

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____

Date 10/01/06

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: Acquire and manage the technology resources to support program goals
- SES/Organizational Goal: Manage the information and technology resources to support program 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 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 are provided with service that is consistent with OCIO standards.

Customers include OCIO staff; Immediate Office of the Secretary; Immediate office of CFO/ASA and its Directorates; Office of General Council; Office of the Inspector General; Commerce operating units; Office of Management and Budget; other federal agencies and the public.

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 communication with the customer.

Customer expectations are managed to ensure that customers understand the type and level of service available and the expected time frame

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 cannot be provided, usually responds to information requests within 48 hours.

Responses or services provided to customers, whether oral or written are delivered in a professional and courteous manner.

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

If on approved absence, an automated notification e-mail message will normally be sent in response to incoming 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 10/01/06 Element No. 2 of 5

Cascaded Organizational Goals

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Critical Element and Objective

E-Government Program Development
 To establish a Department-wide E-Government Program as an integral part of Commerce's information technology (IT) management process

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
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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 E-Government (E-Gov) Program, including paperwork reduction, electronic and information technology accessibility, records management, privacy, information quality, and other IT management activities, is established as a component of an overall strategic management process for Commerce information technology.

Written policies, guidelines, and procedures to define and support the E-Gov Program are developed. These documents are revised to meet new requirements and implement best practices.

Internal call memoranda for E-Gov Program activities such as preparation of E-Gov Implementation Plans, E-Gov Report, Privacy Section of the Federal Information Security Management Act, Information Collection Budget, EIT Accessibility Report, etc. are issued with supporting guidance.

Electronic resources such as software tools and Web sites to support the E-gov process are acquired or developed.

Department-wide E-Gov user groups to support specific components of the E-Gov process, such as EIT accessibility or paperwork reduction, are established and guided.

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 E-Gov Program and its supporting policy, guidance, and procedures are generally sound and useful.

Internal data calls to support the E-Gov program are generally well articulated and are issued within accepted time frames (generally within one week, if responding to an external data call) for operating unit response.

Documents generally reflect sound analysis, are timely, and follow the principles of Writing in Plain English.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____	Date 10/01/06	Element No. <u>3</u> of <u>5</u>
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Cascaded Organizational Goals

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Critical Element and Objective

E-Government Program Execution
 To manage and operate a Department-wide E-Government Program as an integral part of Commerce's IT management process

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. →	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.

Workforce development is provided through a variety of means (formal classroom sessions, demonstrations, panel discussions, one-on-one meetings, exchange programs, etc.) for the E-Gov Program.

Automated tools, Web sites, or other electronic means to support the E-Gov process are provided.

Written analyses of documents such as Privacy Impact Assessments, business cases, benefit-cost analyses, etc. are prepared.

Documents such as the Department's E-Gov Implementation Plan, E-Government Report, Privacy Section of the Federal Information Security Management Act, Information Collection Budget, EIT Accessibility Report, etc. as part of the E-Gov Program are prepared.

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.

Documents generally reflect sound analysis, are timely, follow the principles of Writing in Plain English, and support program goals.

Course evaluations are rated on average acceptable or higher. Web sites provide core information and are generally up to date.

The E-Gov automated tools are available when needed and provide useful support for E-Gov management; user surveys rate the products on average as acceptable or higher.

Commerce meets 50% of the milestones in the E-Gov Implementation Plan within the Department's control.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____	Date 10/01/06	Element No. <u> 4 </u> of <u> 5 </u>
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Critical Element and Objective

Information Technology (IT) Capital Planning and Investment Control Program Development and Execution.
To establish a Department-wide Capital Planning and Investment Control Program as an integral part of Commerce's IT management process

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.) <u>Enter the weight for this element in the adjacent box.</u>→	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.

The Capital Planning and Investment Control (CPIC) Program is established, with particular focus on the Commerce IT Review Board (CITRB), as a component of an overall strategic management process for Commerce information technology.

Written policies, guidelines, and procedures to define and support the CITRB and CPIC Program are prepared. These documents are revised to meet new requirements and implement best practices.

Electronic resources such as software tools and Web sites to support the CITRB and CPIC processes are acquired, developed, or implemented.

Written analyses of IT management documents such as strategic and operational IT plans, business cases, benefit-cost analyses, maturity model justifications, etc. to support the CITRB and CPIC processes are prepared.

Documents such as the CITRB schedule; pre-reviews; meeting announcements, summaries, and evaluations as part of the CITRB and CPIC processes are prepared.

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.

Documents generally reflect sound analysis, are timely, follow the principles of Writing in Plain English, and support program goals.

Web sites provide core information and are generally up to date.

Summaries of CITRB meetings are generally complete, accurate, and prepared within three weeks of the meeting.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____	Date <u>10/01/06</u>	Element No. <u>5</u> of <u>5</u>
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Critical Element and Objective

Leadership (Team Leaders)

Objective: To assist the supervisor in the management of 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.)	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.

The OCIO's strategic plan, mission, vision and values are communicated to the team members and integrated into the team's strategies, goals, objectives, work plans and work products and services.

Projects, problems to be solved, actionable events, milestones, and/or program issues under review, and deadlines and time frames for completion are articulated and communicated to the team members.

Workload and tasks are identified, distributed and balanced among team members in accordance with established work flow, skill level and/or occupational specialization.

Status and progress of work are monitored and reported, checking on work in progress and reviewing completed work to see that the supervisor's instructions on work priorities, methods, deadlines and quality have been met.

Team and individual training needs are 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.

In the opinion of the supervisor through direct observation or feedback from team members, customers and stakeholders:

Work priorities and assignments are generally clear, realistic, and supportive of OCIO programs, and objectives are generally met on or before the deadline.

Work assignments are usually distributed among team members generally within 2 days of receipt from the office director.

Team member evaluations are completed twice annually, with the supervisor.

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
E-Gov Program Development	25		0
E-Gov Program Execution	20		0
CPIC/CITRB Program Development and Execution	25		0
Program Management	15		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> 15 _____			
<input type="checkbox"/> QSI (Level 5 Required)			
Rating Official's Signature/Title			Date
_____			_____
Approving Official's Signature/Title			Date
_____			_____