

CD-430
(10/05)

U.S. Department of Commerce

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: Budget Analyst Pay Plan, Series, Grade/Step: GS-0560-12/02

Organization: 1. Bureau of Industry and Security 3. Office of Comptroller
2. Office of Administration 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 11/30/06	Element No. 1 of 1
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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:** E2. Focused Management
- SES/Organizational Goal:**

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

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 include BIS staff; Commerce operating units, Industry; Office of Management and Budget; other federal agencies and the public.

Customer are provided with service that is consistent with BIS standards.

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 listening to customers and systematically gathering their feedback.

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

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 can not be provided immediately upon request, a response is provided 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.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____	Date 11/30/06	Element No. 2 of 5
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Cascaded Organizational Goals

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- Bureau Goal:** E2. Focused Management
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Critical Element and Objective

IT Security
E2.1.4 Implement improved IT security infrastructure

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
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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 System security requirements are adhered to when utilizing BIS computing resources in Commerce facilities and while working remotely (i.e., teleworking or on official travel), minimizing the potential for loss or compromise of BIS data.

BIS Internet usage policy is adhered to, avoiding potential for compromise of BIS systems.

Employee conscientiously protects BIS computing equipment and data from loss, destruction, unauthorized disclosure, and unauthorized modification.

Employee reports the loss or compromise of any BIS computing equipment or data to the supervisor within 48 hours of discovery.

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.

Completes required annual IT Security refresher training.

Adheres to BIS and organizational rules for acceptable use of the Internet and BIS systems/networks.

Safeguards sensitive government data and personally identifiable information in electronic and paper form.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name:	Date 11/30/06	Element No. <u>3</u> of <u>5</u>
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Cascaded Organizational Goals

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Critical Element and Objective

Financial Management Support.
Support financial management activities to achieve BIS goals and objectives

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
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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.

- Report of commitments and obligations for assigned areas managed to ensure maximum efficiency for BIS program areas.
- Personnel compensation costs and estimates for assigned areas managed to ensure maximum efficiency for BIS program areas.
- Activity in undelivered orders, accounts payable, and expenditures monitored for assigned areas.
- Bi-weekly report of advanced annual and sick leave balances prepared.

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.

- Report of commitments and obligations updated and reconciled by the 7th of each month 95 percent of the time. Commitments are posted daily and accurately 95 percent of the time.
- Personnel compensation costs and estimates are completed by the 5th of each month and require only minor revisions.
- Undelivered orders, accounts payable, and expenditures are valid, and corrective action is taken, if necessary.
- Bi-weekly report of advanced annual and sick leave balances is prepared accurately and within seven days of the information being available in HRDS.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____	Date 11/30/06	Element No. <u>4</u> of <u>5</u>
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Cascaded Organizational Goals

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- Bureau Goal:** E2. Focused Management
- SES/Organizational Goal:**

Critical Element and Objective

Office of Administration support
Support Office of Administration activities to achieve BIS goals and objectives

<p>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. →</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 2px;">Element Weight</td> </tr> <tr> <td style="text-align: center; padding: 2px;">20</td> </tr> </table>	Element Weight	20
Element Weight			
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.

- Administrative instructions managed to ensure maximum effectiveness of BIS resources.
- Correspondence and other documents produced to advance Office of Administration goals and objectives.
- Maintain log of accountable property as purchases are made.

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.

- Administrative instructions for areas of responsibility reviewed annually or as a result of a change in DOC or BIS policy.
- Correspondence and other documents are timely 95 percent of the time and require minor revisions by supervisor.
- Log of accountable property is accurately reconciled with BIS Property Accountability Officer's records by the 10 of the month after the quarter ends.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____	Date 11/30/06	Element No. 5 of 5
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- SES/Organizational Goal:

Critical Element and Objective

Budget Support - Support budget and performance integration objectives

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.

- Preparation of budget exhibits and related materials for the Secretarial budget managed to ensure maximum efficiency for BIS programs.
- Preparation of budget exhibits and related materials for the OMB budget managed to ensure maximum efficiency for BIS programs.
- Preparation of budget exhibits and related materials for the Presidents's budget managed to ensure maximum efficiency for BIS programs.
- DOC Office of Budget data calls are managed to ensure that information requested is provided.

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.

- Budget exhibits are prepared in compliance with Department and OMB requirements for quality and timeliness 90 percent of the time.
- Responses to Office of Budget data calls are accurate and timely 95 percent of the time.

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
IT Security	15		0
Financial Management Support	30		0
Office of Administration Support	20		0
Budget Support	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)		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