

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: Senior International Trade Specialist Pay Plan, Series, Grade/Step: GS-1140-14/2

Organization: 1. ITA 3. OPC
2. MAC 4. _____

PERFORMANCE PLAN CERTIFICATION

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

:

:

E

M

c

a

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 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: "Achieve Organizational and Management Excellence" or "Ensure Excellent Management of Resources"
- SES/Organizational Goal: Ensure high degree of responsiveness to organizational leadership, the public, and internal and external 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.)	Element Weight
Enter the weight for this element in the adjacent box →	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 ITA 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 ITA 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 24-28 hours.
- 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.
- When out off office, outgoing voicemail and e-mail messages are changed to include information for alternative contact.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____	Date 11/30/06	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: "Achieve Organizational and Management Excellence" or "Ensure Excellent Management of Resources"
- SES/Organizational Goal: Manage human capital to maintain a diverse, high-performing workforce; implement best management policies.

Critical Element and Objective

Leadership

To manage assigned programs and resources.

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.

Resources are managed to accomplish the Department's Strategic Goals and ITA/Market Access and Compliance (MAC) objectives and MAC 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 appraisal 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.

Office complies with legal and reporting obligations, the Privacy Act and other applicable statutes including the requirements of governmental and other suppliers of data to MAC to ensure the confidentiality of Personally Identifiable Information (PII).

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 ITA's standards and performance plans/evaluations.

Staff is constantly being developed to meet changing requirements.

Performance plans and individuals 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 11/30/06	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:** Advance US Commercial Intervents
- SES/Organizational Goal:** Advance US Commercial Intervents through Trade Negotiations

Critical Element and Objective

FTA Policy Review: To ensure that the concerns of Commerce constituents are considered, and where appropriate, addressed, while maintaining a high standard agreement and consistent approaches across FTAs.

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.

FTA-related policy proposals and concessions are reviewed and evaluated to ensure that high standards and consistency across agreements are maintained. Proposals that could derive from these principals are appropriately brought to the attention of senior management.

Relevant meetings are attended to develop and attain broad information on industry concerns, the status of FTAs, and pending policy proposals or concessions to ensure that these reflect industry concerns, while maintaining high standards and cross-FTA consistency.

Oral briefings, talking points, position papers, speeches and other documents on FTA-related issues are prepared on issues related to FTA policy development, TPA renewal, outreach, and otherwise as directed by senior management.

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.

TPSC documents are reviewed and commented on within stated deadlines.

Meeting reports are usually prepared and circulated within 3 business days.

Policy research and/or advocacy materials are usually thorough and persuasive, reflecting sound analytical thinking, analyzing relevant core issues and presenting recommendations from the analysis and are consistent with U.S. trade policy objectives as established by DOC management and the interagency process.

Policy advocacy/outreach initiatives are usually developed, cleared and implemented in advance of meetings.

Typically TPSC papers are reviewed within established deadlines.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____	Date 11/30/06	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: Advance US Commercial Intervents

SES/Organizational Goal: US Commercial Intervents

Critical Element and Objective

FTA Communication and Coordination: To work with DOC's FTA teams, and other trade officers to facilitate and ensure cross-ITA communication.

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.

Issue fact sheets, summarizing the key obligations of each chapter, and providing context on how that benefits U.S. business, are developed as a means to communicate the benefits of FTAs to Commerce audiences and inform them on how to seek Commerce assistance for compliance concerns. Issue teams are encouraged to maintain communication with the rest of their team, and ensure that new proposals/policies are cleared through the entire team before providing interagency clearance.

FTA coordination tools are raised relevant and FTA team members post new materials to ensure that the country team and senior management have ready access to the latest state of play.

The FTA Coordination Committee and Issue Facilitator meetings are organized, hosted and supported to facilitate internal DOC communication, and policy and strategy development.

Communications reporting and the status of negotiations and new materials available on the Common Knowledge website is provided to the DOC FTA community. Additional information is passed along as needed via e-mail, voice mail and meetings.

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.

Issue fact sheets are usually developed and cleared through OGC, public affairs and the interagency subject-matter experts, and are written in a conversational tone that avoids jargon and excessive legalese.

Issue leads and experts usually responds to TPSC and other interagency requests for comments within posted deadlines.

Typically FTA team members are apprised of new posting materials of the Common Knowledge website within 2 business days after they become available.

The FTA Coordination Committee meets quarterly.

The "What's New" summary of FTA negotiations and new materials is circulated weekly.

Coordination tasks are usually kept up to date.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name:	Date 11/30/06	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:** Advance US Commercial Intervents
- SES/Organizational Goal:** Advance US Commercial Intervents

Critical Element and Objective

Cross-Analytical Database development: To promote capturing the rationales behind FTA policy decisions.

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.

When revisions to the FTA Cross-Analytical database are finalized, FTA team members are trained on the improvements, and helped to analyze completed U.S. FTAs.

A best practices assessment is developed using the cross-analytical FTA analysis to identify the least harmful concessions made in individual FTAs to address issues that may also arise in future FTA negotiations.

A proposal to merge/link together existing FTAs in a way to support improved economies of scale is developed and presented to senior management for consideration.

FTA merger proposal and recommendations are completed.

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.

The status of the FTA analysis by issue team and FTA is usually monitored monthly and reported on at each FTA Coordination and Issue Facilitator meeting.

The best practices assessment is usually updated as each new FTA is completed in order to take into account new information and outcomes within 2 months.

Typically group training on the use of FTA coordination tools is offered to the DOC FTA community at least every 3 months, and individually on an as needed basis.

FTA merger proposal is completed by September 2007, and reflects thorough analysis and recommendations are consistent with trade policy law and principles.

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: (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
Leadership	20		0
FTA Policy Review	20		0
FTA Communication and Coordination	25		0
Cross Analytical Database Development	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)
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