

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: Deputy Regional Director Pay Plan, Series, Grade/Step: _____

Organization: 1. Minority Business Development Agency 3. _____
 2. Dallas National Enterprise Center 4. _____

PERFORMANCE PLAN CERTIFICATION

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 _____	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:** Improve Organizational Effectiveness, Responsiveness and Efficiencies
- SES/Organizational Goal:** Ensures a high degree of responsiveness to leadership, the public, internal and external clients

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.

Responses to customer inquiries for information or services comply with MBDA 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 MBDA 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 24-48 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.
If on approved absence, an automated notification e-mail will normally be sent in response to in-coming 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 _____	Element No. <u>2</u> of <u>4</u>
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- Management Integration Goal: Achieve Organizational and Management Excellence
- Bureau Goal:** Improve Organizational Effectiveness, Responsiveness and Efficiencies
- SES/Organizational Goal:** Effectively develops and executes plans to accomplish strategic goals and objectives.

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
40

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 Dallas National Enterprise Center (DNEC) objectives. DNEC 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 appraisals 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 the DNEC 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 DNEC standards and performance plans/evaluations.
 Staff is constantly being developed to meet changing requirements.
 Performance plans and individual 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** _____ **Element No.** 3 of 4

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- Management Integration Goal: Achieve Organizational and Management Excellence
- Bureau Goal:** Improve opportunities for minority owned-businesses to have access to capital and the marketplace.
- SES/Organizational Goal:** PROGRAM MANAGEMENT: Improve opportunities for MBEs to have access to capital and the marketplace.

Critical Element and Objective

Program Management: Increase opportunities and access to the marketplace and financing for minority businesses.

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.

1. \$10M in contracts are secured for MBEs relative to Gulf Recovery and Rebuilding efforts.
2. 5% of attendees of match making and business-to-business events result in contracts and/or financial transactions for MBEs.
3. At least \$250,000 worth of contracts or business investments to MBEs in the Gulf Coast region is generated from working with the Asian American Pacific Islanders Initiative.
4. Project and staff allocations for contract and financial awards to MBEs are accomplished
5. ROI for NEC increases 4%.
6. Program efficiency Rate for projects is at least 80%.

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.

1. Gulf activity reports are updated monthly and communicated to Headquarters
2. Typically, the Gulf SGI client database is maintained through monthly updates.
3. At least two match making or business-to-business events are held each year.
4. At least two events are hosted in collaboration with AAPI each year.
5. Generally, an Asian American and Pacific Islander database of SGIs MBEs is maintained at least quarterly.
6. In general, weekly, semi-annual and annual project and staff performance assessment reports are submitted in accordance with FFO guidance and office policy.
7. Intervention Plans are submitted for all under performing projects within 30 days of deficient performance indicators.
8. Typically, most of the FFO and grant management requirements are adhered to.
9. Method for quarterly tracking of Program Efficiency rate and ROI is developed and implemented by second quarter.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____	Date _____	Element No. <u>4</u> of <u>4</u>
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- Bureau Goal:** Improve opportunities for minority owned-businesses to have access to capital and the marketplace.
- SES/Organizational Goal:** PROGRAM MANAGEMENT: Improve opportunities for MBEs to have access to capital and the marketplace.

Critical Element and Objective

Advocacy and Marketing: To firmly establish MBDA's leadership role as an advocate for minority business enterprises.

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.

1. Outreach strategy to the Native American community results in 5% increase in contract and financial transactions for Native American Business Enterprises.
2. Promotion, population and use of the MBDA Portal and Phoenix results in an increase of contract matches for MBEs by 5%
3. Activities related to the American Competitiveness and Innovation Initiative result in at least one business transaction for MBE.
4. Updated SBO information is widely disseminated to the minority business community.
5. Relationships are developed with at least 10 corporate or government partners to promote increased procurements opportunities for minority firms.

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.

1. Native American Business Enterprise database is maintained and used to develop outreach strategy by April 30, 2007. Outreach will have been conducted to at least 15 tribal businesses or entities and five major Indian business organizations.
2. System for utilizing leads from Phoenix to generate at least \$1 million in contract matches are developed and implemented by April, 2007. At least one Portal article, success story, etc. is submitted per quarter to populate the Portal.
3. At least one event is organized to promote the American Competitiveness and Innovation Initiative.
4. Updated SBO report is disseminated to the minority business community within 60 days of its release.
5. At least 10 corporate partnerships are developed in FY 2007, with corresponding match making events (LEAP, B2B, etc) developed to promote increased contracting opportunities with minority firms.

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: <ul style="list-style-type: none"> (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 and Management	40		0
Program Management	30		0
Advocacy and Marketing	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> _____			
<input type="checkbox"/> QSI (Level 5 Required)			
Rating Official's Signature/Title			Date
Approving Official's Signature/Title			Date