Form CD-541E
(9-25)

U.S. DEPARTMENT OF COMMERCE

COMMERCE ALTERNATIVE PERSONNEL SYSTEM – PERFORMANCE MANAGEMENT RECORD

PERFORMANCE APPRAISAL AND POSITION REVIEW

Employee's Name _____

Position/Title _____

Career Path/Series/Band _____

Organization _____ Rating Period _____

RATING OFFICIAL'S CERTIFICATION

I Certify That:

☐ This plan is a complete and accurate statement of the performance elements, objectives, and major activities that will form the basis of the employee's performance appraisal.

☐ The performance plan and position description reflect similar objectives, duties, and responsibilities.

Name and Title of Rating Official	Signature	Date

HIGHER LEVEL SUPERVISOR CONCURRENCE

I agree with the certification of the position description and concur with the performance plan.

Name and Title of Higher Level Supervisor *(if appropriate)*	Signature	Date

PAY POOL MANAGER'S APPROVAL

I agree with the certification of the position description and I approve the performance plan.

Name and Title of Pay Pool Manager	Signature	Date

REVIEWING OFFICIAL'S APPROVAL

This review is appropriate when the pay pool manager is also the rating official.

Name and Title of Reviewing Official	Signature	Date

EMPLOYEE ACKNOWLEDGMENT

My signature acknowledges discussion of the position description and receipt of the performance plan, but does not necessarily signify agreement with either document.

Employee's Signature	Date

SECTION 1 - PERFORMANCE PLAN

Employee's Name	Rating Period	Element No.
		1 of _____

Cascaded Organizational Goals

The Department's Strategic Plan identifies key goals. Each of these goals has Strategic Objectives that one or more bureaus/ operating units support. Each critical element must cascade from a goal identified for each critical element, and each critical element must have at least one Strategic Objective. First, select the appropriate Strategic Goal. Then, fill in the appropriate Strategic Objective(s), the bureau/operating unit goal/strategy/initiative, and the SES performance requirement (as applicable) to complete the cascade. The SES performance requirement will be in the performance plan for the SES member who is in the employee's chain of command.

ITEM 1. Strategic Goal(s):

Strategic Objective(s):

☐ Bureau/Operating Unit Goal:

☐ SES Organizational Goal/SES Performance Requirement (as applicable):

ITEM 2. Performance Element, Objective and Weight *(Employee performance plans must contain a minimum of three and a maximum of six critical elements. Supervisor performance plan must contain a minimum of four and maximum of seven critical elements.)*

Critical Element: Customer Service

Objective:

To deliver high levels of service to internal and external customers, while measuring the effectiveness of partnerships and collaborative efforts towards the achievement of the organization's mission and goals.

ITEM 3. Major Activities or Required Results Related to the Above Element (Identify what major activities/required results need to be accomplished in support of the Strategic Objective(s) and bureau/operating unit's organizational goals. A minimum of three and a maximum of five activities/results must be listed.)

1. Customer inquiries for information or services are acknowledged and answered within a timely manner and in compliance with standards.
2. Customer questions, ideas, and concerns are sought and actively listened to for improved customer service.
3. Customer feedback is analyzed; needs and concerns are considered in making decisions, recommending solutions and resolving conflicts.
4. Customer expectations are communicated and managed to ensure that customers understand the type and level of service available, inquiries are routed based on level of complexity, and customers are apprised of the status of inquiry when to expect resolution.
5. Customer service is provided in collaboration, consultation, and partnership with colleagues and internal and external customers in the Department. Professional relationships and interactions with key stakeholders are maintained to advance interests.

Element Weight: The weight must reflect the importance of the element within the Strategic Objective(s) and bureau/ operating unit's organizational goals or the time required to perform it, or both. The element weight must be in 5 point increments, with no element weight higher than 60 points, and all element weights must equal 100 points.	Element Weight
	0

ITEM 4. Evaluation Criteria (Identify how the above activities/required results are to be evaluated. Benchmark Performance Standards must be used; add supplemental standards, if needed.)

Level 3 *(Mandatory)*: The employee consistently demonstrates the following behaviors and results:

1. Responds to customer request with factually accurate information consistent with and departmental guidance and policies, as well as program or technical documents, and actively participates toward achieving the goals and objectives of the organization.
2. Work products and responses consistently address customer issues and concerns, and establish a mutual understanding and expectations aligned with existing standards of customer service.
3. Responds to email and telephone inquiries within 1 business day, or within 2 business days if information is not readily available, and written requests for information are answered within 1 week from date of receipt, or within other timeframes specified by supervisor or program requirements.
4. Written and verbal work products and responses to customer requests are clear and courteous, address customer issues and concerns. Establishes a mutual understanding of expectations that align with existing standards of customer service, and solutions are delivered in mutually agreed upon timeframes with the customer.
5. If on approved absence, a voicemail message is provided, and an automated notification email is sent in response to incoming messages that indicates period of absence and identifies an alternate contact.
6. Fosters an environment that promotes result-driven customer service, communication, accountability, and integrity in shared information, and contributes to build and leverage collaboration among peers, customers, and stakeholders.

Level 5 *(Mandatory)*: The employee consistently demonstrates the following behaviors and results:

NOTE: A Level 5 or similar performance management system level indicator, which defines performance above what is expected in a Level 3 is mandatory and should be identified here. Rating Officials should tailor the indicator's language to actual duties and accomplishments expected for the role.

SECTION 1 - PERFORMANCE PLAN

Employee's Name	Rating Period	Element No.
		_____ of _____

Cascaded Organizational Goals

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Critical Element:

Objective

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Element Weight

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SECTION 2 - PROGRESS REVIEW

Employee's Name				**Rating Period**
	Employee's Initials	Date	Rating Official's Initials	Date
1st Quarter Progress Review				

ITEM 5. Mid-Cycle/Progress Review *(Check appropriate box)*

☐ 1. Review indicates performance is **Eligible.**

☐ 2. Review indicates performance is **Eligible**; however, there are performance deficiencies, as stated below.

☐ 3. Review indicates performance is deficient and a performance improvement plan is needed. Deficiencies are stated below. *(If this block is checked, supervisor must contact the servicing HR office.)*

Key Achievements, Strengths: Be specific and relate these to performance elements. List areas where work was done well and identify the strengths exhibited by the employee during the rating period.

Deficiencies, Areas of Concern: *(Must be filled in if box 2 or box 3 above is checked)*: Be specific and relate these to individual performance elements. Note deficiencies or areas where performance has declined during the rating period.

Suggestions/Strategies for Improvement: List areas in which the employee might enhance performance. Comments can also identify suggestions for career growth and development.

	Employee's Initials	Date	Rating Official's Initials	Date
Mid-Cycle Progress Review				
3rd Quarter Progress Review				

SECTION 3 - PERFORMANCE APPRAISAL

Employee's Name	**Rating Period**

ITEM 6. Rating Official's End-of-Year Appraisal *(Includes consideration of attached employee accomplishments)*

- ☐ 1. Review indicates performance is **Eligible.**
- ☐ 2. Review indicates performance is **Eligible**; however, there are performance deficiencies, as stated below.
- ☐ 3. Review indicates performance is **deficient** and a performance improvement plan is needed. Deficiencies are stated below. *(If this block is checked, supervisor must contact the servicing HR office.)*
- ☐ 4. Review indicates that a PIP has not been successfully completed and performance is rated **Unsatisfactory**.

Key Achievements, Strengths: Be specific and relate these to performance elements. List areas where work was done well, and identify the strengths exhibited by the employee during the rating period.

Deficiencies, Areas of Concern: *(Must be filled in if box 2 or box 3 above is checked)*: Be specific and relate these to individual performance elements. Note deficiencies or areas where performance has declined during the rating period.

Suggestions/Strategies for Improvement: List areas in which the employee might enhance performance. Comments can also identify suggestions for career growth and development.

SECTION 3 - PERFORMANCE SUMMARY RATING

Employee's Name	**Rating Period**

Organization

ITEM 1. Scoring

1. List each performance element and its weight.
2. Assign a score to each element. Enter "Unsatisfactory" if element performance does not warrant a score.
3. Complete total score by summing element scores. Total score can range from 40 to 100. If one or more elements are rated "Unsatisfactory," there is no total score and the overall rating is "Unsatisfactory."

	Performance Element	**Weight**	**Score**
1.		0	
2.		0	
3.		0	
4.		0	
5.		0	
6.		0	
7.		0	
		TOTAL SCORE	0

ITEM 2. Rating and Payouts

☐ **Eligible** *(All elements scored in the Eligible range)*

☐ **Unsatisfactory** *(At least one element rated Unsatisfactory)*

☐ **RIF Service Credit** ☐ 10 Years ☐ 5 Years

Performance Pay Increase Percentage _____ Dollar Amount _____ Bonus Amount _____

Name and Title of Rating Official	Signature	Date
Name and Title of Higher Level Supervisor *(If Appropriate)*	Signature	Date
Name and Title of Pay Pool Manager	Signature	Date
Name and Title of Reviewing Official	Signature	Date
Employee's Signature *(Signifies performance review meeting held)*	Employee provided accomplishments? ☐ YES ☐ NO	Date
Employee's Signature *(Signifies evaluation feedback meeting held)*	Employee comments attached? ☐ YES ☐ NO	Date

ELEMENT POINT RANGES AND BENCHMARK PERFORMANCE STANDARDS TABLE

This sheet must be used in conjunction with the performance plan. The Benchmark Performance Standards are used to evaluate and score against the elements, objectives, and activities listed in the plan.

ELEMENT POINT RANGES	BENCHMARK PERFORMANCE STANDARDS
60 55 50 45 40 35 30 25 20 15 10 5 59 54 49 44 39 58 53 48 43 34 29 24 57 52 47 42 38 33 28 23 19 56 51 46 14 55 50 41 37 32 27 54 45 36 18 9 53 49 26 13 52 48 44 40 31 22 17 51 47 43 39 35 30 25 21 50 46 42 38 34 29 49 45 41 37 33 48 44 40 36 32 28 24 20 16 12 8 4	Element objectives were achieved with maximum impact through exemplary work that demonstrated exceptional originality, versatility, and creativity. Activities and related tasks were carried out with the utmost effectiveness and reliability, rarely needing room for improvement. Products were of the highest quality. Problems were solved with dedicated perseverance, penetrating insight, meticulous attention to detail, and unprecedented success. Potential sources of conflict were anticipated and avoided through creative alternatives. Cooperation and responsiveness were actively promoted wherever possible. Written and oral communication related to the performance of element activities maximized desired results, forged new cooperative relationships, and increased organizational prestige. **1**
47 43 39 35 31 27 46 42 19 15 45 41 38 34 26 23 44 40 37 33 30 22 11 43 39 36 32 29 25 18 **42 35 28 21 14 7** 41 38 17 40 37 34 31 27 24 20 10 39 36 33 30 26 23 19 13 38 35 32 29 22 16 37 34 31 28 25 36 33 30 27 24 21 18 15 12 9 6 3	Element objectives were accomplished effectively and efficiently, with consistently good quality and quantity of work. Activities and related tasks were carried out in an efficient, orderly sequence that led to timely, correct, thorough and cost-effective results. Products were above-average in quality and reliability. Accepted procedures were carried out proficiently and constructively, and problems were dealt with skillfully and productively. Written and oral communication related to the performance of element activities were clear and convincing. **2**
35 32 29 26 34 31 28 25 23 20 17 14 33 30 27 19 11 32 29 26 24 22 16 8 31 28 23 21 18 13 30 25 20 15 10 5 29 27 24 22 17 28 26 23 21 19 14 12 7 27 25 16 11 9 26 24 22 20 18 15 13 25 23 21 19 17 **24 22 20 18 16 14 12 10 8 6 4 2**	Element objectives, activities and related tasks were completed with adequate quality and quantity of work. Products were generally reliable and were delivered without unacceptable delays. Procedures were minimally correct and problems were dealt with satisfactorily. Work methods demonstrated a reasonable degree of cooperation with others. Written and oral communication related to the performance of element activities were generally understandable. **3**

UNSATISFACTORY: Work not successfully completed; Failed to follow directions, guidance and procedures; Insufficient technical knowledge/skill; Work did not meet minimum specifications; Routine problems were not resolved satisfactorily; Written and oral communication poor and not understandable; Exhibited uncooperative/unresponsive behavior; Negative impact to organization; Work unacceptably late; Poor leadership skills; Provided no positive direction to staff; Unable to organize and prioritize work and/or wasted time; Ineffective in working with others.

	ELEMENT #1	ELEMENT #2	ELEMENT #3	ELEMENT #4	ELEMENT #5	ELEMENT #6	ELEMENT #7	**TOTAL**
WEIGHT	0	0	0	0	0	0	0	= 100
SCORE								0

INSTRUCTIONS

RESPONSIBLE OFFICIAL: The Rating Official is responsible for all steps except C-6, which is the responsibility of the Pay Pool Manager.

A. PERFORMANCE PLANNING (Section 1, Items 1-4): Develop the performance plan in collaboration with the employee.

1. **Strategic Goals:** Include the Strategic Goal that each Performance Element will cascade from (Item 1).
2. **Strategic Objective(s):** List the appropriate Strategic Objective(s) relating to the Strategic Goal selected.
3. **Bureau/Operating Unit Goal:** List the bureau/operating unit goal/ strategy/initiative supporting the Department's Strategic Goal/ Strategic Objective(s).
4. **SES Organizational Goal/SES Performance Requirement:** As applicable, list SES performance plan goals relating to bureau/ operating unit program goals/strategies/initiatives.
5. **Performance Element:** Establish the performance elements of the position (Item 2). Fill out a separate Section 1 for each performance element.
6. **Objective:** State the objective(s) of each element.
7. **Element Weight:** Assign a weight to each element in terms of importance or time required, or both. The weight selected must be on the Element Point Ranges. The total weight of all elements must equal 100 points.
8. **Major Activities/Required Results:** List the major activities or required results related to each element (Item 3).
9. **Evaluation Criteria:** Identify how the above activities/required results are to be evaluated. Benchmark Performance Standards must be used. Supplemental standards may be developed, as needed, in accordance with the CAPS Operating Procedures Manual. (Item 4).
10. **Cover Sheet:** Fill out and sign the cover sheet; obtain the signatures of higher level supervisor, (if appropriate) the Pay Pool Manager, Reviewing Official*, and employee in this order.

B. PROGRESS REVIEW (Section 2, Item 5): Conduct quarterly progress reviews with the employee. Additional progress reviews may be conducted at the request of the employee or when the Rating Official determines reviews are necessary.

1. **Discussion:** For each element, discuss with the employee and record: (a) progress toward meeting the element; (b) any need for changes in the plan; and (c) any performance deficiencies and recommendations for improvement.
2. **Recording:** Check one of the blocks indicating the level of performance.
3. **Initialing:** Rating Officials and employees must Initial and date attesting that the progress review took place. If changing the plan, the Rating Official, Pay Pool Manager, Reviewing Official (If appropriate) *, and the employee must initial and date the change.

C. PERFORMANCE APPRAISAL (Section 3, Item 6:): Appraise the employee's performance in accordance with the performance elements, their objectives, activities, weighted values, the Benchmark Performance Standards, and any supplemental standards.

1. **Notification:** Notify the employee of (a) the requirement to submit a list of accomplishments; and (b) the date and time of the Performance Review meeting.
2. **Performance Review Meeting:** Meet with the employee to discuss accomplishments. **Recommended score, rating, performance pay increase or bonus ARE NOT discussed at this meeting.** Obtain the employee's signature and date on the Performance Summary Rating Sheet **PRIOR to recording performance element scores and rating and payout information** (Item 2).
3. **Rating Official's End-of-Year Appraisal:** In Item 6, describe the employee's overall performance in meeting the elements, taking into consideration accomplishments submitted by the employee as well as accomplishments recognized by the Rating Official.
4. **Scoring:** Use the *Element Point Ranges and Benchmark Performance Standards Table* to calculate a tentative total score: (a) Read carefully each *Benchmark Performance Standards* description (and supplemental standards, if any) to determine which *Benchmark Performance Standards* best describes the employee's performance of the element; (b) from the column of scores headed by the weight of the element, select a score for the element that corresponds to the level of performance (e.g., if the weight of the element is 40 points and the performance of the element meets the first *Benchmark Performance Standards* description, assign 40 points; if the performance meets the second *Benchmark Performance Standards* description, assign 28 points; if it meets the third *Benchmark Performance Standards* description, assign 16 points; if it falls between two *Benchmark Performance Standards* descriptions, assign an appropriate score); (c) sum the individual element scores to produce the total performance score.
5. **Recommendations:** Submit tentative overall scores and recommendations for pay increases and bonuses (through higher-level supervisor) to the Pay Pool Manager for approval.
6. **Pay Pool Manager:** Carry out the following steps using the automated performance payout system: (a) record final ratings/ scores; (b) make pay increase decisions; (c) make bonus decisions; (d) record decisions on Form CD-541; (e) sign and date the Summary Rating Sheet; (f) forward to Reviewing Official*; (g) return forms to Rating Official.
7. **Rating Official:** Sign and date the Summary Rating Sheet.
8. **Evaluation Feedback Meeting:** Rating Official meets with the employee to discuss the final decisions: rating, any performance pay increase, and bonus. Obtains the employee's signature, date, and provides the employee a copy of the completed appraisal.

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* If the Pay Pool Manager is also the Rating Official for a position in the pay pool, the Reviewing Official (next higher level in management chain) must review and sign the performance plan and appraisal before feedback to the employee.

Reset