

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: Management Analyst Pay Plan, Series, Grade/Step: GS-0343-13/04

Organization: 1. Bureau of Industry and Security 3. Office of Planning, Evaluation & Mgmt
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
06/01/07Element 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: E2. Focused Management
- SES/Organizational Goal: Demonstrate a high degree of responsiveness to all clients and customers.

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 typically provided within 48 hours.

Responses or services provided to customers, whether oral or written, are usually clear, courteous and directly address issues and questions.

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

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 06/01/07	Element No. 2 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:** E2. Focused Management
- SES/Organizational Goal:** Implement the President's Management Agenda

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

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.
- BIS computing equipment and data is protected from loss, destruction, unauthorized disclosure and unauthorized modification.
- Loss or compromise of any BIS computing equipment or data is reported to the supervisor.

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 in accordance with DOC and BIS organizational rules of behavior.
- Employee reports the loss or compromise of any BIS computing equipment or data to the supervisor within 48 hours of discovery.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name:

Date

06/01/07

Element No.

3 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: E2. Focused Management
- SES/Organizational Goal: Implement the President's Management Agenda

Critical Element and Objective

FOIA, Privacy Act, and Other Document Search support

Support the management of the FOIA process, Privacy Act, and other document searches in support of 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

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.

FOIA requests are managed to meet statutory requirements.

Privacy Act requests are managed to ensure compliance with statutory requirements and DOC/BIS policy.

Court ordered document searches are managed to meet Federal Rules of Civil Procedure requirements.

Information requests related to bankruptcy filings and other document searches are managed to meet Federal Rules of Bankruptcy Procedure requirements.

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.

FOIA requests are usually answered within the statutory 20 working days.

Privacy Act information requests are generally acted on within two working days of receipt.

Court ordered document searches are usually acted on within two working days of receipt.

Information requests related to bankruptcy filings and other document searches are acted on within two working days of receipt.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____	Date 06/01/07	Element No. 4 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: E2. Focused Management
- SES/Organizational Goal: Implement the President's Management Agenda

Critical Element and Objective

Records Management support
Support the management of security and records management activities in support of BIS and DOC 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 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.

The implementation of a uniform system for classifying, safeguarding, and declassifying national security information established under Executive Order 12958 and its implementing directives is managed in accordance with regulatory requirements.

Implementation of EO 12598 as dictated per the order's requirements is reported.

Records management activities are managed to meet regulatory requirements and to ensure compliance with Record Schedules.

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.

- EO 12958 managed to ensure that archived classified documents are generally reviewed in compliance with established deadlines.
- EO 12958 managed to ensure that reporting requirements to Department are usually completed on time.
- One spot check of each line unit is usually completed annually.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____	Date 06/01/07	Element No. 5 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: E2. Focused Management
- SES/Organizational Goal: Implement the President's Management Agenda

Critical Element and Objective

Health & Safety, Space & Security, Comp. Sourcing - Support health & safety, space, security management activities & comp. sourcing in support of

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.

Health and safety activities are managed to ensure maximum protection of BIS employees.

Space activities are managed to ensure maximum efficiency for BIS. Advice, recommendations and/or suggestions are provided to Bureau personnel on all space-related matters. Reports are submitted to DOC as dictated by requirements.

SIPRNet program is managed to ensure maximum effectiveness for BIS.

Competitive Sourcing/FAIR Act inventory is managed to ensure reporting requirements are in accordance with the Federal Activities Inventory Reform (FAIR) Act (P.L. 105-270), OMB Circular A-76, Performance of Commercial Activities.

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.

Safety spot check of each office unit are generally completed annually and are generally in compliance with DOC standards.

Space reports are generally submitted to the Department on time. Advice to Bureau personnel on all space-related matters acted on within two working days of receiving request.

Requests for SIPRNet accounts acted on within two working days of receipt. SIPRNet facilities are properly certified and personnel provided guidance in accordance with standards established by the National Telecommunication and Information Administration.

Competitive Sourcing/FAIR Act inventory is usually completed on time and requires minimal analytical, grammatical and content editing, and adequately represents the Bureau's workload and workforce statistics to produce the annual inventory.

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
FOIA, Privacy Act, & Other Document Search Support	25		0
Records Management Support	20		0
Health & Safety, Space & Security, Comp. Sourcing	25		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