

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: _____ SSN: _____

Position Title: Manager, General Ledger Division Pay Plan, Series, Grade/Step: GS-510-14

Organization: 1. NTIS 3. Office of Accounting
 2. Office of the CFO 4. General Ledger 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. <u>1</u> of <u>3</u>
-----------------------------	------------	----------------------------------

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.) **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.

- 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

Employee Name: _____	Date	Element No. <u>2</u> of <u>3</u>
-----------------------------	------	----------------------------------

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

Leadership
Accomplish NTIS' mission and strategic goals while fostering a working environment that supports NTIS values.

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.

- Resources are managed to accomplish the Department's Strategic Goals and NTIS objectives. NTIS 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.
- Contingency plans for continued operation of financial systems is developed despite continued staff attrition.

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 NTIS 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

Employee Name: _____	Date _____	Element No. <u>3</u> of <u>3</u>
-----------------------------	------------	----------------------------------

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

Financial Services
Support NTIS mission to operate in a self-sustaining manner.

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 40
---	-----------------------------

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.

- New systems or systems changes are evaluated and tested and training is provided.
- A clean audit is obtained
- Financial records and reports are reconciled.
- Financial services to External Auditors are provided.
- Accounting information, advice and oversight for entire bureau is provided
- NTIS' financial condition for compliance, internal controls and cash status is monitored.
- Problem solving solutions are developed.

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.

- New and/or modified systems are JFMIP and A-123 compliant.
- Internal Control reviews are completed by Departmental established due dates.
- The NTIS audit has no material weaknesses
- List of opportunities to streamline/improve Accounting operations usually reflect thorough research.
- Verify that reconciliations of general ledger accounts with subsidiary records are completed accurately by the fifteenth of each month, except September which are due three days after the audit exit conference.
- Prior to audits, financial records are examined and prepared, prior fiscal year audit issues are resolved, and procedural and system deficiencies are identified.

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	30		0
Leadership	30		0
Financial Services	40		0
			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?	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