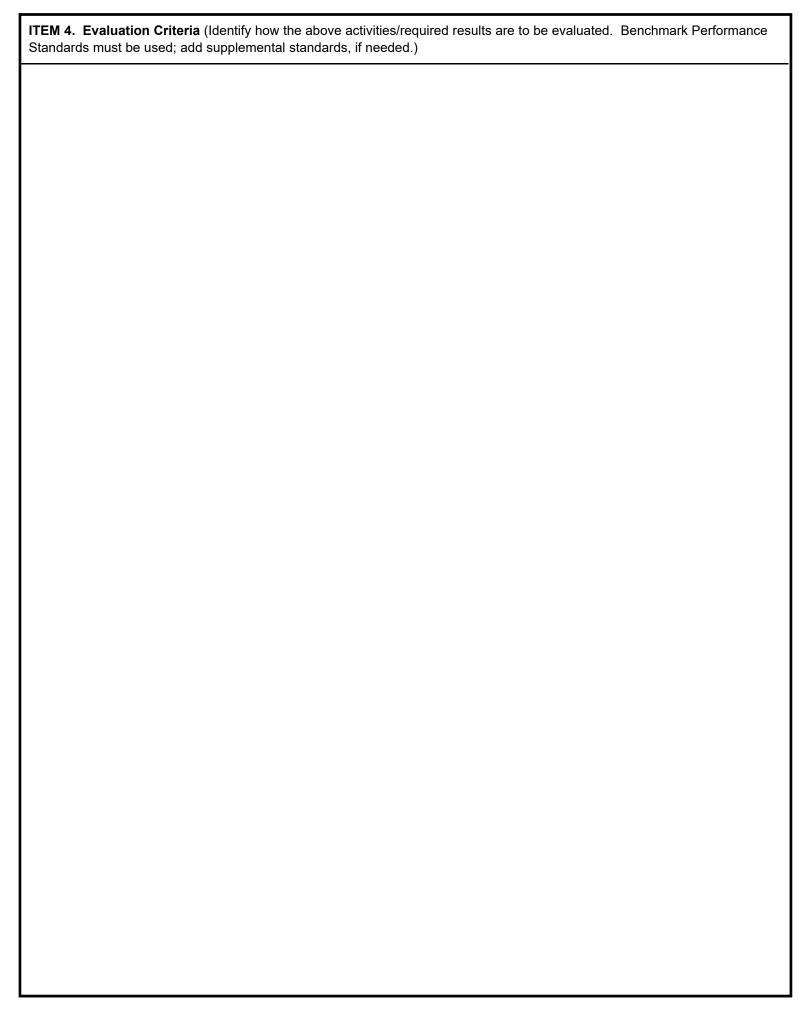
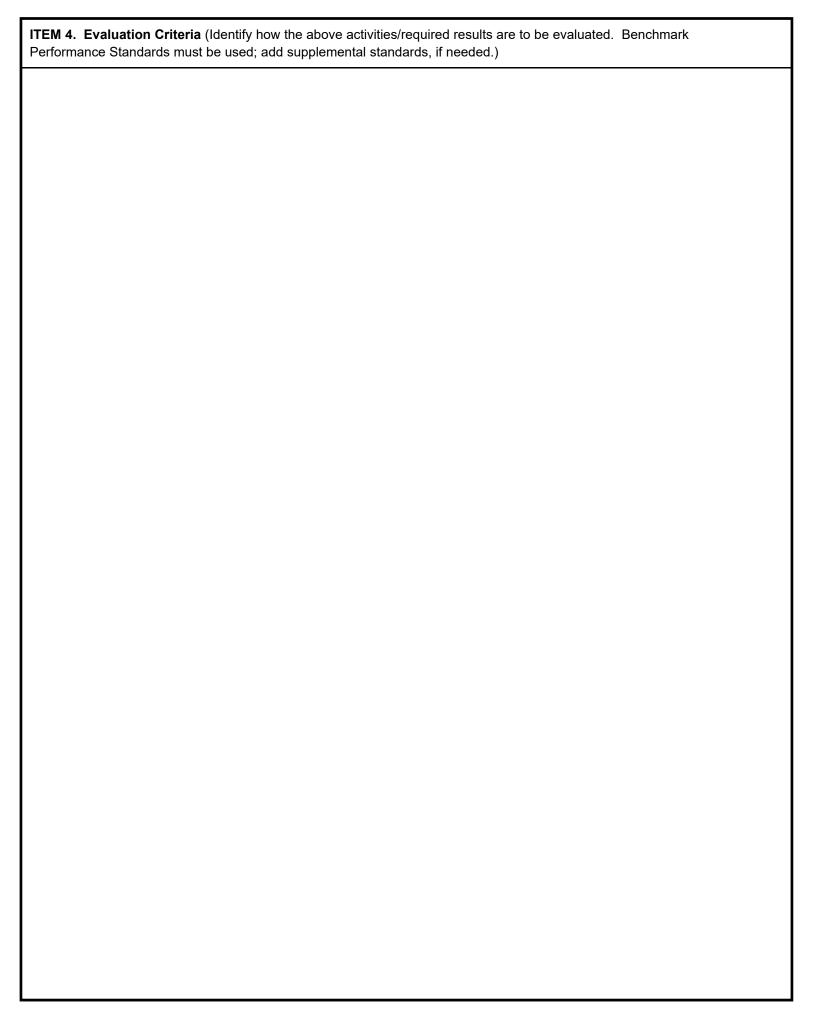
Form CD-541 (9-25)		U.S. DEPARTMENT OF COMMERCE
COMMERCE ALTERNATIVE PERSONNEL S	YSTEM - PERFORMANCE	MANAGEMENT RECORD
PERFORMANCE APPRAIS	AL AND POSITION REV	IEW
Employee's Name		
Position/Title		
Career Path/Series/Band		
Organization	Rating Period	
RATING OFFIC	CIAL'S CERTIFICATION	
I Certify That:		
This plan is a complete and accurate stateme	nt of the performance elements,	objectives, and major activities
that will form the basis of the employee's perf	ormance appraisal.	
The performance plan and position description	n reflect similar objectives, dutie	s, and responsibilities.
Name and Title of Rating Official	Signature	Date
HIGHER LEVEL SUI	PERVISOR CONCURRENCE	CE
I agree with the certification of the position	n description and concur with the	e performance plan.
Name and Title of Higher Level Supervisor (if appropriate)	Signature	Date
PAY POOL MA	_ NAGER'S APPROVAL	I
I agree with the certification of the position	on description and I approve the	performance plan.
Name and Title of Pay Pool Manager	Signature	Date
REVIEWING O	FFICIAL'S APPROVAL	-
This review is appropriate when th	e pay pool manager is also the i	rating official.
Name and Title of Reviewing Official	Signature	Date
EMPLOYEE A	ACKNOWLEDGMENT	
My signature acknowledges discussion of the position necessarily signify ag	n description and receipt of the page of t	performance plan, but does not
Employee's Signature		Date

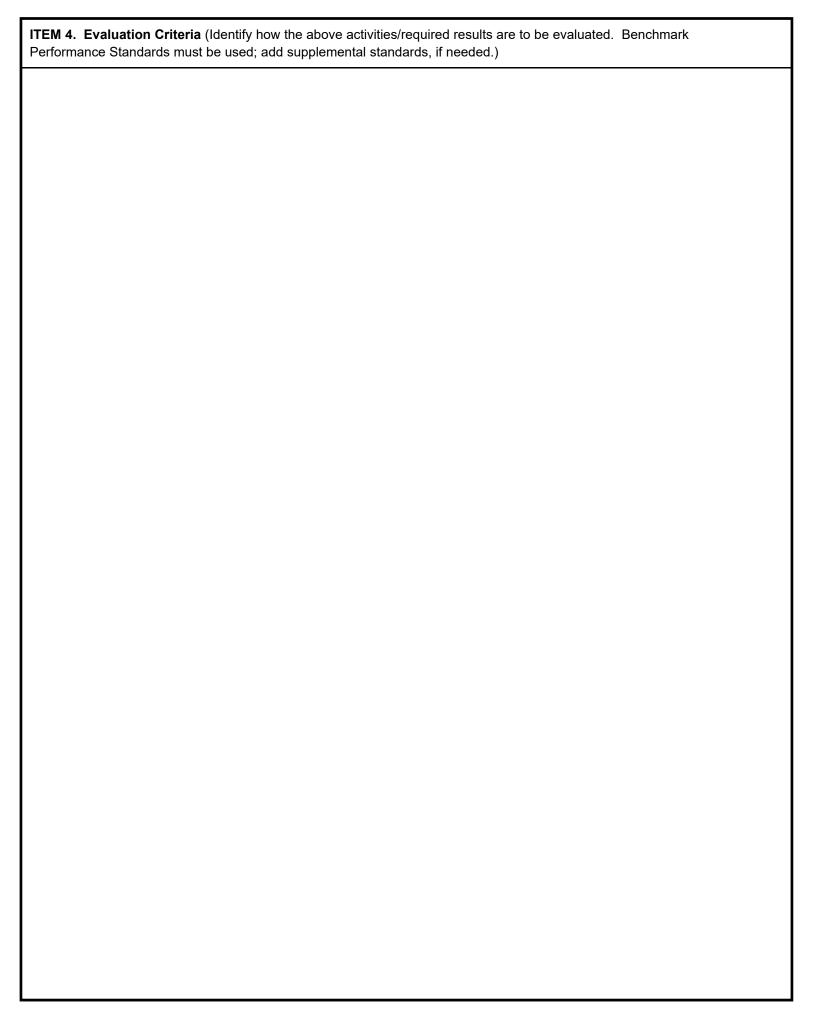
SECTION 1 - PERFORMANCE PLAN		
Employee's Name	Rating Period	Element No.
		of
Cascaded Organizational Goals		
The Department's Strategic Plan identifies key goals. Each of the operating units support. Each critical element must cascade from element must have at least one Strategic Objective. First, select Strategic Objective(s), the bureau/operating unit goal/strategy/init to complete the cascade. The SES performance requirement will employee's chain of command.	n a goal identified for each critical e the appropriate Strategic Goal. Th tiative, and the SES performance re	element, and each critical nen, fill in the appropriate equirement (as applicable)
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Strategic Objective(s):		
Bureau/Operating Unit Goal:		
SES Organizational Goal/SES Performance Requirement (as	s applicable):	
ITEM 2. Performance Element, Objective and Weight (Employed of six critical elements. Supervisor performance plan must contain a mining		
Critical Element:		
Objective:		
ITEM 3. Major Activities or Required Results Related to the Anneed to be accomplished in support of the Strategic Objective(s) of three and a maximum of five activities/results must be listed.)		-
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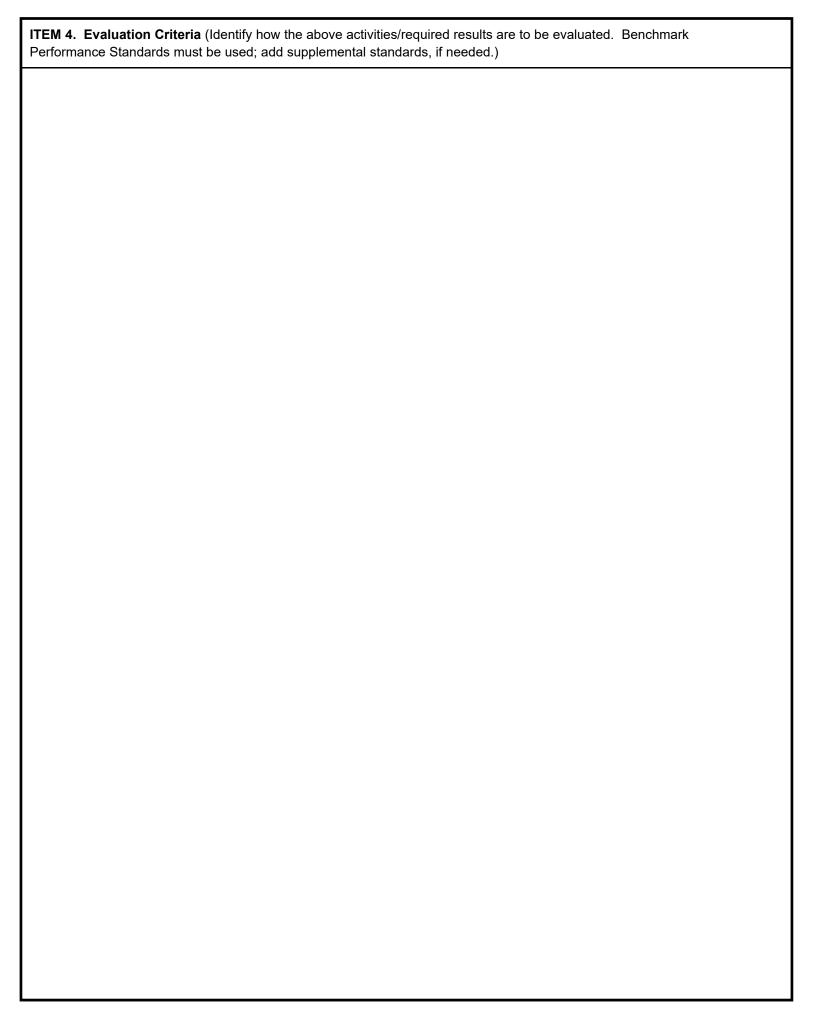
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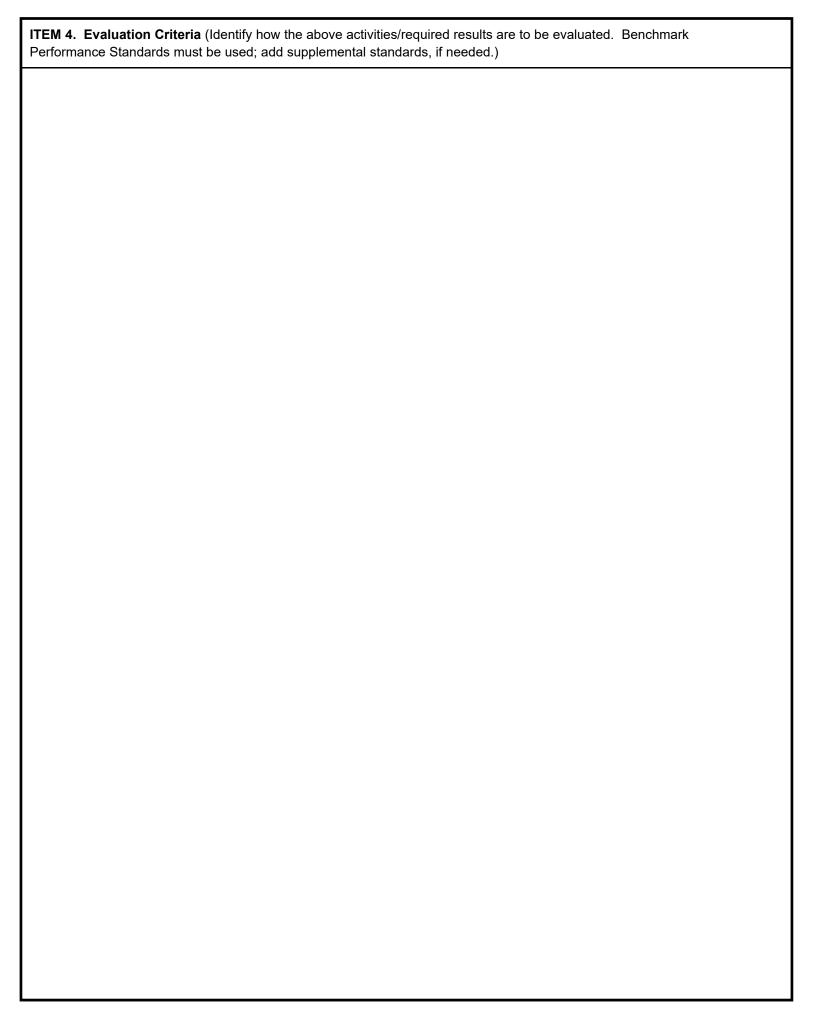
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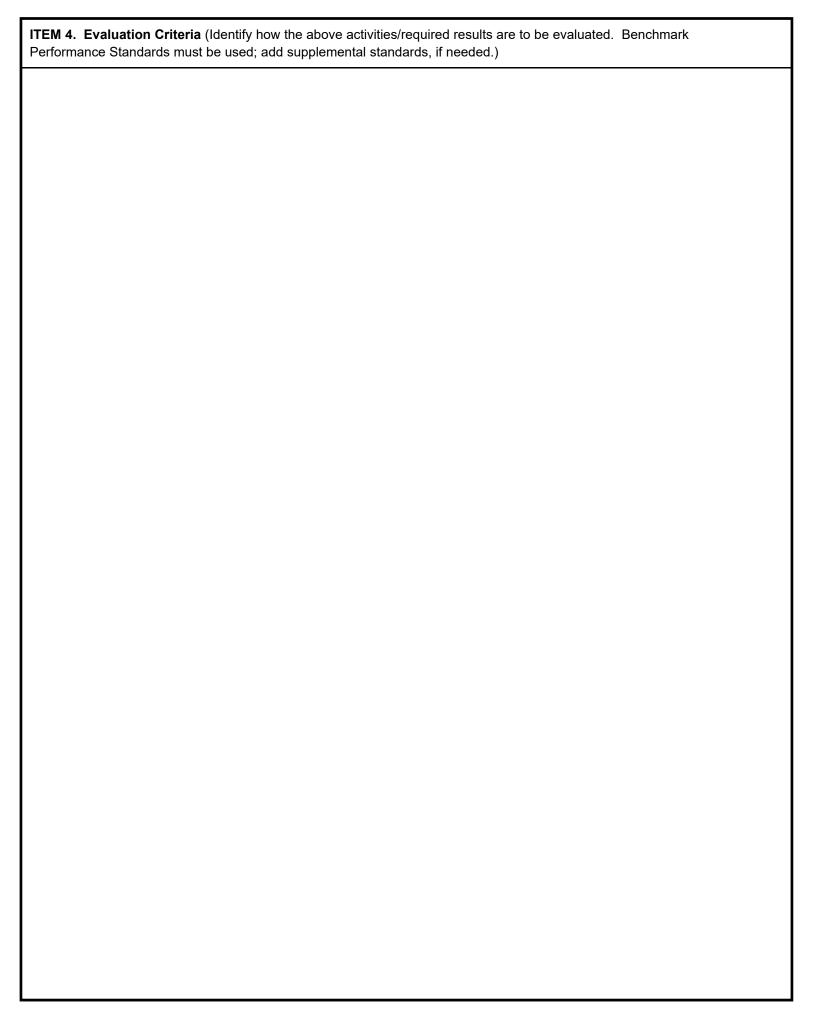
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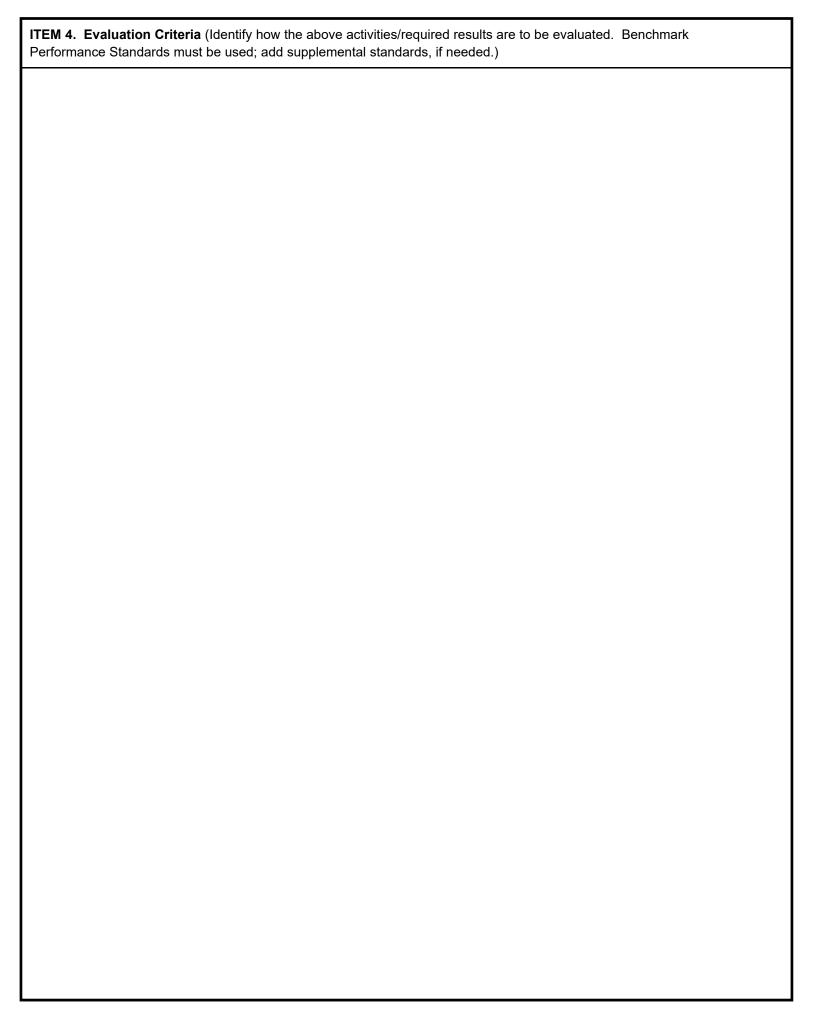
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SECTION 2 - PROGRE	SECTION 2 - PROGRESS REVIEW						
Employee's Name Rating Period							
	Employee's Initials	Date	Rating Official's Initials	Date			
1st Quarter Progress Review							
ITEM 5. Mid-Cycle/Progress	Review (Check appropri	ate box)					
1. Review indicates per	rformance is Eligible.						
2. Review indicates per	rformance is Eligible ; ho	wever, there are per	formance deficiencies, as state	ed below.			
			provement plan is needed. Def ct the servicing HR office.)	iciencies			
Key Achievements, Strengths and identify the strengths exhib	s: Be specific and relate t ited by the employee dur	these to performance	e elements. List areas where	work was done well			
, -	•	.					
Deficiencies, Areas of Conce individual performance element	rn: (Must be filled in if bots. Note deficiencies or a	ox 2 or box 3 above a areas where performate	is checked): Be specific and re ance has declined during the r	late these to ating period.			
Suggestions/Strategies for In also identify suggestions for cal			ee might enhance performanc	e. Comments can			
	Employee's Initials	Date	Rating Official's Initials	Date			
Mid-Cycle Progress Review							
3rd Quarter Progress Review							

SECTION	3 - PERFORMANCE APPRAISAL	
Employee's N	ame	Rating Period
ITEM 6. Rati	ng 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 deficie	ncies, as stated below.
3.	Review indicates performance is deficient and a performance improvement plan i stated below. (If this block is checked, supervisor must contact the servicing HR of	s needed. Deficiencies are
4.	Review indicates that a PIP has not been successfully completed and performance	e is rated Unsatisfactory .
Key Achiever and identify th	ments, Strengths: Be specific and relate these to performance elements. List area e strengths exhibited by the employee during the rating period.	as where work was done well,
Deficiencies, individual perf	Areas of Concern: (Must be filled in if box 2 or box 3 above is checked): Be spec ormance elements. Note deficiencies or areas where performance has declined du	ific and relate these to iring the rating period.
Suggestions also identify s	Strategies for Improvement: List areas in which the employee might enhance peuggestions for career growth and development.	rformance. Comments can

SE	CTION 3 - PERFORMANCE SUMMARY	RATII	NG		
Emp	loyee's Name		F	Rating Period	
0::	ani-atian				
Orga	anization				
	1 1. Scoring				
	List each performance element and its weight.				
	Assign a score to each element. Enter "Unsatisfactory" i		•		
ა.	Complete total score by summing element scores. Tota "Unsatisfactory," there is no total score and the overall r	ating is "U	Insatis	factory."	ore elements are rated
	Performance Element			Weight	Score
1.					
2.					
3.					
4.					
5.					
6. 7.					
7.				TOTAL SCORE	
ITEN	1 2. Rating and Payouts				
	Eligible (All elements scored in the Eligible range)				
	Unsatisfactory (At least one element rated Unsatisfa	ctory)			
	RIF Service Credit 10 Years	了	ırs		
Perf	— •	r Amount		Bonus Amount	
Nam	e and Title of Rating Official	Signature	9		Date
Nam	e and Title of Higher Level Supervisor (If Appropriate)	Signature	9		Date
Nam	e and Title of Pay Pool Manager	Signature	9		Date
Nam	e and Title of Reviewing Official	Signature)		Date
Empl	oyee's Signature (Signifies performance review meeting held)		Employ	ree provided accomplishments? YES DNO	Date
Empl	oyee's Signature (Signifies evaluation feedback meeting held)		Emplov	ree comments attached?	Date
. دا	, G (15 mar 11 mar 10 a a a a a a a a a a a a a a a a a a			YES NO	

	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						INT R	ANG	ES			BENCHMARK PERFORMANCE STANDARDS
60	55	50	45	40	35	30	25	20	15	10	5	Element objectives were achieved with maximum impact through exemplary
59	54	49	44	39								work that demonstrated exceptional originality, versatility, and creativity. Activities and related tasks were carried out with the utmost effectiveness
58	53	48	43	00	34	29	24	40				and reliability, rarely needing room for improvement. Products were of the
57 56	52 51	47 46	42	38	33	28	23	19	14			highest quality. Problems were solved with dedicated perseverance,
55	50	40	41	37	32	27			14			penetrating insight, meticulous attention to detail, and unprecedented
54	00	45	• •	36	02			18		9		success. Potential sources of conflict were anticipated and avoided through creative alternatives. Cooperation and responsiveness were actively
53	49					26			13			promoted wherever possible. Written and oral communication related to the
52	48	44	40		31		22	17				performance of element activities maximized desired results, forged new
51	47	43	39	35	30	25	21					cooperative relationships, and increased organizational prestige.
50	46	42	38	34	29							
49	45	41	37	33								1
48	44	40	36	32	28	24	20	16	12	8	4	
47	40	20	25	24	07							
47 46	43 42	39	35	31	27		19	15				
45	42	38	34		26	23	19	15				
44	40	37	33	30		22			11			
43	39	36	32	29	25		18					
42		35		28		21		14		7		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,
41	38						17					correct, thorough and cost-effective results. Products were above-average
40	37	34	31	27	24	20		40	10			in quality and reliability. Accepted procedures were carried out proficiently
39 38	36 35	33 32	30 29	26	23 22	19	16	13				and constructively, and problems were dealt with skillfully and productively.
37	34	31	28	25	22		10					Written and oral communication related to the performance of element activities were clear and convincing.
36	33	30	27	24	21	18	15	12	9	6	3	activities were clear and convincing.
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	0.5	23	21	18	4-	13	10		_		
30 29	27	25 24	22	20	17	15		10		5		
28	26	23	21	19	17	14	12		7			
27	25	20	21	19	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.
Wo und	rk dic ersta	d not i andab	meet le; Ex	minin chibite	num s ed und	pecifi coope	ication erative	ıs; Ro /unre	outine spons	proble	ms were n havior; Ne	low directions, guidance and procedures; Insufficient technical knowledge/skill; ot resolved satisfactorily; Written and oral communication poor and not gative impact to organization; Work unacceptably late; Poor leadership skills; ze work and/or wasted time; Ineffective in working with others.

ELEMENT POINT RANGES AND BENCHMARK PERFORMANCE STANDARDS TABLE

	ELEMENT #1	ELEMENT #2	ELEMENT #3	FI FMFNT #4	ELEMENT #5	ELEMENT #6	ELEMENT #7	TOTAL
WEIGHT								= 100
SCORE								

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.
- Strategic Goals: Include the Strategic Goal that each Performance Element will cascade from (Item 1).
- Strategic Objective(s): List the appropriate Strategic Objective(s) relating to the Strategic Goal selected.
- Bureau/Operating Unit Goal: List the bureau/operating unit goal/ strategy/initiative supporting the Department's Strategic Goal/ Strategic Objective(s).
- SES Organizational Goal/SES Performance Requirement: As applicable, list SES performance plan goals relating to bureau/ operating unit program goals/strategies/initiatives.
- 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.
- 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.
- 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.
- 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.
- 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.
- 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.
- 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.
- Recommendations: Submit tentative overall scores and recommendations for pay increases and bonuses (through higherlevel 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.

^{*} 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.