

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>10/01/06</u>  To: <u>09/30/07</u>

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

Position Title: Customer Service Specialist Pay Plan, Series, Grade/Step: GS-1101-11

Organization: 1. NTIS 3. Office of Sales  
2. O/AD for Customer Services 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 accurate entry of your performance rating into the automated record system.

# PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____	Date 05/24/07	Element No. <u>1</u> of <u>4</u>
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## 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:

Promote progress by serving as the Federal Government's central means of making technical information perpetually and widely available.

### SES/Organizational Goal:

Superior customer relationship management involving order receipt/entry, inquiry and complaint resolution, and product identification functions in the framework of a total quality and customer satisfaction approach.

## 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

35

**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.

- . Customer orders requiring special handling are accepted and recorded.
- . Discrepancies in pricing and availability are reviewed for correction and appropriate action.
- . Responses to customer inquiries for information or services comply with NTIS standards.
- . Customer inquiries are acknowledged, and customers are apprised of the status of the inquiry and when to expect resolution.

**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.

- . Special handling orders are processed within 2 business days.
- . Discrepancies are processed within 1 business day.
- . Routinely responds to each customer request with factually accurate information that is consistent with NTIS and departmental guidance and policies, as well as other relevant program or technical documents.
- . Routinely responds to e-mail and telephone inquiries within 16 business hours. If information is not readily available, usually responds to requests within 24-48 hours.
- . Work products reflect consideration of customer issues and concerns.

# PERFORMANCE PLAN AND APPRAISAL RECORD

<b>Employee Name:</b>	Date 05/24/07	Element No. <u>2</u> of <u>4</u>
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## Cascaded Organizational Goals

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### DOC Strategic Goals:

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- 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:

Promote progress by serving as the Federal Government's central means of making technical information perpetually and widely available

### SES/Organizational Goal:

Superior customer relationship management involving order receipt/entry, inquiry and complaint resolution, and product identification functions in the framework of a total quality and customer satisfaction approach.

## Critical Element and Objective

Staff Assistance

Objective: To provide assistance to office staff that ensures the accomplishment of the Office of Sales organizational goals.

**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
30

**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.

- . Requests from office staff and management are responded to.
- . Customer inquiries regarding product availability are researched and responded to.
- . Complex customer inquiries and problems are addressed and resolved.
- . Feedback concerning customer inquiries and problems is provided to management.
- . Internal offices are consulted when applicable concerning products, services, and customer orders.

**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, requests from office staff and management are responded to within 1 business day.
- . Generally, customer inquiries are responded to ideally the same business day or within 1 business day.
- . Usually, complex inquiries and questions from customers are answered / resolved within 1 business day.
- . Feedback is provided to management verbally and / or in writing.
- . Typically, consultation with other offices is conducted within 1 business day.

## PERFORMANCE PLAN AND APPRAISAL RECORD

<b>Employee Name:</b> _____	<b>Date</b> 05/24/07	<b>Element No.</b> 3 of 4
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### Cascaded Organizational Goals

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#### 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
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- Management Integration Goal: Achieve Organizational and Management Excellence

#### Bureau Goal:

Promote progress by serving as the Federal Government's central means of making technical information perpetually and widely available

#### SES/Organizational Goal:

Superior customer relationship management involving order receipt/entry, inquiry and complaint resolution, and product identification functions in the framework of a total quality and customer satisfaction approach.

### Critical Element and Objective

Information, Product and Title - Knowledge and Assistance  
to provide information on NTIS products and services to our customers resulting in revenue for the agency.

<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>	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.

- . NTIS products and services are identified using in-house tools - CISPUB, LONESTAR, ADSTAR, DIALOG, Government Research Center, and the NTIS web site.
- . Specific bibliographic information is provided to customers, including pricing.
- . Search assistance is provided to customers for locating products and services.
- . On an as needed basis, customer inquiries received via email, fax, and mail are responded to.

**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, products and services are accurately identified within 2 business days.
- . Bibliographic information and pricing is normally provided to customers within 2 business days.
- . Search assistance is usually provided in real-time to customers.
- . Generally, customer inquiries are responded to within 2 business days.

## PERFORMANCE PLAN AND APPRAISAL RECORD

<b>Employee Name:</b> _____	<b>Date</b> 05/24/07	<b>Element No.</b> 4 of 4
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### Cascaded Organizational Goals

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**DOC Strategic Goals:**

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- 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:**

Promote progress by serving as the Federal Government's central means of making technical information perpetually and widely available.

**SES/Organizational Goal:**

Superior customer relationship management involving order receipt/entry, inquiry and complaint resolution, and product identification functions in the framework of a total quality and customer satisfaction approach.

### Critical Element and Objective

system and Order Entry Knowledge  
to be able to locate products and services and enter orders.

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

- . Customer orders are entered into CISPUB.
- . Format availability with applicable pricing is provided to customers.
- . Total costs are calculated, including all applicable fees and / or discounts.
- . Order delivery times are provided to customer.
- . Guidance and assistance on order entry procedures is provided to staff when applicable.
- . Daily record of work accomplishments is produced.

**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.

- . Generally, orders are entered into CISPUB within 2 business days.
- . Usually, formats and pricing are provided in real-time or within 1 business day.
- . Typically, total costs are provided in real-time or within 1 business day.
- . Delivery times are usually provided in real-time or within 1 business day.
- . Assistance is usually provided in real-time when applicable of within 1 business day.
- . Daily record of work accomplishments is completed each business day.

<b>Employee Name:</b> _____			
<b>PERFORMANCE SUMMARY RATING</b>			
<ul style="list-style-type: none"> <li>• List each element in the performance plan.</li> <li>• All elements are critical.</li> <li>• 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)</li> <li>• Score each element by multiplying the weight by the rating level.</li> <li>• Interim ratings should be considered when you prepare the final summary rating.</li> <li>• After each element has been scored, compute the total point score by adding the individual scores.</li> <li>• Rating officials must provide either an overall narrative justification of the summary rating or a written justification for each element rating.</li> <li>• A written justification is required for any element rated below Level 3.</li> </ul>			
<b>Performance Element</b>	<b>Individual Weights</b> (Total must equal 100)	<b>Element Rating</b> (5, 4, 3, 2, 1)	<b>Score</b>
Customer Service	35		0
Staff Assistance	30		0
Information, Product, Title - Knowledge & Assistance	20		0
System Order Entry Knowledge	15		0
<b>TOTAL SCORE</b>			0
<b>PERFORMANCE RATING</b>			
<input type="checkbox"/> <b>Level 5</b> (470 – 500)	<input type="checkbox"/> <b>Level 4</b> (380 – 469)	<input type="checkbox"/> <b>Level 3</b> (290 – 379)	<input type="checkbox"/> <b>Level 2</b> (200 – 289)
<input type="checkbox"/> <b>Level 1</b> (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
		<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>PERFORMANCE RECOGNITION</b>			
<input type="checkbox"/> <b>Performance Award</b> \$ _____ ( % ) <i>Appropriation Code</i> _____ <input type="checkbox"/> <b>QSI</b> (Level 5 Required)			
Rating Official's Signature/Title			Date
Approving Official's Signature/Title			Date