

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: Supervisory Survey Statistician Pay Plan, Series, Grade/Step: GS-1530-15/

Organization: 1. DEPARTMENT OF COMMERCE 3. DMD
2. U.S. CENSUS BUREAU 4. ADC for Geographic & Stat Programs

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. 1 of 4
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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:** Develop, prototype, test, and integrate new and streamlined methods for the 2010 Census, taking advantage of the American Community Survey, the enhanced MAF/TIGER, and the results of Census 2000.
- SES/Organizational Goal:** Plan an coordinate the development, management, integration, and implementation of the 2010 Census.

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.)

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.

- Responses to customer inquiries for information or services comply with Bureau 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.

- In the opinion of the supervisor as a result of direct observation and/or discussion with customers and/or peers:
- Routinely responds to each customer request with factually accurate information that is consistent with Bureau 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 2 business days. If information is not readily available, customer is informed of this and given an expected day of delivery for information. Complete responses to customers are generally provided within 5-7 days from date of receipt, or within other time frames specified by the supervisor or program requirements.
 - 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
06/01/07

Element No. 2 of 4

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: Develop, prototype, test, and integrate new and streamlined methods for the 2010 Census, taking advantage of the American Community Survey, the enhanced MAF/TIGER, and the results of Census 2000.

SES/Organizational Goal: Plan and coordinate the development, management, integration, and implementation of the 2010 Census.

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
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.

- Resources are managed to accomplish the Department's Strategic Goals and DMD objectives. DMD priorities are communicated to staff.
- Employees are coached to realize their potential, using training programs and other methods, to increase staff productivity. Employees are motivated to achieve high performance and to produce high quality products and materials.
- 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.
- 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 DMD to ensure the confidentiality data.
- A safe work environment is provided for all employees with an ongoing focus on safety and health issues, and employees are familiar with their respective evacuation routes.
- Equal opportunity and diversity principles are applied to all aspects of program and human resources decisions and in compliance with merit system principles. Support is demonstrated for EEO policy and programs in employment activities, including through the implementation of the affirmative employment program. Employee grievances and allegations of discrimination receive a prompt response with the goal of resolution at the lowest organizational level.

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 DMD standards and performance plans/evaluations.
- Staff is constantly being developed to meet changing requirements.
- Performance plans are in place by November 30.
- The first progress reviews are conducted by February 28. The second progress reviews are conducted by June 30.
- Performance appraisals and ratings are completed by October 31.
- Mid-year progress reviews are conducted by April 30.
- The Performance Evaluation Automated Reporting System (PEARS) is maintained and usually kept current to facilitate the Bureau's completion of the Department's CD-431 reporting deadlines.
- Non-discrimination in the workplace is demonstrated by: a) ensuring that individuals are not denied employment or career advancement opportunities because of their sex, race, religion, national origin, sexual orientation, color, age, disability, or any other non-merit factor; b) ensuring that any form of discrimination or sexual harassment is not tolerated; and c) providing developmental opportunities to subordinates to help them fully participate in the goal of achieving workforce diversity.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____

Date
06/01/07

Element No. 3 of 4

Cascaded Organizational Goals

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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
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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: Develop, prototype, test, and integrate new and streamlined methods for the 2010 Census, taking advantage of the American Community Survey, the enhanced MAF/TIGER, and the results of Census 2000.

SES/Organizational Goal: Plan and coordinate the development, management, integration, and implementation of the 2010 Census.

Critical Element and Objective

Business Results

To provide effective program management and meet outlined 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.

1. Program requirements are developed in accordance with program objectives including:
 - a. Develop and review of requirements;
 - b. Develop and maintain schedules;
 - c. Develop cost estimates and associated budget documents;
 - d. Develop risk documentation and manage risk mitigation strategies;
 - e. Perform change control as necessary.
2. Assigned programs/projects are administered in an effective and efficient manner.
3. Recommendations to improve programs/projects are offered.
4. Program documentation is accurate, thorough, and completed in a timely manner.
5. Budget allocations are reviewed for each assigned project for FY08 and FY13 and are revised appropriately to reflect Department of Commerce, Office of Management and Budget, and Congressional pass-backs.
6. Monthly project variances are analyzed and End of Year projections provided for FY07.

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. Assigned programs/projects are monitored for effectiveness and changes are recommended that improve operations.
2. Technical advice and guidance is generally accurate.
3. Deadlines associated with assigned programs/projects are usually met, with no more than two missed deadlines within one month.
4. Assigned budget exercises are generally completed accurately and promptly, with no more than one missed deadline within one month.
5. Participation in monthly budget variance reporting is required, when assigned by supervisor, and is generally completed accurately and promptly.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____

Date
06/01/07

Element No. 21 of 4

Cascaded Organizational Goals

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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:** Meet the needs of policymakers, businesses, nonprofit organizations, and the public for current and benchmark measures of the U. S. population, economy, and governments.
- SES/Organizational Goal:** Develop, prototype, test, and integrate new and streamlined methods for the 2010 Census, taking advantage of the American Community Survey, the enhanced MAF/TIGER, and the results of Census 2000.

Critical Element and Objective

Secure and Continuous Operations

To support the efforts of the Census Bureau to properly secure and protect Title 13 and Title 26 data, account for and properly care for assigned equipment, and to follow proper safety policies and procedures.

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. Census Act (Title 13) data and other work products containing Personal Identifiable Information (PII) are properly used, stored, secured and maintained in compliance with the legal and reporting obligations levied by the Census Act (Title 13), the Privacy Act, and other applicable statutes, including the requirements of governmental and other suppliers of data to the Census Bureau to ensure the privacy and confidentiality of collected data.
2. Assigned accountable property is in proper working order and available to support the Bureau's mission through proper care, reporting malfunctioning, damaged, or lost property and that it is made available for inventory.
3. A safe work environment is maintained by being familiar with primary and alternate evacuation routes, designated assembly areas, and reporting safety and health issues to their 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.

As determined by direct observation by the supervisor and/or discussions with customers, stakeholders, and/or peers:

1. Work products containing Personal Identifiable Information (PII) are not left unattended or unsecured and suspected lost or stolen sensitive data are reported promptly, within one (1) hour of discovery, to the Computer Security Incident Response Team.
2. Information Technology (IT) resources are used in accordance with current Bureau policies, workstations are properly secured when not in use or unattended, and required IT security training is completed by the Census Bureau required deadline.
3. Property is used solely for government purposes, not for personal or private use, not damaged through negligence, and reported to ACSD promptly, usually within 2 working days, if it is lost, stolen, or not working properly.
4. Presents accountable property for inventory promptly after requested by the supervisor, Property Management Technician, Property Liaison, or Property Custodian. Promptly for equipment used primarily on site is within 4 hours and for equipment primarily used offsite within 1 day.
5. Reviews the Occupant Emergency Plan and evacuation routes annually.

Employee Name: _____

PERFORMANCE SUMMARY RATING

- 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	25		0
Leadership	25		0
Business Results	35		0
Secure and Continuous Operations	15		0
TOTAL SCORE			0

PERFORMANCE RATING

Level 5 (470 – 500)
 Level 4 (380 – 469)
 Level 3 (290 – 379)
 Level 2 (200 – 289)
 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? <input type="checkbox"/> Yes <input type="checkbox"/> No
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