

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: Financial Management Specialist Pay Plan, Series, Grade/Step: GS-0501-15/03

Organization: 1. Bureau of Industry and Security 3. Office of Comptroller
2. Office of Administration 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 06/01/07	Element No. <u>1</u> of <u>5</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: E2. Focused Management
- SES/Organizational Goal: E.2.2 Demonstrate a high degree of responsiveness to all customers and 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.

Customers include BIS staff; Commerce operating units, Industry; Office of Management and Budget; other federal agencies and the public.

Customer are provided with service that is consistent with BIS standards.

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 listening to customers and systematically gathering their feedback.

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

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 can not be provided immediately upon request, a response is generally provided 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 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: 06/01/07	Element No. <u>2</u> of <u>5</u>
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- Bureau Goal: E2. Focused Management
- SES/Organizational Goal: E 2.1 Implement the President's Management Agenda

Critical Element and Objective

IT Security
E2.1.4 Implement improved IT security infrastructure

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.

IT System security requirements are adhered to when utilizing BIS computing resources in Commerce facilities and while working remotely (i.e., teleworking or on official travel), minimizing the potential for loss or compromise of BIS data.

BIS Internet usage policy is adhered to, avoiding potential for compromise of BIS systems.

BIS computing equipment and data is protected from loss, destruction, unauthorized disclosure, and unauthorized modification.

Loss or compromise of any BIS computing equipment or data is 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.

Completes required annual IT Security refresher training.

Adheres to BIS and organizational rules for acceptable use of the Internet and BIS systems/networks.

Employee reports the loss or compromise of any BIS computing equipment or data to the supervisor within 48 hours of discovery, in accordance with BIS and organizational rules.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____	Date: 06/01/07	Element No. <u>3</u> of <u>5</u>
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- Bureau Goal:** E2. Focused Management
- SES/Organizational Goal:** E 2.1 Implement the President's Management Agenda

Critical Element and Objective

Financial Management support
Support financial management activities to achieve BIS goals and objectives

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.

Reports of commitments and obligations for assigned areas are managed to ensure maximum efficiency for BIS program areas.

Consolidated monthly report of obligations are managed to ensure reporting requirements to BIS senior leadership are met.

Bottom Up Review (BUR) is managed to ensure compliance with Deputy Under Secretary direction.

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.

Report of commitments and obligations are generally updated and reconciled by the 7th of each month. Commitments are generally posted daily and reflects sound analytical thinking.

Consolidated monthly report of obligations are generally developed and submitted to the supervisor by the 10th business day of the month after the closing of financial transactions for the previous month.

Consolidation of initial BUR data requires minor edits by supervisor, and reflects sound analytical thinking.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name:

Date
06/01/07

Element No. 4 of 5

Cascaded Organizational Goals

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- Bureau Goal:** E2. Focused Management
- SES/Organizational Goal:** E 2.1 Implement the President's Management Agenda

Critical Element and Objective

Commerce Business System support
Support Commerce Business System activities to achieve BIS goals and objectives.

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
20

Enter the weight for this element in the adjacent box. →

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.

CBS funds control are managed to ensure compliance with Apportionment schedule process

CBS reconciliation reports are managed to ensure Office of Comptroller staff meet deadlines for reconciling reports of commitments and obligations for assigned areas.

Updates or new developments in CBS are managed to ensure maximum Office of Comptroller efficiency.

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.

CBS funds control reconciled to Apportionment schedules usually within 1-2 working days of receiving OMB approval of Apportionment schedule.

CBS reconciliation report produced and provided to Office of Comptroller staff generally by the 2nd workday after the closing of financial transactions for the previous month.

Office of Comptroller staff informed of new developments in CBS generally within 4-5 working days of receiving updates from NOAA.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____	Date 06/01/07	Element No. 5 of 5
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- Management Integration Goal: Achieve Organizational and Management Excellence
- Bureau Goal:** E2. Focused Management
- SES Organizational Goal:** E 2.1 Implement the President's Management Agenda

Critical Element and Objective

Office of Administration support - Support Office of Administration activities to achieve BIS goals and objectives.

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
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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.

Administrative Instructions are managed to ensure maximum effectiveness of BIS resources.

As approving official for the bankcard, the process is managed to ensure that reconciliation is completed and charged to the correct account.

Correspondence and other documents are produced to advance Office of Administration goals and objectives.

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.

Administrative Instructions for areas of responsibility reviewed annually or as a result of a change in DOC or BIS policy.

As approving official for the bankcard, usually complete the reconciliation by the established deadline.

In general, correspondence and other documents require minor revisions by supervisor, and reflects sound analytical thinking.

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
IT Security	15		0
Financial Management Support	35		0
Commerce Business System Support	20		0
Office of Administration Support	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)
			<input type="checkbox"/> Level 1 (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	
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