

**Senior Level (SL) and Scientific or Professional (ST)
Appraisal Program Performance Plan for U.S. Department of Commerce
Appraisal Period:**

Part 1. Consultation. *I have reviewed this plan and have been consulted on its development.*

Senior Professional's Name (Last, First, MI):		<input type="checkbox"/> SL <input type="checkbox"/> ST
		CA <input type="checkbox"/> Ex <input type="checkbox"/> Term <input type="checkbox"/> Temp <input type="checkbox"/>
Title:	<input type="checkbox"/> Supervisory <input type="checkbox"/> Non-supervisory	Organization:
Senior Professional's Signature:		Date:
Rating Official's Name:	Rating Official's Signature:	Date:
Reviewing Official's Name (Optional):	Reviewing Official's Signature (Optional):	Date:

Part 2. Progress Review. *I have participated in a conversation regarding progress toward meeting the critical elements in the performance plan.*

Senior Professional's Signature:		Date:
Rating Official's Name:	Rating Official's Signature:	Date:

Part 3. Rating of Record. *The rating of record is final when it is issued to a Senior Professional with all appropriate reviews and signatures.*

Rating Official's Recommendation	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
Rating Official's Name:	Rating Official's Signature:			Date:	
Reviewing Official's Recommendation (Optional):	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
Reviewing Official's Name (Optional):	Reviewing Official's Signature (Optional):			Date:	
Senior Professional's Signature:	<input type="checkbox"/> Higher-Level Review Requested (Optional)			Date:	
Higher-Level Review Recommendation (Optional):	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
Higher-Level Reviewer Name (Optional):	Higher-Level Reviewer Signature (Optional):			Date:	
Senior Professional Review Panel (SPRP) Recommendation	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
SPRP Chair Name:	SPRP Chair Signature:			Date:	
Rating of Record	<input type="checkbox"/> Level 5 Outstanding	<input type="checkbox"/> Level 4 Exceeds Fully Successful	<input type="checkbox"/> Level 3 Fully Successful	<input type="checkbox"/> Level 2 Minimally Satisfactory	<input type="checkbox"/> Level 1 Unacceptable
Approving Official's Name:	Approving Official's Signature:			Date:	

Senior Professional Name and/or ID:

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Part 4. Performance Standards for Critical Elements. *Performance toward Critical Elements 1-3 (Project/Program Management, Interpersonal Leadership/Responsibilities, and Leading Innovation) shall be appraised using the performance standards specified below. Within Critical Element 4 (Business Results), the performance objectives must include quality indicators at the Fully Successful Level that reflect the same level of performance as the Level 3 performance standard below. Within Critical Element 5 (Position Specific), if the performance objective is a competency, it is rated using the performance standards described below. If the performance objective is a result, commitment, or activity, it must include quality indicators that reflect the same level of performance as the Level 3 performance standard below. Examples for the top three performance levels can be found in the program description.*

- Level 5:** The Senior Professional demonstrates exceptional performance, directly contributes toward sustaining organizational excellence, and enhances the ability to achieve results in the Senior Professional’s organization, agency, department or Governmentwide. This level represents the highest level of Senior Professional performance, as evidenced by the extraordinary impact on the achievement of the organization’s mission. The Senior Professional continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals. The Senior Professional consistently exceeds expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes high-quality assignments ahead of schedule.
- Level 4:** The Senior Professional demonstrates a very high level of performance beyond that required for successful performance in the Senior Professional’s position. The Senior Professional often exceeds established performance expectations, timelines, or targets, as applicable. The Senior Professional is consistently highly-effective and delivers high-quality results.
- Level 3:** The Senior Professional demonstrates the high level of performance expected of Senior Professionals and the Senior Professional’s actions contribute positively toward the achievement of project/program goals and meaningful results. The Senior Professional is effective, dependable and delivers project/program results based on indicators of quality, or measures of quantity, efficiency, and/or effectiveness within agreed upon timelines. The Senior Professional meets and occasionally exceeds challenging performance expectations established for the position.
- Level 2:** The Senior Professional’s contributions to the organization are acceptable in the short term, but do not appreciably advance the project/program or organization toward achievement of its goals and objectives. While the Senior Professional generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish assigned project/program(s), the Senior Professional may demonstrate limited ability to address problems characteristic of the project/program or organization and its work.
- Level 1:** In repeated instances, the Senior Professional demonstrates performance deficiencies that detract from project/program goals and objectives or the agency mission. The Senior Professional generally is viewed as ineffectual by agency leadership or peers. The Senior Professional does not meet established performance expectations/timelines/targets and fails to produce – or produces unacceptable – work products, services, or outcomes.

Part 5. Deriving the Rating of Record. *The derivation formula to calculate the Rating of Record is below.*

Critical Element Point Values	Level 5 = 5 points	Level 4 = 4 points	Level 3 = 3 points	Level 2 = 2 points	Level 1 = 0 points
Critical Element	Critical Element Point Value	Element Weight	Element Score	Rating of Record Point Ranges	
1. Project/Program Management				475-500 = Level 5	
2. Interpersonal Leadership/Responsibilities				400-474 = Level 4	
3. Leading Innovation				300-399 = Level 3	
4. Business Results				200-299 = Level 2	
5. Position Specific (Optional)				Any Critical Element rated Level 1 = Level 1	
Total		100 points			

Senior Professional Name and/or ID:

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Part 6. Critical Elements. Each Senior Professional performance plan shall include Critical Elements 1-4; Critical Element 5 is optional for agency use.

Critical Element 1: Project/Program Management		Weight: ____ points			
Competencies (check all that apply) <i>Review and select the competencies below that contribute to the SL/ST's performance toward work assignments or responsibilities. Check all that apply; a minimum of one competency must be selected.</i>		Individual Competency Weight, if applicable (total must equal 100 points)	Individual Competency Rating, if applicable		
<input type="checkbox"/> Decision Making – Makes sound, well-informed, and objective decisions; perceives the impact and implications of decisions; commits to appropriate action, even in uncertain situations, to accomplish work assignments and applicable organizational goals.		DO NOT	FILL		
<input type="checkbox"/> Financial Management – Understands the organization's financial processes. Prepares, justifies, and administers the project/program budget. Oversees procurement and contracting to achieve desired results. Monitors expenditures and uses cost-benefit thinking to set priorities.		DO NOT	FILL		
<input type="checkbox"/> Information Management – Identifies a need for and knows where or how to gather information; organizes and maintains information on information management systems; retrieves and applies information appropriately in various situations.		DO NOT	FILL		
<input type="checkbox"/> Legal, Government and Jurisprudence – Knowledge of applicable laws, legal codes, court procedures, precedents, legal practices or documents, government regulations, executive orders, agency rules, government organization or functions, and/or the democratic political process as they apply to area of responsibility.		DO NOT	FILL		
<input type="checkbox"/> Planning and Evaluating – Organizes work, sets priorities, and determines resource requirements; determines short- or long- term goals and strategies to achieve them; coordinates with other organizations or parts of the organization to accomplish goals; monitors progress and evaluates outcomes.		DO NOT	FILL		
<input type="checkbox"/> Problem Solving – Identifies problems; determines accuracy and relevance of information; uses sound judgment to generate and evaluate alternatives, and to make recommendations.		DO NOT	FILL		
<input type="checkbox"/> Project Management – Applies principles, methods, or tools for developing, scheduling, coordinating, monitoring, evaluating, and managing projects and resources, including technical performance.		DO NOT	FILL		
<input type="checkbox"/> Reasoning – Identifies rules, principles, or relationships that explain facts, data, or other information; analyzes information and makes correct inferences or draws accurate conclusions.		DO NOT	FILL		
<input type="checkbox"/> Research – Applies knowledge of the scientific principles, methods, and processes used to conduct a systematic and objective inquiry; including study design, collection, analysis, and interpretation of data; and the reporting of results.		DO NOT	FILL		
<input type="checkbox"/> Technical Competence/Subject Matter Expertise – Uses knowledge that is acquired through formal training or extensive on-the-job experience to perform one's job; works with, understands, and evaluates technical information related to the job; advises others on technical issues.		DO NOT	FILL		
Rating Official Narrative (Optional):					
Critical Element Rating - Project/Program Management	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1

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Critical Element 2: Interpersonal Leadership/Responsibilities		Weight: ____ points				
<p>Competencies (check all that apply) <i>Review and select the competencies below that contribute to the SL/ST's performance toward work assignments or responsibilities. Check all that apply; a minimum of one competency must be selected. For agencies seeking certification of their performance appraisal system, the Customer Service competency must be selected.</i></p>		<p>Individual Competency Weight, if applicable (total must equal 100 points)</p>	<p>Individual Competency Rating, if applicable</p>			
<input type="checkbox"/> Collaboration/Partnership – Encourages and facilitates cooperation and trust; fosters commitment; works with others to achieve goals.		DO NOT FILL		DO NOT FILL		
<input type="checkbox"/> Conflict Management – Anticipates and takes steps to prevent counter-productive confrontations. Manages and resolves conflicts and disagreements in a constructive manner.		DO NOT FILL		DO NOT FILL		
<input type="checkbox"/> Customer Service – Engages with customers (that is, any individuals who use or receive the services or products the work unit produces, including the general public, individuals who work in the agency, other agencies, or organizations outside the Government) to seek input (assess their needs, obtain information), resolve their problems, or satisfy their expectations. Uses customer input to inform quality products and services.		DO NOT FILL		DO NOT FILL		
<input type="checkbox"/> Influencing/Negotiating – Persuades others to accept recommendations, cooperate, or change their behavior, works with others towards an agreement; negotiates to find mutually acceptable solutions.		DO NOT FILL		DO NOT FILL		
<input type="checkbox"/> Leadership – Influences, motivates, and challenges others; adapts leadership styles to a variety of situations. Accepts leadership roles as appropriate. Conducts oneself in a manner that sets a positive example.		DO NOT FILL		DO NOT FILL		
<input type="checkbox"/> Leveraging Diversity/Civil Rights Compliance – Relates well to people from varied backgrounds and different situations; is sensitive to cultural diversity, race, gender, disabilities, and other individual differences. Complies with all laws, regulations, and agency policies regarding the treatment and acceptance of all individuals. Acts in ways that protect civil rights.		DO NOT FILL		DO NOT FILL		
<input type="checkbox"/> Mentorship – Provides guidance, direction, and career advice through mentoring—either a standalone program, part of a training and development program within an organization, or individually. Establishes mentoring relationships with one or more individuals.		DO NOT FILL		DO NOT FILL		
<input type="checkbox"/> Political Savvy – Identifies the internal and external politics that impact the work of the Senior Professional or the organization. Perceives organizational and political reality and acts accordingly.		DO NOT FILL		DO NOT FILL		
<p>Rating Official Narrative (Optional):</p> 						
<p>Critical Element Rating – Interpersonal Leadership/Responsibilities</p>		<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1

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Critical Element 3: Leading Innovation		Weight: ____ points			
<p>Competencies (check all that apply) <i>Review and select the competencies below that contribute to the SL/ST's performance toward work assignments or responsibilities. Check all that apply; a minimum of one competency must be selected.</i></p>		<p>Individual Competency Weight, if applicable (total must equal 100 points)</p>	<p>Individual Competency Rating, if applicable</p>		
<input type="checkbox"/> Creative Thinking – Uses imagination to develop new insights into situations and applies innovative solutions to problems; designs new methods where established methods and procedures are inapplicable or are unavailable.		DO NOT	FILL		
<input type="checkbox"/> Flexibility/Adaptability – Is open to change and new information; adapts behavior or work methods in response to new information, changing conditions, or unexpected obstacles; effectively deals with ambiguity.		DO NOT	FILL		
<input type="checkbox"/> Organizational Awareness – Knows the organization's mission and functions, and how its social, political, and technological systems work and operates effectively within them; this includes the programs, policies, procedures, rules, and regulations of the organization.		DO NOT	FILL		
<input type="checkbox"/> Strategic Thinking – Formulates effective strategies consistent with the business and competitive strategy of the organization in a global environment; examines policy issues and strategic planning with a long term perspective; determines objectives and sets priorities; anticipates potential threats or opportunities.		DO NOT	FILL		
<input type="checkbox"/> Vision – Takes a long-term view and builds a shared vision with others; acts as a catalyst for change. Influences others to translate vision into action.		DO NOT	FILL		
<p>Rating Official Narrative (Optional):</p> 					
<p>Critical Element Rating – Leading Innovation</p>	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1

Senior Professional Name and/or ID:

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Critical Element 4: Business Results		Weight: ____ points				
<p>This critical element includes specific performance results expected from the Senior Professional during the appraisal period, focusing on measurable outputs and outcomes that are aligned to organizational or agency goals and objectives, and/or program and policy objectives. At a minimum, Senior Professionals and their Rating Officials will include in this element results and their quality indicators describing the range of performance at the Fully Successful level for each result specified. In addition to the quality indicators, applicable measures of quantity, timeliness, and/or cost-effectiveness may be included to describe the appropriate level of accomplishment expected. It is recommended to also establish the threshold quality indicators and/or other applicable measures for Levels 2 and 5. Each performance objective of the Business Results critical element must contain results and quality indicators that are <u>clearly and differentially identified</u> so that it is readily evident on what the Senior Professional will be rated and what is expected for success. Activities that lead to the specified result may be included. However, the quality indicators and the related markup must clearly measure the result – not any associated activity.</p>		Individual Objective Weight, if applicable (total must equal 100 points)	Individual Objective Rating, if applicable			
Agency/Program Goal Alignment:	Business Results Objective 1:	DO NOT FILL				
Agency/Program Goal Alignment:	Business Results Objective 2:	DO NOT FILL				
Agency/Program Goal Alignment:	Business Results Objective 3:	DO NOT FILL				
Agency/Program Goal Alignment:	Business Results Objective 4:	DO NOT FILL				
Agency/Program Goal Alignment:	Business Results Objective 5:	DO NOT FILL				
<p>Rating Official Narrative (Optional):</p> 						
Critical Element Rating – Business Results		<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1

Senior Professional Name and/or ID:

Appraisal Period:

Critical Element 5: Position Specific (Optional)		Weight: ____ points			
<p>The Position Specific critical element includes additional agency-specific performance objectives - written as competencies or specific measurable results/commitments/activities - that are not already accounted for in the previous mandatory critical elements. For example, additional results that support selected competencies or address agency administrative goals rather than mission goals may be included in this element. This means Rating Officials may not include competencies or business results that are contained within another critical element in the performance plan (i.e., upon which the Senior Professional will be rated elsewhere). The use of this element is not mandatory, but rather available for agency specific or position specific aspects of the job the Rating Official/Senior Professional determines are important to assess. <i>For agencies seeking certification of their performance appraisal system, this critical element must include a performance objective that holds Supervisory Senior Professionals accountable for employee perspective, aligning subordinate performance plans with organizational goals and thoroughly appraising employee performance.</i></p>	<p>Individual Objective Weight, if applicable (total must equal 100 points)</p>	<p>Individual Objective Rating, if applicable</p>			
<p>Position Specific Performance Objective 1:</p>	<p>DO NOT</p>	<p>FILL</p>			
<p>Position Specific Performance Objective 2:</p>	<p>DO NOT</p>	<p>FILL</p>			
<p>Position Specific Performance Objective 3:</p>	<p>DO NOT</p>	<p>FILL</p>			
<p>Position Specific Performance Objective 4:</p>	<p>DO NOT</p>	<p>FILL</p>			
<p>Position Specific Performance Objective 5:</p>	<p>DO NOT</p>	<p>FILL</p>			
<p>Rating Official Narrative (Optional):</p>					
<p>Critical Element Rating – Position Specific</p>	<p><input type="checkbox"/> Level 5</p>	<p><input type="checkbox"/> Level 4</p>	<p><input type="checkbox"/> Level 3</p>	<p><input type="checkbox"/> Level 2</p>	<p><input type="checkbox"/> Level 1</p>

Senior Professional Name and/or ID:

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Part 7: Rating Official's Progress Review Narrative *(Optional)*

Part 8: Senior Professional's Accomplishment Narrative *(Optional)*

Part 9: Rating Official's Recommended Rating of Record Narrative *(Mandatory)*

Part 10: Reviewing Official's Recommended Rating of Record Narrative *(Optional)*

Part 11. Higher-Level Review Narrative *(Optional)*

Part 12: Senior Professional Review Panel (SPRP) Narrative *(Optional)*

Part 13: Approving Official Narrative *(Optional)*

Part 14: Agency Use *(Optional)*

Senior-Level (SL) and Scientific or Professional (ST)

**Appraisal Program Performance Plan Addendum for Multiple Progress Reviews for
U.S. Department of Commerce/NOAA**

Appraisal Period:

Multiple Progress Reviews. *Each Senior Professional must receive at least one progress review documented on the performance plan. However, agencies may require more frequent progress reviews. Agencies may use this addendum to the SL/ST performance plan to document more frequent formal progress reviews during the appraisal period. The requirement for more frequent progress reviews must also be included in Part VIII of the agency's SL/ST program.*

Progress Review. *I have participated in a conversation regarding progress toward meeting the critical elements in the performance plan.*

Senior Professional's Signature:		Date:
Rating Official's Name:	Rating Official's Signature:	Date:

Rating Official's Progress Review Narrative (Optional)

Progress Review. *I have participated in a conversation regarding progress toward meeting the critical elements in the performance plan.*

Senior Professional's Signature:		Date:
Rating Official's Name:	Rating Official's Signature:	Date:

Rating Official's Progress Review Narrative (Optional)

Senior Professional Name and/or ID:

Appraisal Period:

Progress Review. *I have participated in a conversation regarding progress toward meeting the critical elements in the performance plan.*

Senior Professional's Signature:

Date:

Rating Official's Name:

Rating Official's Signature:

Date:

Rating Official's Progress Review Narrative *(Optional)*