FORM CD-518
(REV. 8/16)

U.S. DEPARTMENT OF COMMERCE

SENIOR PROFESSIONAL PERFORMANCE AGREEMENT

Employee's Name: _____

Position Title: _____

Pay Plan, Series: _____

Organization:

1._____ 4._____

2._____ 5._____

3._____ 6._____

Rating Period: _____

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 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 Strategic Plan Themes

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

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. Customer/Client Service Responsiveness			(Inclusive of Appendix A Content to the Extent Applicable)
2. Leadership (SL)/Stature in Professional Field (ST)			(Inclusive of Appendix A Content to the Extent Applicable)
3.			
4.			
5.			

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Name:
Title:
Organization:

Senior Professional Performance Plan: Performance Matrix and Summary

Critical Element:

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

Add Page

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DEPARTMENT OF COMMERCE 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 (indicate weight in the column)		ELEMENT RATING (1 – 5)	SCORE
1. Customer/Client Service Responsiveness			
2. Leadership (SL)/Stature in Professional Field (ST)			
3.			
4.			
5.			
TOTAL ➔	100%		

SUMMARY RATING (*Check One*)

OUTSTANDING ☐ (470-500)	**COMMENDABLE** ☐ (380-469)	**FULLY SUCCESSFUL** ☐ (290-379)	**MINIMALLY ACCEPTABLE** ☐ (200-289)	**UNSATISFACTORY** ☐ (100-199)

Employee's Signature:	Date:
Supervisor's Signature:	Date:

OPTIONAL HIGHER LEVEL REVIEW (at employee request) ☐ Yes - see attached

Higher Level Review Recommendation on initial rating:

☐ Concur with Supervisory Summary Rating ☐ 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.**