



Personal Business Commitment Plan (Senior Executive Service)

Name: _____ Office: _____

Position Title, Series & Grade: _____ Appraisal Period: _____ to _____

(See instructions on page 3)

Section I - Planning Discussion		Section II - Feedback			
Supervisor Signature	Date	1stQ Review	2ndQ Review	3rdQ Review	4thQ Rating
		Supervisor Initials/Date			
Employee Signature	Date	Employee Initials/Date			

Section III – Rating and Narrative (Complete Evaluation on page 2)

Check one: **Initial Summary Rating** **Interim Rating**

Level 5 - Extraordinary Level 4 - Exceeds Expectations Level 3 - Meets Expectations Level 2 – Below Expectations Level 1 - Fails to Meet Expectations

Narrative Summary of Performance (Use separate sheet if necessary)

Section IV - ? Employee must check to request Higher Level Review. (You may attach additional comments on separate sheet.)

Reviewing Official Justification (Required if proposing a different rating.) Use separate sheet if necessary.

Reviewing Official Signature (Required if proposing a different rating)	Initial Summary Rating	Date
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Section V - Final Action by Appointing Authority

Annual Summary Rating	Signature	Date
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**Section VI
Critical Elements & Performance Requirements**

Indicate the level of performance for each criterion under the critical element. Mark "E" for Extraordinary, "EE" for Exceeds Expectations, "M" Meets Expectations, "B" for Below Expectations, "F" for Fails to Meet Expectations, and "NA" for Not Applicable. The rating for the critical element is determined by the majority of criterion rated at a specific level, except that a rating below "Meets Expectations" on Criterion 1 or 2 under Critical Element 3 will result in a rating of "Below Expectations" or "Fails to Meet Expectations." Enter the overall rating for the critical element in the Element Rating box. The "Initial Summary Rating" is determined by the majority of critical elements rated at a specific level, except that a rating of "Below Expectations" or "Fails to Meet Expectations" on any one critical element will result in a rating of "Below Expectations" or "Fails to Meet Expectations."

1. Organizational Representation	Element Rating
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- Establishes and maintains an effective working relationship with internal and external organizations.
- Effectively represents and speaks for the organization by staying informed about agency policies and programs so that these are accurately reflected in speeches or meetings with external organizations
- Ensures that reports, memoranda, and other documents reflect the position and work of the organization in a clear, convincing, and organized manner.

2. Leadership	Element Rating
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- Executes the work of the organization in a manner that reflects agency priorities, policies and strategies. When priorities, policies or strategies change, executes the new plan of action quickly and creatively.
- Executes program or organizational responsibilities in a manner that balances the needs and perspectives of external/internal customers, stakeholders, and employees with the need to achieve measurable outcomes.
- Develops and executes program plans to include human capital strategies, policies, and/or procedures that are cost-effective, realistic, and responsive to organizational needs.
- Maintains financial and program integrity by assuring objectives, costs, and program implementation comply with applicable laws, regulations and polices.
- Establishes systems to effectively safeguard resources against waste, loss, theft and unauthorized use or misappropriation.
- Uses monitoring/reviewing procedures that ensure outputs are of good quality and timely, and ensures appropriate changes are executed after review of outputs.
- Improves the efficiency of the Federal government by being innovative and creative and addressing the needs of customers, whether small businesses or internal clients.
- Reaches conclusions and makes timely decisions that demonstrate effective, sound technical knowledge and independent judgment. .

3. People Management Responsibilities:	Element Rating
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- Ensures that EEO principles prevail in the management of human resources.
- Successfully applies Merit System Principles to develop, select, and manage a productive and diverse workforce.
- Recognizes and rewards superior accomplishment by subordinates.
- Fosters and promotes equality & diversity in all facets of personnel management.
- Establishes and communicates performance plans in accordance with regulations, and provides ongoing constructive feedback as required.
- Evaluates performance fairly, equitably, and timely.
- Assigns work equitably.
- Provides clear direction, guidance, and expectations.
- Identifies and works toward resolving performance/conduct problems and takes timely action to remove poor performers or correct misconduct.
- Fosters an environment of open communication and respect for employees and co-workers.
- Approves leave for employees in a manner that ensures the work of the organization continues to be effectively executed.
- Keeps staff timely informed of administrative, organizational, and work issues that affect them.
- Takes an active role in coaching or mentoring subordinate staff.
- Effectively adjusts/reallocates resources in response to workload, resources, or priority changes.

4. Job Specific. Describe the critical element and performance requirements. Link this element and standard to the President's Management Agenda, Agency GPRA goals and/or office strategic plan, where possible. (Attach if applicable)	Element Rating
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Section VII Rating Level Definitions

Level 5 – Extraordinary An employee who receives this rating is a leader who is proactive, anticipates programmatic and administrative issues/problems and executes in a manner that resolves those issues/problems independently. He/she is viewed as a resource to the Agency and may frequently perform work not immediately related to his/her area of responsibility. He/she may serve as a leader on task forces, work groups, or integrated work teams. He/she demonstrates an extraordinary degree of initiative and self-reliance in resolving problems or requirements of the work situation, developing and executing innovative solutions to successfully accomplish tasks; produces a large volume of high quality work ahead of target, far exceeding expectations; works independently to accomplish program objectives, even in the most difficult and complex situations; is extremely adaptable in adjusting to, and resolving, any new or unusual situation or problem under pressure; or is extremely capable of preparing highly difficult, complex, and sensitive material in an unusually well-organized, logical, precise, and concise manner. ***The employee will have received an Extraordinary (Level 5) on the majority of critical elements to include the Job Specific critical element.*** No critical element may be rated below Exceeds Expectations (Level 4). A written justification is required.

Level 4 – Exceeds Expectations. An employee who receives this rating performs all of the requirements of the position, AND demonstrates a willingness to accomplish additional work by anticipating the needs of the organization and reacting successfully to assignments beyond the routine scope of responsibilities. When necessary, the employee reacts well and in a timely manner to non-routine work situations or to special assignments made by the supervisor. He/she demonstrates a high level of skill and abilities in developing and executing sound solutions; meets all requirements of the position throughout the appraisal cycle; produces a more than satisfactory volume of acceptable work within established timeframes; works relatively independently in accomplishing program objectives (or requires minimal guidance); is capable of adjusting to, and/or resolving most new or unusual situations or problems under pressure; or is capable of preparing relatively difficult, complex, and sensitive material in a proactive and well coordinated manner. ***The employee will have received an Exceeds Expectations (Level 4) rating on the majority of critical elements to include at least a Level 4 on the Job Specific critical element.*** No critical element may be rated below Meets Expectations. A written justification is required.

Level 3 – Meets Expectations. The employee performs all of the requirements of the position, produces an acceptable volume of work within the required timeframes, and demonstrates personal responsibility and accountability for accomplishing the full range of job-related requirements through the appraisal cycle. With guidance from the supervisor, or in areas with delegated authority, works to implement sound solutions to routine problems. He/she demonstrates satisfactory initiative in developing and implementing acceptable solutions; meets all requirements of the position throughout the appraisal cycle; produces a satisfactory volume of acceptable work within established timeframes; works relatively independently in accomplishing program objectives (or requires minimal guidance.) Is capable of preparing relatively difficult, complex, and sensitive material in an acceptable manner. ***The employee will have received a Meets Expectations (Level 3) rating on the majority of critical elements to include at least a Level 3 on the Job Specific critical element.*** No critical element may be rated lower. A written justification is required.

Level 2 – Below Expectations. The employee demonstrates limited ability in producing an acceptable volume of work within established timeframes; limited sense of personal responsibility and accountability in some work assignments, or requires frequent guidance and assistance from supervisor or others; experiences occasional difficulty in adjusting to, coping with, or resolving, most new or unusual situations or problems under normal pressure; or experiences some difficulty in preparing complex or sensitive material in a well-organized, logical, precise, and concise manner. ***The employee will have received a Below Expectations (Level 2) rating on the majority of critical elements, and/or will have received a Below Expectations (Level 2) rating on criterion 1 or 2 under Critical Element 3.*** No criterion may be rated lower. A written justification is required.

Level 1 – Fails to Meet Expectations. The employee demonstrates a lack of ability to produce an acceptable volume of work within established timeframes; a lack of a sense of personal responsibility and accountability in most work assignments, or requires constant guidance and assistance from supervisor or others; experiences frequent difficulty in adjusting to, coping with, or resolving, most new or unusual situations or problems under normal pressure; or has great difficulty in preparing complex or sensitive material in a well-organized, logical, precise, and concise manner. ***The employee will have received a Fails to Meet Expectations (Level 1) rating on one or more critical elements, and/or will have received a Fails to Meet Expectations (Level 1) rating on criterion 1 or 2 under Critical Element 3.*** A written justification is required.

INSTRUCTIONS

1. At the beginning of the appraisal cycle, the Supervisor must establish and communicate a Personal Business Commitment (PBC) Plan for all employees supervised. Where applicable, the supervisor must develop a job specific critical element and performance requirements. The employee acknowledges receipt of the PBC plan by signing and dating Section I – Planning Discussion. The supervisor gives the employee a copy of the PBC plan and maintains the original.
2. During the quarterly reviews, the Supervisor will determine progress of performance on each criterion of each critical element, and the supervisor and employee will initial and date the PBC plan in the appropriate column under Section II indicating a progress review was held. If the employee declines to initial a progress review, the supervisor will annotate in Section II that the employee declined to sign.
3. At the end of the appraisal cycle, the supervisor will determine the initial summary rating. Rate each criterion under each critical element using the space provided. The rating for the critical element is determined by the majority of criterion rated at a specific level, except that a rating below “Meets Expectations” will result in a “Below Expectations” or “Fails to Meet Expectations” rating. The Supervisor will indicate the overall rating level achieved on the critical element in the element rating box in Section VI.
4. The initial summary rating is determined by the majority of critical elements rated at a specific level, except that a “Below Expectations” or “Fails to Meet Expectations” rating on any one critical element will result in a rating of “Below Expectations” or “Fails to Meet Expectations.”
5. If there are an equal number of critical elements rated at different levels, the rating will be determined by the average of the critical elements. For example: If an employee is rated Level 3 on 3 critical elements (9) and Level 5 on 3 critical elements (15), take the sum of the critical elements (24) and divide by the number of critical elements (6), this equals Level 4. Roundup a half fraction or higher.
6. The Supervisor must prepare a narrative summary of the employee’s performance in Section III for all ratings.
7. The Reviewing official may propose a different rating for SES members. Place the initial summary rating in Section IV and include a narrative summary of the executive’s performance.

Statement of Accomplishments
(Continue on plain bond paper if more space is needed)