

### 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: \_\_\_\_\_

Position Title: Information Technology Specialist Pay Plan, Series, Grade/Step: GS 2210 12

Organization: 1. Economic Development Administration 3. \_\_\_\_\_

2. Office of Information Technology 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

<b>Employee Name:</b> _____	<b>Date</b> 06/01/07	<b>Element No.</b> 1 of 5
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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:** Deploy a skilled, knowledgeable and strategy-focused workforce
- SES/Organizational Goal:** Move organization to a culture of performance

### Critical Element and Objective

Customer Service  
To respond to internal and external customers, stakeholders, and the public.

<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> 20
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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.

1. Customers, both internal and external, received the services as defined by the functions and responsibilities of the organization and customer expectations were managed to ensure customers understood the type and level of service available and expected time frames.
2. Relationships are established and maintained with counterparts in Department and other DOC bureaus and these relationships facilitate the accomplishment of EDA and Department goals and activities.
3. The supervisor is kept apprised of any problematic or controversial issues and provided recommendations for the resolution of such issues.
4. Organizational objectives are achieved through communication and collaboration with other Agency and Department offices and other Department bureaus.
5. Customer inquiries are acknowledged, needs are identified, issues are clarified, and customers are apprised of the status of the inquiry and when to expect resolution.
6. 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.

1. Pro-actively identifies and addresses customer needs and expectations.
2. Routinely and timely responds to customers with factually accurate information that is consistent with EDA and Department guidance and policies and relevant program or technical documents.
3. Service and work products reflect consideration of customer issues and concerns.
4. Writing reflects sound analytical thinking, presents concise, well-reasoned conclusions, and is free of grammatical and typographical errors.
5. Oral communication with superiors, peers, subordinates, and others is clear, courteous, consistent with Agency, Department and Administration policies and directly addresses issues and questions.

## PERFORMANCE PLAN AND APPRAISAL RECORD

<b>Employee Name:</b> _____	<b>Date</b> 06/01/07	<b>Element No.</b> <u>  2  </u> of <u>  5  </u>
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- Management Integration Goal: Achieve Organizational and Management Excellence
- Bureau Goal:** Provide property accountability
- SES/Organizational Goal:** Consolidate key administrative system

### Critical Element and Objective

Property Accountability Officer  
Administer and maintain a system of control and accountability for personal property

<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> 20
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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.

1. Custodial areas are defined and Property Custodians (PCs) are recommended.
2. Physical inventories are reconciled by investigating and resolving discrepancies in conjunction with the Property Office (PO) and Property Custodians.
3. Form CD-52 "Report of Review of Property" is reviewed, verified and submitted for approval to the Property Management Officer (PMO).
4. The property inventory program is managed; excess property is properly disposed of properly and appropriate inventories are scheduled and performed.
5. The process for receiving accountable property is adhered to; CD-50s, Personal Property Control (or equivalent) from the Property Custodians are reviewed and approved.
6. Acquisition documentation is provided to Property Custodians for newly acquired property.

**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. Physical inventories are reconciled within 30 calendar days after completion of the inventory.
2. Form CD-52 is reviewed for accuracy and supporting documentation and submitted for approval to the Property Management Officer (PMO) within 5 business days of receipt.
3. Form CD-50, Personal Property Control (or equivalent), is reviewed, verified, and approved within 5 business days of receipt.
4. Custodial areas are defined within 10 working days of appointment, as necessary.

## PERFORMANCE PLAN AND APPRAISAL RECORD

<b>Employee Name:</b> _____	<b>Date</b> 06/01/07	<b>Element No.</b> <u>3</u> of <u>5</u>
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### Cascaded Organizational Goals

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- Management Integration Goal: Achieve Organizational and Management Excellence
- Bureau Goal:** Acquire and manage the technology resources to support program goals
- SES/Organizational Goal:** Enhance the efficiency and effectiveness of IT resources

### Critical Element and Objective

Equipment Installation and Maintenance

To support EDA IT equipment users in installation, maintenance and use of standard EDA desktop, laptop, handheld and peripheral hardware

**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: →**

<b>Element Weight</b>
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. Implementation of automated tools is achieved for EDA users.
2. Equipment problems are identified, documented and resolved.
3. Service for hardware and peripherals is performed or ordered when needed.
4. Toner and other printer supplies are available to support Agency printers.
5. Proper check-out and other authorization forms are completed and filed as appropriate.
6. Physical security of equipment is maintained.

**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. Operational status of Headquarters' desktop equipment and peripherals is routinely monitored and status is reported in writing at least annually.
2. Set-up and removal of user equipment is routinely performed within 48 hours (unless extenuating circumstances are present and reported).
3. Repair or replacement of standard EDA HQ hardware and peripherals generally results in no more than 4 hours client downtime; in the event of significant equipment problems, supervisor is alerted a timely manner.
4. Appropriate stock of printer supplies is maintained and records of printer supply purchases are generally adequately documented, maintained, and filed.
5. User Access Authorization Forms, Certification Forms, Check-out Forms and any other equipment or access management forms required by DOC or EDA policy or the CIO are completed before assignment of equipment, and the forms are adequately maintained and filed.
6. Unassigned equipment is stored safely and securely and assigned equipment is installed in a manner that provides for adequate user safety.

## PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: \_\_\_\_\_

Date  
06/01/07Element No. 4 of 5

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- Management Integration Goal: Achieve Organizational and Management Excellence
- Bureau Goal: IT security program maturity
- SES/Organizational Goal: Assure security, reliability and compatibility are at the forefront of all IT activities

### Critical Element and Objective

Security and System Administration Backup

To provide backup support for information technology security and system administration functions.

**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. Back-up and off-site storage for major business application systems is maintained.
2. UNIX passwords and system logs are monitored.
3. Agency's Annual Security Awareness program is completed and documented.
4. Security Awareness Training is available to and completed by all new EDA Headquarters' employees.
5. Management assistance is provided for the Agency Incident Response program.
6. ITSO is provided assistance and support for IT Security Program.

**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. Production application server is backed up weekly, tapes are changed weekly, exports are copied to CD weekly, backup copies are mailed to appropriate locations weekly and tape log book is maintained adequately on a weekly basis.
2. UNIX system logs are checked weekly for unusual activities and system messages, and file systems are scanned at least monthly to detect intrusion attempts.
3. UNIX passwords are changed at least quarterly, and within one day of departure of staff with password knowledge.
4. Agency's Annual Security Awareness requirements are generally met before established deadlines by enabling end-user access to on-line training vehicles used to conduct training, troubleshooting end-user access issues and resolution of problems in a timely manner. Progress reports are provided to ITSO and CIO at least weekly on the status of training, and supervisor is notified within one day of potential problems.
5. Incident Response reports are generated by established deadlines and according to procedures detailed in Agency Directive 708.01 "Incident Response Policy and Procedures" and any other related DOC or EDA policies, as directed by the CIO to support the ITSO. ITSO is provided assistance with documentation and implementation of security policies and procedures as needed, when approved by CIO.

## PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: \_\_\_\_\_

Date  
06/01/07Element No. 5 of 5

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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:** Acquire and manage the technology resources to support program goals
- SES/Organizational Goal:** Improve productivity and efficiency through the use of IT

### Critical Element and Objective

#### Special Projects

To accomplish ad hoc projects which facilitate mission accomplishment.

**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. Project goals and deliverables are identified.
2. Background research is conducted.
3. Project plans are developed.
4. Coordination among all concerned parties is accomplished.
5. Priorities are identified.
6. Objectives and specific deliverables are accomplished.

**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. Plans are generally comprehensive and usually include a clear definition of the objectives and the specific deliverables, a thorough analysis of the issue(s), the sequence of steps involved, priority concerns, and estimates of the time to complete each phase.
2. Concerned parties are usually informed weekly, or at mutually agreed upon time frames, of the status of the work and any problems that may have arisen.
3. Research is generally conducted in an efficient and comprehensive manner reflecting evidence that relevant laws, regulations, and/or other sources of information were investigated or analyzed.
4. Work products are generally technically accurate and usually without grammatical or typographical errors. Appendices, graphics, and supplemental materials are included as necessary.
5. The objectives and specific deliverables are usually accomplished by the assigned due date.

<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:               <ul style="list-style-type: none"> <li>(5) Level 5 (highest level of performance); (4) Level 4; (3) Level 3; (2) Level 2; (1) Level 1 (unacceptable performance)</li> </ul> </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	20		0
Property Accountability Officer	20		0
Equipment Installation and Maintenance	30		0
Security and System Administration Backup	15		0
Special Projects	15		0
<b>TOTAL SCORE</b>			<b>0</b>
<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 (Level 5 Required)</b>			
Rating Official's Signature/Title			Date
Approving Official's Signature/Title			Date