

CD-430 (10/05) U.S. Department of Commerce

## PERFORMANCE MANAGEMENT RECORD

Coverage	Bureau Appraisal Cycle	Appraisal Year
<input 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>06/05/07</u>  To: <u>09/30/07</u>

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

Position Title: Program Analyst Pay Plan, Series, Grade/Step: GS-0343-14

Organization: 1. Department of Commerce 3. Office of AU/S for Management  
 2. Economics & Statistics 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 accuracy of your performance ratings in the automated record system.

## PERFORMANCE PLAN AND APPRAISAL RECORD

<b>Employee Name:</b> _____	<b>Date</b> 06/05/07	<b>Element No.</b> 1 of 4
-----------------------------	-------------------------	------------------------------

### 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: Support the information and analytical needs of the Department of Commerce and the Executive Branch.
- SES/Organizational Goal: Ensure the ESA resources are marshaled effectively to accomplish the Department and Under Secretary goals.

### 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 Weigh**

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.

- Responses to customer inquiries for information or services comply with Bureau 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 Bureau 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 2 business days. If information is not readily available, customer is informed of this and given an expected day of delivery for information. Complete responses to customers rarely take more than 5 business days.

Answers written requests for information within 5-7 days from date of receipt, or within other time frames specified by the supervisor or program requirements.

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 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

<b>Employee Name:</b> _____	<b>Date</b> 06/05/07	<b>Element No.</b> 2 of 4
-----------------------------	-------------------------	------------------------------

### 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: Support the information and analytical needs of the Department of Commerce and the Executive Branch.
- SES/Organizational Goal: Ensure the ESA resources are marshaled effectively to accomplish the Department and Under Secretary goals.

### Critical Element and Objective

**Personnel Management**

To provide recruitment, classification, leave and benefits support for ESA Headquarters.

<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.)	<b>Element Weight</b>
<b>Enter the weight for this element in the adjacent box. →</b>	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.

ESA management and executive staff are provided guidance and information on human resources management initiatives, priorities, activities, and recommended changes in existing policies and procedures.

Recruitment and classification documentation for vacancies, position descriptions, statement of duties, accretion of duties, quality ranking factors, rating schedules, superior qualifications justifications and relocations justifications are initiated with ESA managers.

Leave issues for time and attendance audits, leave restoration, leave donation, and other leave matters are coordinated for ESA Headquarters.

Benefits and retirement information and guidance is provided to ESA staff. New ESA employee and departing employee paperwork is coordinated with the Census Bureau and Department.

Focus groups and reports to Booz Allen Hamilton are provided for the Department of Commerce's Demonstration Project's annual reviews.

**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.

Typically, work products meet customer expectations, are factually accurate, contain few grammatical or typographical errors, and conform to ESA requirements and established deadlines.

Human resource activities are usually accomplished in compliance with ESA, Departmental and OPM procedures and regulations.

## PERFORMANCE PLAN AND APPRAISAL RECORD

<b>Employee Name:</b> _____	<b>Date</b> 06/05/07	<b>Element No.</b> 3 of 4
-----------------------------	-------------------------	------------------------------

### 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:** Support the information and analytical needs of the Department of Commerce and the Executive Branch.
- SES/Organizational Goal:** Ensure the ESA resources are marshaled effectively to accomplish the Department and Under Secretary goals.

### Critical Element and Objective

**EEO Reporting Activities & AD Hoc Assignments**

Coordinates EEO activities and reports for ESA Headquarters and special projects.

**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.** →

<b>Element Weight</b>
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 Office of Civil Rights' (OCR) plans and accomplishment reports on the Affirmative Employment Program for Minorities & Women, Affirmative Program for People with Disabilities, and the Affirmative Employment Program for Disabled Veterans are completed for ESA Headquarters.

Updates on the White House Initiatives on Hispanic Serving Institutions, Historically Black Colleges & Universities, Tribal Colleges & Universities, the Hispanic Employment Program, Initiative on Asian & Pacific Islanders, and the Women's Programs are coordinated and reported.

Conference planning is provided for the Federal Women's Program (FWP) and the Affirmative Employment Program's Counterpart group activities.

Bureau restructuring activities are drafted and coordinated (e.g. reorganization documentation with organization charts, and revised Departmental Organization Orders (DOO), and budget and personnel crosswalks).

Requests for information are completed and submitted to the requesting party.

ESA historical information, staff biographies, office descriptions, DOOs, organization charts, organization telephone contacts and numbers are maintained and updated for use in information requests.

**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.

Typically, work products meet customer expectations, are factually accurate, contain few grammatical or typographical errors, and conform to ESA requirements and established deadlines.

Work products are consistent with ESA, Departmental and OPM regulations, policies, and procedures.

Reports, organizational charts, tables, and graphics usually comply with formats requested by the supervisor and ESA management.

Relevant research and information is usually provided within time frames specified by the supervisor and ESA management.

## PERFORMANCE PLAN AND APPRAISAL RECORD

<b>Employee Name:</b> _____	<b>Date:</b> 06/05/07	<b>Element No.:</b> 4 of 4
-----------------------------	-----------------------	----------------------------

### 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: Support the information and analytical needs of the Department of Commerce and the Executive Branch.
- SES/Organizational Goal: Ensure the ESA resources are marshaled effectively to accomplish the Department and Under Secretary goals.

### Critical Element and Objective

**Performance Management & Incentive Award Programs**

To provide support for General Workforce and Senior Executive Service performance management and incentive award activities.

<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.)	<b>Element Weight</b>
<b>Enter the weight for this element in the adjacent box. →</b>	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.

Executive resource program activities such as recruitment, performance management, and awards are coordinated for ESA Headquarters in conjunction with the Census Bureau and the Department.

General Work Force performance evaluation and incentive awards' activities are accomplished and coordinated with the Census Bureau and Department. Tables used in award projections and usage throughout the fiscal year are developed and maintained.

Departmental and OPM information requests on ESA's performance evaluation programs are coordinated with the Census Bureau and Department throughout the year.

ESA Honor award nominations for Gold and Silver are coordinated with ESA management, Census and Departmental counterparts.

**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.

Typically, work products meet customer expectations, are factually accurate, contain few grammatical or typographical errors, and conform to ESA requirements and established deadlines.

Work products are usually consistent with ESA, Departmental and OPM regulations, policies, and procedures.

Typically, guidance on incentive awards and performance evaluation programs are factually accurate and consistent with ESA, Departmental and OPM regulations and procedures.

**Employee Name:** \_\_\_\_\_

**PERFORMANCE SUMMARY RATING**

- List each element in the performance plan.
- All elements are critical.
- Assign a rating level for each element:
  - (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
Personnel Management	40		0
EEO Reporting Activities & Ad Hoc Assignments	20		0
Performance Evaluation & Incentive Award Programs	25		0
<b>TOTAL SCORE</b>			<b>0</b>

**PERFORMANCE RATING**

Level 5 (470 - 500)     
  Level 4 (380 - 469)     
  Level 3 (290 - 379)     
  Level 2 (200 - 289)     
  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 \_\_\_\_\_

Yes  No

**PERFORMANCE RECOGNITION**

Performance Award \$ \_\_\_\_\_ ( % )      *Appropriation Code* \_\_\_\_\_  
 OSI (Level 5 Required)

Rating Official's Signature/Title \_\_\_\_\_ Date \_\_\_\_\_

Approving Official's Signature/Title \_\_\_\_\_ Date \_\_\_\_\_