

**COPY ORIGINAL  
OF YOUR  
INFORMATION**

CD-430 (10/05)	U.S. Department of Commerce
<b>PERFORMANCE MANAGEMENT RECORD</b>	

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: Supervisory IT Specialist Pay Plan, Series, Grade/Step: GS-2210-14/07

Organization: 1. DOC/NOAA 3. Pacific Marine Environmental Laboratory  
2. OAR 4. Computing & Network Services Division

**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> _____	<b>Element No.</b> <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: Provide critical support for NOAA's mission
- SES/Organizational Goal: Ensures a high degree of responsiveness to organizational leadership, the public, and internal and external customers (i.e., external contacts, staff bureaus, Department, customer agencies, private citizens).

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

- 1. Responses to customer inquiries for information or services comply with office standards.
- 2. Customer inquiries are acknowledged, and customers are apprised of the status of the inquiry and when to expect resolution.
- 3. Customer needs are identified, and issues are clarified in communications with the customer.
- 4. Customer expectations are managed to ensure that customers understand the type and level of service available and expected time frames.
- 5. 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. Routinely responds to each customer request with factually accurate information that is consistent with office and departmental guidance and policies, as well as other relevant program or technical documents.
- 2. Work products reflect consideration of customer issues and concerns.
- 3. 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.
- 4. 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.
- 5. Oral responses to customers are usually clear, courteous and directly address issues and questions.
- 6. 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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## Critical Element and Objective

Leadership  
o manage assigned programs and resources.

<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> →	Element Weight 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.

- . Resources are managed to accomplish the Department's Strategic Goals and PMEL/OAR objectives. 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 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 PMEL 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 PMEL 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

<b>Employee Name:</b> _____	Date _____	Element No. <u>3</u> of <u>4</u>
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- Bureau Goal: Provide critical support for NOAA's mission
- SES/Organizational Goal: Increase internal & external availability, reliability, security and use of NOAA information, technology and services.

## Critical Element and Objective

Computer and network systems support and operation  
 to provide a stable and secure high performance computing and network infrastructure for PMEL

<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>	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.

- . PMEL central computer systems, networking infrastructure and data communications resources are operated and maintained for shared use by PMEL Personnel.
- . Special purpose servers and desktop systems are administered in concert with project requirements and NOAA IT policies.
- . Consultation and assistance is provided for PMEL personnel when developing project IT requirements and troubleshooting computing and network system problems.
- . PMEL it resources are secured to an acceptable level of risk to allow researchers and staff to carry out the mission of the laboratory.
- . PMEL public network services are provided for dissemination of PMEL data and information products.

**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.

- . Quality - The PMEL central computing and network infrastructure is usually available for use 98% of the time. In most cases, special purpose servers and desktop systems are configured to meet project requirements. It security solutions that are implemented commonly reflect sound security planning and are consistent with NOAA IT security policies. When discovered, high risk IT security vulnerabilities are usually either eliminated or steps are taken to mitigate the risk presented. Generally PMEL public services are accessed by a limited number of content providers, supported by a minimum number of technical staff, security risks are reduced as much as possible and the systems are isolated from other PMEL networks. In most cases the level of service provided for users at the field location in Newport is equivalent to that provided in Seattle.
- . Timeliness - System or network outages are usually investigated within 4 hours of receiving notification and problems are resolved within 24 hours. Ordinarily documents required for the PMEL IT security certification and accreditation process are submitted prior to the requested deadlines. In most cases required modifications to IT security controls will be made within 45 days.
- . Cost Effectiveness - Usually applies cost controls by reviewing operating costs and eliminating those items that are no longer essential for maintaining smooth and stable operations.

# PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: \_\_\_\_\_ Date \_\_\_\_\_ Element No. 4 of 4

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- Management Integration Goal: Achieve Organizational and Management Excellence
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- SES/Organizational Goal: Increase internal and external availability, reliability, security and use of NOAA information technology and services.

## Critical Element and Objective

MEL information technology planning and development  
to identify and implement new technology that supports the PMEL mission

<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> 30
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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. Improved and enhanced computing and network capabilities for PMEL, are planned and implemented.
- 2. An understanding of PMEL's computing and network resource requirements is maintained.
- 3. Available technologies that could meet PMEL IT requirements are researched.
- 4. Appropriate solutions are evaluated and tested for potential deployment within PMEL.
- 5. A high performance research network is provided for PMEL researchers.

**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. Quantity - Normally implements 2-3 major improvements or enhancements to the PMEL computing and network infrastructure. Ordinarily provides technology refreshment for 3 CNSD desktop systems.
- 2. Timeliness - In most cases solutions are evaluated and implementation recommendations are completed within 30 days. Usually deploys IT solutions within 60 days of procurement.
- 3. Quality - IT solutions that are deployed usually reflect sound technical analysis, are consistent with industry best practices and are in line with the agency required architecture. In most cases the high speed research network is able to meet the requirements of PMEL researchers.

<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 (Total must equal 100)</b>	<b>Element Rating (5, 4, 3, 2, 1)</b>	<b>Score</b>
1. Customer Service	20		0
2. Leadership	20		0
3. Computer & network systems support & operation	30		0
4. Information technology planning and development	30		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
Eddie N. Bernard, Director			
Approving Official's Signature/Title			Date
Employee's Signature (indicates appraisal meeting held)			Date
Russell L. Ricahrds		Employee comments attached?	
		<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>PERFORMANCE RECOGNITION</b>			
<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