

## **SAMPLES**

**Supervisory/Managerial and Executive Complete Performance Contracts, and  
Cascading Outputs**

*National Institutes of Health*  
**Performance Contract (Supv/Managerial)**

**PART I: Identifying Information**

<b>A. Employee's Name:</b> Helene Noble	<b>D. Rater's Name:</b> Bob Hosenfeld
<b>B. Position Title, Series, and Grade:</b> Director, Division of Employee Relations & Training	<b>E. Rater's Title:</b> Director, OHR
	<b>F. Reviewer's Name:</b> Charles Leasure
<b>C. Organizational Location:</b> Office of Human Resources, OD	<b>G. Reviewer's Title:</b> Deputy Director for Management, NIH

**PART II: Signatures and Dates**

	<b>Plan Establishment*</b>	<b>Progress Review</b>	<b>Rating*</b>
<b>Rater's Signature</b>			
<b>Date</b>			
<b>Reviewer's Signature</b>	(as required)	<b>NOT APPLICABLE</b>	(as required)
<b>Date</b>			
<b>Employee's Signature*</b>			
<b>Date</b>			

\*Employee's signature indicates that a copy has been received.

**PART III: Evaluation**

<b>Appraisal Period:</b> From: <i>Jan. 2003</i> To: <i>Dec. 31, 2003</i>	<b>The rating is (check one):</b> <input type="checkbox"/> Rating of Record <input type="checkbox"/> Interim Rating
This performance plan consists of _____ elements.	<b>Rating (check one):</b> <input type="checkbox"/> Acceptable (rated Acceptable on all critical elements) <input type="checkbox"/> Unacceptable (rated Unacceptable on one or more critical elements)

**Mission:** *The National Institutes of Health uncovers new knowledge about the prevention, detection, diagnosis, and treatment of disease and disability. NIH works towards this mission by conducting and supporting research, training research investigators, and fostering communication of medical information.*

Through this Performance Contract, I hereby commit to clear and measurable goals to be achieved during FY 2002 and beyond:

<p><b>“One HHS End-Outcome Goals contributes to:</b></p> <p><b>Improve health outcomes</b> by funding research that leads to increased understanding of normal and abnormal biological functions and behavior and to the development of new, as well as improvement of existing diagnostics, prevention strategies, treatments, and instruments and technologies.</p> <p><b>Enhance health care quality and treatment</b> by publishing research results; engaging in community outreach activities and the development of consensus reports regarding clinical practice; and by collaborating with health professionals across the nation and other HHS agencies to help transfer science advances into the practice of medicine.</p>	<p><b>Intermediate Outcomes During FY 2002:</b></p> <p><i>Enhance NIH organizational performance through the implementation of results-oriented programs:</i></p> <ul style="list-style-type: none"><li>• Provide Human Resources policy development, consultation, advice, products, and services, for HR subject areas, that assures maximum responsiveness to expressed NIH programmatic needs.</li></ul> <p><b>Strategic Human Capital Management</b></p> <ul style="list-style-type: none"><li>• Conduct goal-setting for the Division managed; develop organizational standards and performance measures that are reflected in the performance contracts of subordinate staff.</li></ul>
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### **Program Outputs Needed for FY 2002 to Achieve Expected Results**

- Develops and disseminates NIH guidance and manual issuances for assigned HR areas, (e.g., “*One HHS End-Outcome Goals*” executive/supervisory performance contracts; revised *NIH Awards Manual Issuance*), by 3<sup>rd</sup> quarter.
- Performs quality control reviews on NIH cases/IC submissions, for assigned HR areas (e.g., *NIH performance contracts for executives and supervisors/managers*) by 3<sup>rd</sup> quarter, and suggests modifications to NIH managers by 3<sup>rd</sup> quarter.
- Forwards important new policies, instructions, user-friendly guidance, and reminders, for assigned HR areas, the Division Newsletters, the OHR Webmaster, the NIH Record, and other identified communication venues throughout the year.
- Identifies, arranges for, and schedules appropriate IC and OHR training to help clients increase expertise in assigned areas (e.g., *The Performance Institute-sponsored seminars for NIH supervisors and managers*) - ongoing.
- Provides direction and administrative management to staff supervised (including contract staff, as appropriate) that ensures monitoring and attention to functional responsibilities:
  - Submits Division administrative, budget and resource requirements to the Acting Director, OHR, by 4<sup>th</sup> quarter.
  - Implements critical organizational administrative actions resulting from the HR consolidation, President’s Management Agenda, and/or “One-HHS End-Outcome Goals” including:
    - ❖ places all Division staff on new position descriptions by 1<sup>st</sup> quarter; and
    - ❖ places all subordinate supervisory staff on performance contracts by March 03.
  - Provides training, orientation, and innovative learning experiences for Division staff supervised:
    - ❖ training plans for employees will be implemented mid-year;
    - ❖ all staff will be strongly encouraged to attend two or more meetings conducted by other branches within the Division/OHR and OHR and/or other “communities of learning” sessions, or other informative seminars, to enhance organizational knowledge and professional development; and
    - ❖ all staff will attend briefings and seminars on the NIH Competitive Sourcing Program (A-76) and other important organizational activities with potential impact to the workforce.
- Provides performance feedback to staff supervised that includes mid-point and final year appraisal feedback sessions; monitors staff performance; and initiates appropriate counseling and/or recognition.

**EEO CRITICAL ELEMENT**  
**GM/GS/WS CODE 2 - MANAGERS AND SUPERVISORS**  
**PROMOTING EQUAL EMPLOYMENT OPPORTUNITY (EEO) AND WORK FORCE DIVERSITY PROGRAMS**

**Critical Element:**

Through both personal leadership and appropriate managerial actions, management officials shall proactively support and promote Departmental and NIH EEO and Work Force Diversity Programs designed to achieve the following:

**Performance Standards:**

1. Addresses EEO Complaints and employee issues in a timely and effective manner.

*Guidance: Describe the steps taken to ensure that IC EEO complaints are processed in strict accordance with the procedures set forth by EEOC, DHHS and the NIH (i.e., respond to complaints in a timely manner, demonstrate efforts to resolve complaints at the lowest level, monitor discrimination complaints to identify patterns of discrimination and initiate actions to correct these patterns, etc.). Attend and support EEO and Diversity training sessions for all staff, including sexual harassment. Describe efforts to ensure staff comply with EEO and Diversity Management policies.*

2. Supports and actively participates in the implementation of the IC's Affirmative Action Plans, programs and initiatives that address the under-representation of minorities, women and persons with disabilities.

*Guidance: Describe the size and diversity of your Office staff by race, gender, national origin and disability. Identify any goals you have set to improve the diversity of the work force and how these goals have been/are being accomplished. Identify special efforts made to monitor organizational accomplishments in maintaining a diverse work force and supporting the IC's Affirmative Employment Program. Discuss your role in focused recruitment efforts (i.e., Historically Black Colleges and Universities (HBCUs), Hispanic Serving Institutions (HSIs), Tribal Colleges and Universities (TCUs), and Community-Based Organizations, etc.).*

*Describe the use of special hiring authorities to fill vacancies with qualified applicants from underrepresented groups.*

*Describe your efforts to assist the IC in meeting NIH's "Stretch Goals" to hire 945 new individuals with disabilities by 2005. NOTE: Hires are to be from outside the Federal Government.*

3. Provides equitable training and career development opportunities and performance awards for staff at all grade levels (examples – use of IDPs, equitable allocation of available training funds).

*Guidance: Describe the efforts or initiatives implemented to ensure the equitable development and recognition of staff at all levels (i.e., NIH Management Intern Program, STRIDE, COTA, etc.). Identify awards or changes in your work force that reflect the success of these initiatives. Highlight the steps taken to remove any "barriers" that impede the accomplishment of this element.*

4. Establishes a fair and equitable work environment by encouraging the use of problem solving and alternate dispute resolution processes.

*Guidance: Describe efforts to encourage and support the development and use of alternative dispute resolution (ADR) in managing conflict within the workplace. Provide specific examples of successful ADR/workplace resolution techniques and strategies that have been effective. Highlight initiatives that have created an inclusive work environment in which employee concerns and ideas are utilized in problem solving, decision-making, and planning workplace activities and initiatives.*

5. Promotes a zero tolerance policy for harassment and discrimination.

*Guidance: Describe EEO, Diversity and workplace management initiatives developed to: ensure that the work environment is free from all forms of harassment and intolerance, including sexual harassment.*

6. Supports EEO and Work Force Diversity programs by providing leadership, allocating adequate staff, fiscal resources and supporting staff participation in these programs.

*Guidance: Consistent with workload requirements, describe the degree of support/resources for NIH wide educational efforts and IC EEO and Diversity programs. Describe any initiatives, Memorandum of Understandings or collaborations with other agencies or ICs that support EEO Program goals. Support NIH-wide Special Emphasis Programs by attending and encouraging staff to attend/participate.*

7. Responds to requests for reasonable accommodations from persons with disabilities in accordance with Federal laws, regulations and NIH policies.

*Guidance: Discuss in detail, the number and types of reasonable accommodations if requested and how they were addressed. Highlight any policies or procedures developed and implemented to address requests in a timely basis.*

### ***Management Improvement Initiatives***

In addition to the specific program results articulated in this plan, I will manage by results by supporting the following management improvement initiatives found in the performance plan for the Acting Director, OHR:

**Results-Oriented Management:** Create employee contracts by *(insert date)* that will hold my subordinate managers accountable for achieving these and other measurable goals contained in this plan.

**Identifying Program Results:** Devise and submit with the FY 2003 budget tangible performance measures (outputs) to track end-outcomes and intermediate outcomes of programs under my control.

**One-HHS:** Ensure that my staffs achieve agreed-upon goals for specific One-HHS objectives set forth in the FY 03 Budget and the NIH Restructuring Plan.



## Sample Executive Performance Contract

FY 2000 Performance Contract

Ruth Kirschstein

National Institutes of Health

### **Mission:**

*The National Institutes of Health uncovers new knowledge about the prevention, detection, diagnosis, and treatment of disease and disability. NIH works towards this mission by conducting and supporting research, training research investigators, and fostering communication of medical information.*

Through this Performance Contract, I hereby commit to clear and measurable goals to be achieved during FY 2002 and beyond:

### **“One HHS” End-Outcome Goals NIH Contributes to:**

- **Improve Health Outcomes** by funding research that leads to increased understanding of normal and abnormal biological functions and behavior and to the development of new, as well as improvement of existing diagnostics, prevention strategies, treatments, and instruments and technologies.
- **Enhance Health Care Quality and Treatment** by publishing research results; engaging in community outreach activities, and the development of consensus reports regarding clinical practice; and by collaborating with health professionals across the Nation and in other HHS agencies to help transfer science advances into the practice of medicine.

### **Intermediate Outcomes I pledge to Achieve During 2002:**

#### **Expand or Enhance Research Base**

- Demonstrate annual progress toward achieving new qualitative Research Program Subgoals.
- Finish two-thirds of the human genome (accuracy of at least 99.99%).
- Complete full shotgun coverage of the sequence of the mouse genome; finish 10% of the mouse genome.
- Obtain full length clones and sequence data for 20,000 mammalian cDNAs.
- Demonstrate annual progress toward developing an AIDS vaccine by 2007.

#### **Enhance Communication of Research Results**

- Increase the number of outreach programs to better reach high risk, underserved, and/or affected publics.
- Increase the number of outreach programs to better reach high risk, underserved, and/or affected publics of diseases, including but not limited to osteoporosis, musculoskeletal problems, and obesity that occur more frequently and/or more severely in Hispanics and by enhancing information systems in Spanish and languages other than English.
- Expand NIH consumer health information services, such as MEDLINEplus, to include more materials in languages other than English.

### **Program Outputs Needed for 2002 to Achieve Expected Results**

- Document progress toward new FY 2002 Research Program GPRA subgoals as evidenced by scientific workshops, conferences, and symposia; solicitations (Program Announcements, Requests for Applications, Requests for Proposals) and other actions taken to encourage new research applications; new intramural research program initiatives; establishment of new research infrastructure; science advances; and stories of discovery.
- Develop and implement eye health awareness campaigns.
- Complete formation of all external IRG working groups.
- Increase Peer Review Steering Committees and Study Section Boundary Teams from 4 to 10.
- Identify “proxy” measures that would indicate changes in awareness of NIH-sponsored research results among the public. (For example: the number of newspaper articles about NIH-supported research in a given time period; the number of times a public service announcement is aired on TV or radio; the number of publications distributed; the number of hits on the NIH web pages; the results of awareness surveys conducted by individual institutes or centers on specific topics such as the “5 A Day” education campaign (already OMB-approved).)
- Have 200 scientists in the intramural research program complete the web-based technology transfer training module.
- Perform audits on up to 3 licensees during the year.
- Recruit two monitoring staff to implement a data system to monitor all exclusive licenses.
- Pilot test ways to further simplify SNAP.
- Maintain an application training flow that is consistent with success rates close to the historical levels of 40% for fellowships; 60% for research training grants; and 50% for entry-level career awards.
- Issue at least 120 K23 awards and maintain a steady state level of K24 awards.
- At least 80% of all notices of grant award are sent electronically.
- Complete 75% construction of the Hatfield Clinical Research Center.
- Start design for Building 10 Revitalization.
- Start construction of the Neuroscience Research Center Phase 1, a 200,000,000 GSF lab facility.
- Final construction design documents approved for 75% of '99 grants.

### Management Improvement Initiatives

**In addition to the specific program results articulated in this plan, I pledge to “Manage for Results” by implementing the following management improvement initiatives in 2002:**

- Employee Contracts and Evaluations: Create employee contracts that will hold my subordinate managers accountable for achieving these and other measurable goals contained in this plan.
- Identifying Program Results: Devise and submit with the FY’03 budget tangible performance measures to track end-outcomes and intermediate outcomes of selected programs under my control.
- Improving Program management: Identify and propose at least one significant initiative for redesign for the ’03 budget using performance-based criteria.
- Outsourcing and Contracting: Complete at least 5% of NIH commercial activity positions, increase purchase card orders to \$210M. Allocate \$207M of NIH contracting dollars to Performance Based Contracting eligible contracts.
- Grants Management: Continue development of the NIH Commons and integrate with IMPAC II and coordinate with DHHS for the Federal Commons.
- Workforce Plan: Based on an assessment of workforce needs and performance goals, propose a workforce plan, including appropriate restructuring, for consideration during the FY’04 budget cycle that identifies specific recruitment, development and retention targets through FY’07
- Electronic government: Continue to develop, implement, and fully deploy IMPAC II, the electronic system underlying grants administration.
- One-HHS: Ensure that my staff achieve agreed-upon goals for specific One-HHS objectives set forth in the FY03 Budget and the NIH Restructuring Plan.

*I hereby commit to achieve these goals and hold my employees and myself accountable for developing and implementing the necessary initiatives to produce these results.*

Signed: \_\_\_\_\_  
Ruth Kirschstein

\_\_\_\_\_  
Secretary Tommy Thompson

*I hereby commit to achieve these goals and hold my employees and myself accountable for developing and implementing the necessary initiatives to produce these results.*

Signed: \_\_\_\_\_  
Ruth Kirschstein

\_\_\_\_\_  
Robert Wood, Chief of Staff

## **Samples of Cascading Outputs**

## Example 1: Executive Cascading to Division Director

### **IC Director (*SES member*) Outputs**

Early in FY 2004, implements three new Institute activities designed to enhance the inclusion of women and minorities in the Institute's clinical research studies.

### **Division Director (*Supervisor/Manager*) Outputs**

By end of the third quarter FY 2003, assures all Institute recruitment publications disseminated are bi-lingual, language-appropriate, and web-accessible.

By the end of the third quarter FY 2003, disseminates public broadcasts on national network and cable television channels and radio stations, promoting clinical trials targeted to women and minorities.

By the end of the third quarter FY 2003, presents recruitment video targeted toward women and minorities in community and faith-based venues including inner-city churches and health fairs.

## Example 2: Executive Cascading to Division Director

### **HR Director (*SES member*) Outputs**

Develops in fourth quarter a new performance program plan for other managers and supervisors, using a performance contract approach, for implementation in 2003.

### **Division Director (*Supervisor/Manager*) Outputs**

By the second quarter of 2002, reviews existing performance management policy and new departmental requirements, to determine necessary recommendations and revisions.

By the third quarter 2002, revises policy as necessary and notifies IC managers of new requirements. Directs staff in providing advice, assistance and guidance to IC managers on developing new performance standards that meet the new requirements.

Periodically monitors compliance with new requirements and reports back to HR Director.

Example 3: Executive Cascading to Division Director Cascading to Branch Chief

### **IC Director (SES member) Outputs**

Identifies potential therapeutic targets by the conclusion of FY 2003:

- Identifies and maintains institution research programs examining fundamental cellular processes.
- Disseminates findings of fundamental research to clinical investigators through meetings and/or retreats.

Optimizes infrastructure for performing basic science:

- Organizes core facilities ensuring access to state-of-the-art technology to all basic science investigators.
- Continues renovations.

Evaluates recently finished renovated space for efficiency for basic science.

Based on evaluations, designs new optimized space in the ongoing renovations of Bldg X.

### **Division Director (Supervisor/Manager) Outputs**

Retains and recruits scientists examining fundamental cellular processes:

- Evaluates scientists studying fundamental cellular processes through review by peers from the extramural community.
- Disseminates information about positions at the IC to academia – these include positions at the graduate student, post doctoral, tenure track and tenured investigator levels, and
- Develops mechanisms to support graduate students at NIH.

Provides evaluation of current infrastructure in terms of efficiency and adequacy for performing basic science. Communicates the evaluation with the IC Director, by the second quarter, FY 2003.

Develops and supports communication of scientists performing basic science with clinicians including organization of appropriate meetings and retreats.

### **Laboratory/Branch Chief (Supervisor/Manager) Outputs**

Evaluates/discusses work of scientists through individual quarterly meetings.

Develops plan each quarter for meeting the changing resource requirements for scientists working on fundamental cellular processes, and provides status updates including recommendations to the Division Directors on a quarterly basis in FY 2003, that will:

- Ensure access to core facilities.
- Identify any necessary additional core resources.
- Ensure adequacy of current individual resources for ongoing studies, and
- Ensure adequacy of current facilities.

Identifies basic science that would be of interest to clinical scientists and arranges for appropriate meetings/seminars for the third quarter of FY 2003.