

SENIOR EXECUTIVE/PROFESSIONAL PERFORMANCE AGREEMENT

Employee's Name: SES PERFORMANCE AGREEMENT MODEL

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/Professional 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 Goals

1. Economic Growth
2. Science and Information
3. Environmental Stewardship
4. Customer Service
5. Organizational Excellence
6. Workforce Excellence

Bureau 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%)			(Inclusive of Appendix A Content to the Extent Applicable)
2. Customer/Client Responsiveness (15%)			(Inclusive of Appendix A Content to the Extent Applicable)
3.			(See attached)
4.			(See attached)
5.			

Name:
Title:
Organization:

Senior Executive Performance Plan: Performance Matrix and Summary
Critical Element: Leadership/Management (25%)

Objective(s)	Activities	Outcome Measure(s)	Results/Accomplishments
<p>A. Workforce Excellence</p>	<p>A. Recruit, develop, and support a diverse, highly qualified workforce.</p>	<p><i>Select any two (2) to four (4)</i></p> <p>A1. A workforce excellence baseline is established via survey administered no later than Q3 of FY 2011. <u>OR Increase of X% improvement over FY2011 baseline (if prior survey instrument used).</u></p> <p>A2. Diversity is enhanced as evidenced by an X to Y % increase in special emphasis (ex. veterans, disabled, minority) programs/initiatives.</p> <p>A3. 75 - 85% of the 80-day hiring model deadlines within the executive's span of control are met.</p> <p>A4. Within the executive's span of control, 75 - 85% of the top 10% of the executive's highest performing employees is retained, promoted, or rewarded.</p> <p>A5. Workforce competency is enhanced by 75-85% of employees' completion of objectives of their Individual Development Plans as permitted by budget/resource constraints.</p> <p><u>A6, 80% -85% of new hires align with defined organizational succession plan objectives and organizational strategic goals.</u></p> <p><i>A6. An additional metric from the agency's BSC may be added.</i></p>	

Senior Executive Performance Plan: Performance Matrix and Summary

Critical Element: Leadership/Management (25%)

Objective(s)	Activities	Outcome Measure(s)	Results/Accomplishments
<p>B. Organizational Excellence</p>	<p>B. Create a high performing organization with integrated, efficient and effective service delivery.</p> <p>Additional Examples:</p> <p>Collaborates with other bureaus/Departmental organizations to leverage resources and gain efficiencies.</p> <p>Personal property accountability is established in designated area.</p>	<p>B. <i>(The metric should reflect improving a business or management process. Per Secretarial objectives, the metric may demonstrate alignment of organizational resources to maximize the delivery of services to an organization's clients and/or formulation of necessary guidance and implementation mechanisms. It may also include resource management (budget, IT, property, etc. As few as a single measure may be included.)</i></p> <p>Ex. X# staff was cross-trained on X, resulting in quicker service to clients.</p> <p>Ex. "X" was automated by Q3, resulting in more efficient service.</p> <p>Ex. Time required to process a business product is reduced by 50-60%.</p> <p>Ex. 85-95% of deadlines imposed by legal clients and courts are met.</p> <p>Ex. Revised policies/procedures are communicated within 30 days, thus maximizing benefits of expeditious implementation.</p> <p>Ex. Leveraging resources results in X-X% increase in efficiency and/or decrease in cost of Y.</p> <p>Ex. Property is well accounted for as evidenced by a reported inventory accuracy rate of at least 85-95% with no more than 5% of accountable property designated as not found or missing.</p> <p><u>Ex Telework participation among eligible employees is increased by 1-2% over the 2011 baseline.</u></p>	
<p>C. Performance Management Accountability</p>	<p>C. Utilize performance management system(s) to motivate high performing employees and stimulate performance improvement in employees. Provides meaningful and timely feedback and addresses poor performance in a timely manner.</p>	<p>C. 95 – 100 percent of performance plans and appraisals of subordinates and in subordinate organizations are aligned to DOC and bureau goals and objectives and executed within established timeframes.</p>	

Senior Executive Performance Plan: Performance Matrix and Summary

Critical Element: Leadership/Management

Objective(s)	Activities	Outcome Measure(s)	Results/Accomplishments
<p><u>D. Leading Change</u></p>	<p><u>D. Position the organization and its resources to ensure long-term mission success within current and upcoming operating constraints.</u></p>	<p><u>A.1. Pick at least one.</u></p> <p><u>D1. Utilization of applicable/available workforce reshaping flexibilities results in substantive progress made toward optimization of resources, both short (current FY) and long-term (FY13).</u></p> <p><u>D2. Mandatory (ex. legislatively-driven) functions and the resource levels associated with them are established, thus enabling FY13 resource redeployment plan validation.</u></p> <p><u>D3. 90 - 95% of FY12 administrative savings targets within the executive's span of control are achieved.</u></p> <p><u>D4. No less than 85% of mission-critical occupations are covered by an established organizational succession plan by Q3 (milestone).</u></p> <p><u>D5. Organizational resources made available, promotional and support activities, and information timely updated and disseminated result in awareness of BusinessUSA services and opportunities among potential stakeholders and the public at large.</u></p>	

Senior Executive Performance Plan: Performance Matrix and Summary

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

Objective(s)	Activities	Outcome Measure(s)	Results/Accomplishments
<p>A. Create a culture of outstanding communication and services to our internal and external customers.</p>	<p>A. Improve business and management processes based on customer and employee feedback. Ensure a high degree of responsiveness to organizational leadership, the public, and internal and external customers. Customer service feedback is solicited (<i>This could be in the form of a survey or other appropriate method such as focus group or discussion group.</i>) to assess satisfaction with level of service among employees, federal partners, and external and internal customers. Consults, collaborates and builds partnerships with stakeholders, and takes decisive actions in accordance with law, regulation, and Department policy and the customers' point of view.</p>	<p><i>A.1. and A.2. are mandatory; additional measures are optional.</i></p> <p>A.1. Within the executive's span of control, 80 - 90% of Secretarial and bureau deadlines and Executive Secretariat responses to correspondence and clearances are met.</p> <p>A2. 80 - 90% of customer and employee feedback on service levels and processes is implemented as appropriate. Responses are accurate and timely, thereby meeting the customer's business needs.</p> <p><u>A.3. Ex. Customer satisfaction rates increase by 5-15% over the baseline.</u></p> <p><u>A4. BusinessUSA Executive Committee's applicable BusinessUSA customer service standards are met 75-85% of the time.</u></p>	

Senior Executive Performance Plan: Performance Matrix and Summary

Critical Element: Business Results (60%, 35%, or as applicable, based upon the number of elements used) *(This element is for bureau-specific goals/objectives and must address at least 2 to 3 Departmental or bureau balanced scorecard or operational objectives.)*

Objective(s)	Activities	Outcome Measure(s)	Results/Accomplishments
<p><i>(Bureau's Balanced Scorecard Objective(s)/Strategic Plan Goal/ Secretarial Priority)</i></p> <p>A. Promote the strategic growth and expansion of MBEs</p> <p>B. Facilitate intellectual property protection</p> <p>C. Innovation and Intellectual Property - Expand international markets for US firms and inventors</p> <p>D. National Export Initiative (NEI) execution</p>	<p>A. Generate contracts and financial transactions for minority-based enterprises.</p> <p>B. Reduce patent and trademark pendency and increase quality of issued patents and trademarks.</p> <p>C. Improve protection and enforcement of intellectual property rights.</p> <p>D. Provide outstanding legal advice to facilitate the execution of the Secretary's NEI.</p>	<p>A. 70 - 85% of target goals communicated to OMB are met, thus increasing resources within the minority business community.</p> <p>B. Cycle time for patents and 85-95% of reviews meet established quality standards.</p> <p>C. 85-95% of cases are successfully prosecuted, thus protecting US interests and enhancing ability to expand into in foreign markets.</p> <p>D. 90-100% of advice provided to the Office of the Secretary is consistently thorough, accurate, relevant, timely and at the expert level.</p>	

Senior Executive Performance Plan: Performance Matrix and Summary

Critical Element: Occupation-Specific Element (25%) *(This element is optional and should be used to measure Department-wide or occupational-specific objectives and responsibilities for certain occupational communities such as CFOs (per Department Organization Order (DOO) 10-5), CIOs (per DOO 15-23), PHRMs (per Departmental Administrative Order 202-250, Public Affairs (DOO 15-3), Legislative and Intergovernmental Affairs (DOO 10-2), and certain attorney positions/national security personnel. It must not be used to measure enhancement of competencies, such as completion of continuing education requirements for a given discipline.*

Objective(s)	Activities	Outcome Measure(s)	Results/Accomplishments
<p><i>(This is an example for PHRMs)</i> A. Implement President's Hiring Reform Initiative</p>	<p>A. Develop and use simplified vacancy announcements and use category rating methodology for "All Sources" announcements.</p> <p>B. Implement strategies to increase the hiring manager satisfaction of hiring outcome..</p> <p>C. Implement business process improvement to reduce time-to-hire averages</p>	<p>A. 95% -97% of all vacancy announcements posted during FY11 are 5 pages or less and are rated by OPM or internal review to be in compliance with Department policy. 95%-97% of "All Sources" vacancy announcements use category rating methodology.</p> <p>B. Hiring Manager Survey results indicates a 5%-7% increase in the overall satisfaction with the hiring event.</p> <p>C. 10-15% improvement by 9/30/11 of bureau's 80-day hiring timeline.</p>	

DEPARTMENT OF COMMERCE SES/ST/SL APPRAISAL RECORD (Point System)	Employee Comments Attached? Yes No	APPRAISAL PERIOD FROM: TO:
NAME (Last, First, MI)	BASE SALARY	TITLE
BUREAU	OFFICE	
DATE ENTERED SES/ST/SL	DATE STARTED SES/ST/SL APPOINTMENT AT DOC	
SUPERVISORS INITIAL RATING		
CRITICAL PERFORMANCE ELEMENTS <small>(indicate weight in the column)</small>	ELEMENT RATING (1 - 5)	SCORE
1. Leadership/Management	25%	
2. Customer/Client Service Responsiveness	15%	
3.		
4.		
5.		
TOTAL →	100%	
SUMMARY RATING (Check One)		
<input type="checkbox"/> OUTSTANDING <small>(470-500)</small>	<input type="checkbox"/> COMMENDABLE <small>(380-469)</small>	<input type="checkbox"/> FULLY SUCCESSFUL <small>(290-379)</small>
<input type="checkbox"/> MINIMALLY ACCEPTABLE <small>(200-289)</small>		<input type="checkbox"/> UNSATISFACTORY <small>(100-199)</small>
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: _____
Final Rating: _____	Bonus: _____	Pay Adjustment: _____

Employee Name:

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): _____

Chair, PRB: _____ Change Bonus: _____ %

Distinguished Rank Award Meritorious Rank Award Change Pay Adjustment: _____ %

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

Mandatory Elements and Performance Requirements for the Department of Commerce Senior Executive Service Performance Plan

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

The executive exhibits the sound judgment and decisiveness, personal accountability, integrity and ethical standards, and resilience integral to serving the American public and to functioning in a leadership role in the Department of Commerce. In demonstrating leadership, the executive:

- establishes organizational goals that are consistent with priorities established by the Secretary and Deputy Secretary of Commerce, government-wide initiatives established by the Administration, and strategic goals of the Department; and ensures that they are appropriately reflected in performance plans throughout the organization with meaningful measures and clear priorities;
- works collaboratively to foster economic growth and opportunity, to meet the needs of businesses and entrepreneurs, and to create jobs to benefit the American people;
- exhibits vision and strategic thinking to address concerns that cross organizational boundaries and to meet the long-term interests of the Department; and
- uses creativity and innovation, and encourages new ideas and unconventional approaches in response to evolving conditions.

The executive demonstrates sound management of human, financial and technological resources in order to achieve established priorities, goals, and objectives. In doing so, the executive:

- manages program performance throughout the year to maximize operational efficiency and effectiveness within established budgetary resources;
- builds and manages an appropriately skilled and diverse workforce based on organizational goals, budget considerations, and staffing needs; oversees the recruitment, selection, and appraisal and recognition of employees based on performance; provides training and developmental opportunities, coaching and counseling to employees to strengthen performance or address concerns; encourages team commitment and trust; and engages in succession planning as needed for long-term organizational effectiveness;
- makes effective use of available information technology (IT) to achieve organizational goals; works collaboratively with IT professionals at the operating unit and Department levels, as appropriate, to safeguard IT equipment, software and data; and ensures appropriate training of employees to avoid cyber-security threats;
- fosters a work environment that is safe, secure and conducive to the retention of a skilled and effective workforce, which includes continuity of operations planning and emergency preparedness, addressing unsafe working conditions or environmental concerns, and facilitating employee awareness of the procedures to follow in the event of an emergency; and
- adheres to applicable administrative and programmatic laws, regulations, policies and procedures that provide the internal controls needed to safeguard resources, achieve organizational objectives, and protect the confidentiality of information provided to the agency, and respect individual privacy.

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

The executive demonstrates a high degree of responsiveness to the full range of clients, including end users of goods and services for which the executive is responsible, Departmental and operating unit leadership, members of Congress and their staffs, and the public in general. In order to appropriately address client needs, the executive:

- develops strategic alliances both within and across organizational lines to achieve common goals, meet evolving requirements, and share knowledge, skills and experience needed for personal development and professional performance;
- builds consensus of opinion among stakeholders; and
- seeks to identify client needs and expectations, respond to identified concerns promptly, professionally and fairly, and improve business and management processes based on customer and employee feedback.

The executive seeks opportunities to enhance service delivery to the public by increasing collaboration across the Department and fostering synergetic relationships among organizations with complementary missions.

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 Minimally Acceptable 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.

MINIMALLY ACCEPTABLE

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 Minimally Acceptable 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.**