

SENIOR EXECUTIVE/PROFESSIONAL PERFORMANCE AGREEMENT

Employee's Name: _____

Position Title: _____

Pay Plan, Series: _____

Organization:

1. _____ 4. _____

2. _____ 5. _____

3. _____ 6. _____

Rating Period: _____

Covered By: Senior Executive Service Other _____

CERTIFICATION OF DEVELOPMENT AND RECEIPT OF PERFORMANCE AGREEMENT

The employee and immediate supervisor have jointly reviewed these responsibilities to ensure mutual understanding.

Employee Signature: _____

Date: _____

My signature acknowledges that I had an opportunity to provide input into the development of this plan; that it was discussed; and that I received a copy of the plan. It does not necessarily signify agreement. It also certifies that I understand how my individual performance is linked to the organization's mission and goals.

Supervisor's Signature: _____

Date: _____

Reviewing Official's Signature: _____

Date: _____

PROGRESS REVIEWS

Employee's Initials & Date

Employee's Initials & Date

Employee's Initials & Date

Supervisor's Initials & Date

Supervisor's Initials & Date

Supervisor's Initials & Date

Name:
 Title:
 Organization:

Department of Commerce ♦ Senior Executive Performance Plan ♦ FY _____

This chart displays the Department’s goals and the executive’s bureau or office goals, shows their relationship to the executive’s performance objectives, and indicates the minimum requirement for a “fully successful” rating for each performance objective.

Departmental Strategic Goals

1. Provide the information and tools to maximize U.S. competitiveness and enable economic growth.
2. Foster science and technological leadership.
3. Observe, protect, and manage the earth's resources to promote environmental stewardship.
4. Achieve organizational management excellence.

Bureau/Office Strategic Goals

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.

Critical Performance Elements	Relates to Departmental Goal(s) #	Relates to Bureau/Office Goal(s) #	Required for “Fully Successful”
1. Leadership/Management (25%).			(Appendix A)
2. Customer/Client Service Responsiveness (15%).			(Appendix A)
3.			
4.			
5.			

Name:
Title:
Organization:

Senior Executive Performance Plan: Performance Matrix and Summary

Critical Element:

Objective(s)	Activities	Outcome Measure(s)	Results/Accomplishments

DEPARTMENT OF COMMERCE Senior Executive Service APPRAISAL RECORD (Point System)	Employee Comments Attached? Yes <input type="checkbox"/> No <input type="checkbox"/>	APPRAISAL PERIOD FROM: _____ TO: _____
NAME (Last, First, MI)	BASE SALARY	TITLE
BUREAU	OFFICE	
DATE ENTERED SES	DATE STARTED SES APPOINTMENT AT DOC	
SUPERVISORS INITIAL RATING		
CRITICAL PERFORMANCE ELEMENTS (indicate weight in the column)	ELEMENT RATING (1 - 5)	SCORE
1. Leadership/Management	25%	
2. Customer/Client Service Responsiveness	15%	
3.		
4.		
5.		
TOTAL →	100%	
SUMMARY RATING (Check One)		
OUTSTANDING <input type="checkbox"/> (470-500) COMMENDABLE <input type="checkbox"/> (380-469) FULLY SUCCESSFUL <input type="checkbox"/> (290-379) MINIMALLY SATISFACTORY <input type="checkbox"/> (200-289) UNSATISFACTORY <input type="checkbox"/> (100-199)		
Employee's Signature: _____		Date: _____
Supervisor's Signature: _____		Date: _____
OPTIONAL HIGHER LEVEL REVIEW (at employee request) <input type="checkbox"/> Yes - see attached		
Higher Level Review Recommendation on initial rating: <input type="checkbox"/> Concur with Supervisory Summary Rating <input type="checkbox"/> Change Summary Rating to (specify): _____		
Higher Level Reviewer Signature : _____ Title: _____ Date: _____		

SUPERVISORY RECOMMENDATION

Summary Rating: _____ Bonus _____% Pay Adjustment _____%

Distinguished Rank Award Meritorious Rank Award

PRB RECOMMENDATIONS *(Check as Applicable)*

Concur with Supervisory Summary Rating Change Summary Rating to (specify):
Bonus _____% Base Salary Increase to \$ _____

Distinguished Rank Award Meritorious Rank Award

SECRETARIAL OFFICER / OPERATING UNIT HEAD RECOMMENDATIONS

Concur with PRB Recommendations Change to (specify):

APPOINTING AUTHORITY RECOMMENDATIONS

(More than one block may apply)

Bonus _____% D Rank Award
 Base Salary Increase _____% M Rank Award

APPOINTING AUTHORITY SIGNATURE:

Date:

Appendix A

DOC Mandatory Elements and Performance Requirements

Mandatory Critical Element 1: Leadership/Management (25%).

The executive demonstrates integrity, sound judgment, and the highest ethical standards in all aspects of his/her work and professional activities.

Exercises leadership, identifying strategic opportunities, then mobilizing resources and inspiring others to capture those opportunities. In demonstrating leadership, the executive

- Sets strategic, organizational, and individual goals aligned to ensure that the planning process is meaningful and relevant to the organization, and activities contribute to accomplishment of the long- and short-term goals of the Department.
- Articulates the organization's vision to employees and stakeholders, and communicates priorities, goals, and objectives throughout the organization in a way that maximizes employee buy-in.
- Mobilizes human, financial, and other resources to capture the opportunities identified.

Exercises management ability, identifying and using human and material resources in the most efficient way to meet priorities, goals, and objectives. In demonstrating management ability, the executive

- Translates strategic goals into meaningful and measurable plans that include organizational objectives and milestones, as well as clear priorities.
- Hires, develops, and motivates a skilled and diverse workforce, effectively managing employee performance by evaluating employees against employee performance plans, promptly addressing conduct and performance problems, appropriately recognizing high performance, and coaching and developing employees
- Conducts succession planning to ensure timely delivery of high quality services and products in compliance with applicable laws, regulations, and policies.
- Meets specific requirements, including
 - Achieving the goals of the President's Management Agenda and related objectives established by the President, Secretary, Deputy Secretary, and senior management; engaging employees in developing objectives and individual performance plans that further organizational and Departmental goals; ensuring that reporting and budget activities are on-track, accurate, and timely; remaining professionally and technically current on issues affecting Commerce; and promoting a learning organization.
 - Fostering a safe work environment, focusing on security and health issues; ensuring continuity of operations by providing timely and relevant input to the Continuity of Operations Plan (COOP); ensuring that relevant aspects of the COOP are operational and logistically feasible, that the COOP is timely communicated to key personnel, that employees are aware of what to do in an emergency, and that unsafe working conditions and environmental issues are addressed expeditiously.
 - Promoting a diverse workplace in compliance with merit systems principles, effectively considering equal opportunity and diversity in all aspects of program and human resources decisions

Mandatory Critical Element 2: Customer/Client Service Responsiveness (15%)

The executive ensures a high degree of responsiveness to organizational leadership, the public, and internal and external customers, consulting, collaborating, and building partnerships with stakeholders; acting decisively, in accordance with law, regulation, and Department policy; continuously improving business processes; sharing efforts with other units to improve overall Department performance; and continually reviewing and monitoring organizational performance.

The executive emphasizes the importance of customer focus as a critical component of the Department's mission, continuously evaluating organizational performance from a customer's point of view; demonstrating an understanding of customer and employee satisfaction as a factor critical to accomplishing the Department's mission; listening to customers, systematically gathering feedback, actively seeking to identify their needs and expectations, effectively communicating those needs and expectations to employees and ensuring that employees do likewise; and responding to the circumstances of individual customers promptly, professionally, and fairly.

APPENDIX B

SES GENERIC PERFORMANCE RATING GUIDE

INSTRUCTIONS

The generic performance standards (GPS) are the primary basis for assigning element ratings in the Department of Commerce. The GPS are to be applied to each critical element in the performance plan. (Summary ratings are assigned by using a point scale after each element has been rated.)

When evaluating an element, the rater should:

- 1 Read carefully each performance standard level beginning with the fully successful one. (It is considered the base level standard.)
- 2 Determine which level best describes the employee's performance on the element. (Each and every criterion in the standards does not have to be met by the employee in absolute terms for the rater to assign a particular rating level. The sum of the employee's performance of the element must, in the rater's judgment, meet the assigned level's criteria.)
- 3 Provide in writing, on the appraisal form, specific examples of accomplishments, which support the assigned rating level.

Element ratings of fully successful do not require full written documentation unless the employee requests it. To assign a fully successful element rating, the rating official need only document in writing that: (1) the fully successful standards were met, and (2) that the rating was discussed in detail with the employee.

Occasionally, when rating some elements, a rating official may determine that an employee's performance on an element was not consistent. For example, the employee may have performed at the commendable level on several major activities within a critical element and at the marginal level on several others. In such a case, the rating official must consider the overall effect of the employee's work on the element and make a judgment as to the appropriate rating level he/she will assign. The rationale for the decision must be documented on the rating form, citing specific accomplishments, which support the decision.

Any additional standards that are included in the performance plan must also be considered by the rating official. Such standards are included in performance plans to supplement the GPS, not supplant them. Rating officials should consider such standards within the context of the GPS and rate elements accordingly.

OUTSTANDING

This is a level of rare, high-quality performance. The employee has performed so well that organizational goals have been achieved that would not have been otherwise. The employee's mastery of technical skills and thorough understanding of the mission have been fundamental to the completion of program objectives.

The employee has exerted a major positive influence on management practices, operating procedures, and program implementation, which has contributed substantially to organizational growth and recognition. Preparing for the unexpected, the employee has planned and used alternate ways of reaching goals. Difficult assignments have been handled intelligently and effectively. The employee has produced an exceptional quantity of work, often ahead of established schedules and with little supervision.

In writing and speaking, the employee presents complex ideas clearly in a wide range of difficult communications situations. Desired results are attained.

SUPERVISORY*

The employee is a strong leader who works well with others and handles difficult situations with dignity and effectiveness. The employee encourages independence and risk-taking among subordinates, yet takes responsibility for their actions. Open to the views of others, the employee pro-motes cooperation among peers and subordinates, while guiding, motivating, and stimulating positive responses. The employee's work performance demonstrates a strong commitment to fair treatment, equal opportunity, and the affirmative action objectives of the organization.

COMMENDABLE

This is a level of unusually good performance. It has exceeded expectations in critical areas and shows sustained support of organizational goals. The employee has shown a comprehensive understanding of the objectives of the job and the procedures for meeting them.

The effective planning of the employee has improved the quality of management practices, operating procedures, task assignments, or program activities. The employee has developed or implemented workable and cost-effective approaches to meeting organizational goals.

The employee has demonstrated an ability to get the job done well in more than one way, while handling difficult and unpredicted problems. The employee produces a high quantity of work, often ahead of established schedules with less than normal supervision.

The employee writes and speaks clearly on difficult subjects to a wide range of audiences.

SUPERVISORY*

The employee is a good leader, establishes sound working relationships and shows good judgment in dealing with subordinates, considering their views. He/she provides opportunities for staff to have a meaningful role in accomplishing organizational objectives and makes special efforts to improve each subordinate's performance.

FULLY SUCCESSFUL

This is the level of good, sound performance. The employee has contributed positively to organizational goals. All critical element activities that could be completed are. The employee effectively applies technical skills and organization knowledge to get the job done.

The employee successfully carries out regular duties while also handling any difficult special assignments. The employee plans and performs work according to organizational priorities and schedules.

The employee also works well as a team member, supporting the group's efforts and showing an ability to handle a variety of interpersonal situations.

The employee communicates clearly and effectively.

All employees at this level and above have followed a management system by which work is planned, tasks are assigned, and deadlines are met.

SUPERVISORY*

The employee is a capable leader who works successfully with others and listens to suggestions.

The employee rewards good performance and corrects poor performance through sound use of performance appraisal systems, performance-based

incentives and, when needed, adverse actions; and selects and assigns employees in ways that use their skills effectively.

The employee's work performance shows a commitment to fair treatment, equal opportunity, and the affirmative action objectives of the organization.

MARGINAL

This level of performance, while demonstrating some positive contributions to the organization, shows notable deficiencies. It is below the level expected for the position, and requires corrective action. The quality, quantity or timeliness of the employee's work is less than Fully Successful, jeopardizing attainment of the element's objective. The employee's work under this element is at a level, which may result in removal from the position.

There is much in the employee's performance that is useful. However, problems with quality, quantity or timeliness are too frequent or too serious to ignore. Performance is inconsistent and problems caused by deficiencies counterbalance acceptable work. These deficiencies cannot be overlooked since they create adverse consequences for the organization or create burdens for other personnel. When needed as input into another work process, the work may not be finished with such quality, quantity and timeliness that other work can proceed as planned.

Although the work products are generally of useable quality, too often they require additional work by other personnel. The work products do not consistently and/or fully meet the organization's needs. Although mistakes may be without immediate serious consequences, over time they are detrimental to the organization.

A fair amount of work is accomplished, but the quantity does not represent what is expected of Fully Successful employees. Output is not sustained consistently and/or higher levels of output usually result in a decrease in quality. The work generally is finished within expected timeframes but significant deadlines too often are not met.

The employee's written and oral communications usually consider the nature and complexity of the subject and the intended audience. They convey the central points of information important to accomplishing the work. However, too often the communications are not focused, contain too much or too little information, and/or are conveyed in a tone that hinders achievement of the purpose of the communications. The listener or reader must question the employee at times to secure complete information or avoid misunderstandings.

SUPERVISORY*

Inadequacies surface in performing supervisory duties. Deficiencies in areas of supervision over an extended period of time affect adversely employee productivity or morale, or organizational effectiveness. The marginal employee does not provide strong leadership or take the appropriate initiative to improve organizational effectiveness. For example, he/she too often fails to make decisions or fulfill supervisory responsibilities in a timely manner, to provide sufficient direction to subordinates on how to carry out programs, to give clear assignments and/or performance requirements, and/or to show an understanding of the goals of the organization or subordinates' roles in meeting those goals.

UNSATISFACTORY

This is the level of unacceptable performance. Work products do not meet the minimum requirements of the critical element. Most of the following deficiencies are typically, but not always, characteristic of the employee's work:

- Little or no contribution to organizational goals;
- Failure to meet work objectives;
- Inattention to organizational priorities and administrative requirements;
- Poor work habits resulting in missed deadlines, incomplete work products;
- Strained work relationships;
- Failure to respond to client needs; and/or
- Lack of response to supervisor's corrective efforts.

SUPERVISORY*

Most of the following deficiencies are typically, but not always, common characteristics of the employee's work:

- Inadequate guidance to subordinates;
- Inattention to work progress; and
- Failure to stimulate subordinates to meet goals.

*** Supervisory standards must be applied to SES supervisors.**