

CD-430
(10/05)

U.S. Department of Commerce

PERFORMANCE MANAGEMENT RECORD

Coverage	Bureau Appraisal Cycle	Appraisal Year
<input type="checkbox"/> General Schedule <input checked="" 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: Information Assurance Program Manager Pay Plan, Series, Grade/Step: GS-2210-14/6

Organization: 1. NTIA 3. Information Technology Division
2. Office of Spectrum Management 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 _____

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:** Ensure that the allocation of radio spectrum provides the greatest benefit to all people.
- SES/Organizational Goal:** See FY 2007 DOC-NTIA-OSM Goals, Major Activities, & Performance Elements (October 2, 2006) or updates thereto and also available on the NTIA Employee Resources website.

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.

- Federal agency requests and inquiries are responded to in compliance with OSM standards for quality and timeliness (ITD 10).
- Federal agency requests are acknowledged and customers are kept apprised of the status of inquiry and when to expect resolution (ITD 10).
- Written and oral responses are developed for public inquiries, i.e. customer needs are identified and issues clarified in communications with customer (ITD 10).
- Requests for system support from OSM staff, DOC SIPRNet and Federal agency customers are addressed (ITD 4, ITD 10).
- Requests, datacalls, and inquiries from the Office of the CIO and Office of Management and Budget (OMB) are addressed (ITD 5, ITD 10).
- Feedback is provided to the supervisor regarding the outcome of the NTIA, Departmental, and OMB requests or inquiries (ITD 10).
- (ITD #): For expanded description of each major activity see FY 2007 DOC-NTIA-OSM Goals, Major Activities, & Performance Elements (October 2, 2006) or updates thereto and also available on the NTIA Employee Resources website.

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.

General Measures: Timeliness

Specific Measures: On average, (1) routine NTIA and federal agency requests are addressed within one business day, (2) Departmental and OMB requests are addressed by established deadlines or suspense dates, and (3) emergency customer support requests are addressed within 30 minutes.

General Measures: Quality

Specific Measures: Responses to federal agency requests usually reflect accurate research and complete analysis as determined by the supervisor. Responses to Departmental and OMB requests are typically current, accurate, and technically sound.

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>5</u>
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Cascaded Organizational Goals

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Critical Element and Objective

COMSEC Account Management
 Maintain the NTIA COMSEC account in accordance with National Security Agency standards.

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.

Records are maintained as well as policy and procedures regarding the agency's COMSEC account, keying material and devices (ITD 8).

COMSEC equipment and keying material are available (ITD 8)

COMSEC devices are audited and maintained to ensure functionality and availability of classified OSM systems (ITD 8).

User documentation and Technical Documentation are maintained and updated for all COMSEC devices supported (ITD 4, ITD 8).

Technical support is provided to end users in the use of COMSEC devices. (ITD 4, ITD 10)

(ITD #): For expanded description of each major activity see FY 2007 DOC-NTIA-OSM Goals, Major Activities, & Performance Elements (October 2, 2006) or updates thereto and also available on the NTIA Employee Resources website.

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.

General Measure: Timeliness

Specific Measures: On average, inventory of COMSEC devices and crypto keys completed twice a year.
 Requests for technical end-user support are acknowledged and addressed within one working day.
 Documentation are generally completed by the scheduled dates as specified by the project plan or the supervisor.
 COMSEC keying material and devices are made available for appropriate crypto periods.

General Measure: Quality

Specific Measures: NTIA's COMSEC account is maintained in accordance within NSA standards and policies.
 Maintenance and updates are usually timely scheduled to cause minimal disruption to user access.
 Responses to customer requests are usually clear, concise and unambiguous to the customer.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____	Date _____	Element No. <u>3</u> of <u>5</u>
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Critical Element and Objective

Operational Information Assurance
All OSM IT systems are properly designed, tested, monitored, certified, and accredited.

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.

- OSM IT systems are certified and accredited (ITD 8).
 - OSM IT systems are audited and monitored for compliance (ITD 8).
 - An Information Security Operations Center (ISOC) is established and maintained (ITD 8).
 - A classified computer incident response capability (CIRC) is established and maintained (ITD 8).
 - Personal Identifiable Information (PII) reports are completed (ITD 8).
 - Advice and counsel is provided to the FSMS Team regarding Cross-Domain Solution(s) accreditation (ITD 1, ITD 8).
- (ITD #): For expanded description of each major activity see FY 2007 DOC-NTIA-OSM Goals, Major Activities, & Performance Elements (October 2, 2006) or updates thereto and also available on the NTIA Employee Resources website.

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.

General Measure: Timeliness
Specific Measures: OSM IT systems are certified and accredited prior to being placed into production, upon major changes, or every 3-years.
 Vulnerability scans are completed quarterly and the results provided to the Division Chief.
 Actual and suspected computer incidents are responded to within DOC and National established time frames.
 PII reports are provided to the DOC CIP office by noon of each Tuesday.
 Vulnerability POA&M milestones are met unless extension is granted by the supervisor.
 System security posture reports are provided to the Division Chief on a monthly basis.

General Measure: Quality
Specific Measures: C&A packages meet DOC, DISA, and NIST standards.
 PII reports are usually accurate.
 Computer Incident Reports are usually complete and accurate.
 Incident responses are coordinated in a cooperative manner with the DOC Computer Incident Response Team.

PERFORMANCE PLAN AND APPRAISAL RECORD

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

Leadership
Provide the necessary leadership, management of funding and personnel resources to satisfy the goals and objectives of the Administration, Department of Commerce, NTIA, and the Office of Spectrum Management

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
	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.

Resources are managed to accomplish the Department's Strategic Goals, and NTIA and OSM objectives. NTIA and OSM 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 NTIA and OSM 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 NTIA and OSM 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. _____

5 of 5

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Critical Element and Objective

Information Assurance Policy.

Develop and implement the information assurance policy necessary to protect OSM's networks, servers, workstations, and computers.

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

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.

OSM specific information assurance policy is developed and implemented (ITD 8).

Security documentation necessary to demonstrate that OSM's security policy adequately protects OSM's networks, servers, workstations, and computers are maintained (ITD 8).

OSM's security programs are explained to oversight authorities including OSM's Associate Administrator, NTIA's Chief Information Officer, NTIA's Assistant Secretary, the Department of Commerce Information Technology Security Officer, GAO, and OMB (ITD 8).

A system is developed and maintained to track the conduct of required risk, vulnerability, and annual system self-assessments, security plan updates, contingency plan update and plans, certification and accreditation of systems, update and implementation of Plans of Actions and Milestones (ITD 8).

(ITD #): For expanded description of each major activity see FY 2007 DOC-NTIA-OSM Goals, Major Activities, & Performance Elements (October 2, 2006) or updates thereto and also available on the NTIA Employee Resources website.

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.

General Measure: Timeliness

Specific Measures: Annual system self-assessments are conducted in accordance with DOC published deadlines.
Updated OSM specific IA policy is submitted to the Division Chief for signature by April 1, 2007.
System specific IA status updates are provided to the Division Chief monthly.

General Measure: Quality

Specific Measures: Updated OSM specific IA policy is in compliance with DOC, DISA, and NIST standards.
System specific IA status updates are usually technically accurate and recommended corrective actions are proposed.

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
COMSEC Management	15		0
Operational IA	25		0
Leadership	20		0
IA Policy Development	25		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? <input type="checkbox"/> Yes <input type="checkbox"/> No	Date _____
PERFORMANCE RECOGNITION			
<input type="checkbox"/> Performance Award \$ _____ (%) Appropriation Code _____ <input type="checkbox"/> QSI (Level 5 Required)			
Rating Official's Signature/Title _____			Date _____
Approving Official's Signature/Title _____			Date _____