable of supporting all current NTIS business requirements and expandable to encompass new requirements, as defined in the requirements for the assigned projects.
- Software programs are designed and coded based upon end user specifications.
- Programming standards that promote reusable code, modular libraries, and common data element definitions are developed.
- Test plans are developed and used to ensure the system functionality satisfies the system requirements.
- System documentation is developed for all system capabilities, functions, and operating procedures.

**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.

Systems and/or system components are developed to function according to requirement specifications.

Code is developed such that it usually conforms to industry standards for form, modularity, and reuseability.

Typically, development projects are completed accurately and on time as indicated in the project schedule.

In general, documentation is accurate, completed and finished on time as indicated in the project schedule.

## PERFORMANCE PLAN AND APPRAISAL RECORD

<b>Employee Name:</b> _____	Date _____	Element No. <u>3</u> of <u>4</u>
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### Critical Element and Objective

Software and System Support  
 objective: Provides technical support for new and existing systems

<b>Weighting Factor</b> (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.) <span style="float: right;"><b>Enter the weight for this element in the adjacent box.</b> →</span>	Element Weight
	35

**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.

- Products, business proposals and work methodologies are evaluated and potential system impacts are identified.
- Technical skill on emerging trends is maintained through training, technical seminars and/or conferences.
- Problems encountered in the software are resolved.
- Problems encountered in production code are analyzed and corrected.
- Test plans are developed and used to ensure the modified or enhanced system functionality satisfies the system requirements.
- System documentation is developed or updated for all system capabilities, functions, and operating procedures effected by changes.

**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.

- Usually modifications or enhancements to systems or system components are made to function according to requirement specification.
- Code is enhanced or modified such that it conforms to industry standards for form, modularity and reuseability.
- Typically, modification or enhancement projects are completed accurately and on time as indicated in the project schedule.
- In general, documentation is accurate, complete, and finished on time as indicated in the project schedule.

<b>Employee Name:</b> _____			
<b>PERFORMANCE SUMMARY RATING</b>			
<ul style="list-style-type: none"> <li>• List each element in the performance plan.</li> <li>• All elements are critical.</li> <li>• Assign a rating level for each element:               <ul style="list-style-type: none"> <li>(5) Level 5 (highest level of performance); (4) Level 4; (3) Level 3; (2) Level 2; (1) Level 1 (unacceptable performance)</li> </ul> </li> <li>• Score each element by multiplying the weight by the rating level.</li> <li>• Interim ratings should be considered when you prepare the final summary rating.</li> <li>• After each element has been scored, compute the total point score by adding the individual scores.</li> <li>• Rating officials must provide either an overall narrative justification of the summary rating or a written justification for each element rating.</li> <li>• A written justification is required for any element rated below Level 3.</li> </ul>			
<b>Performance Element</b>	<b>Individual Weights (Total must equal 100)</b>	<b>Element Rating (5, 4, 3, 2, 1)</b>	<b>Score</b>
Customer Service	30		0
System & Software Development	35		0
Software & System Support	35		0
			0
			0
<b>TOTAL SCORE</b>			<b>0</b>
<b>PERFORMANCE RATING</b>			
<input type="checkbox"/> <b>Level 5</b> (470 – 500)	<input type="checkbox"/> <b>Level 4</b> (380 – 469)	<input type="checkbox"/> <b>Level 3</b> (290 – 379)	<input type="checkbox"/> <b>Level 2</b> (200 – 289)
			<input type="checkbox"/> <b>Level 1</b> (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	
<b>PERFORMANCE RECOGNITION</b>			
<input type="checkbox"/> <b>Performance Award</b> \$ _____ ( % ) <i>Appropriation Code</i> _____ <input type="checkbox"/> <b>QSI</b> (Level 5 Required)			
Rating Official's Signature/Title			Date
Approving Official's Signature/Title			Date