



U.S. Chemical Safety and Hazard Investigation Board

SUBJECT: SENIOR EXECUTIVE SERVICE (SES) PERFORMANCE MANAGEMENT SYSTEM

CONTENTS

1. Purpose	2
2. Effective Date	2
3. Scope	2
4. References	2
5. Policy	2
6. Definitions	2
7. Responsibilities.....	4
8. Senior Executive Performance Plans.....	4
9. Reconsideration Process	11
10. Details and Job Changes.....	11
11. Use of Appraisal as Basis for Other Actions.....	12
12. Performance Review Board.....	13
13. Other Requirements	14
14. Training and Evaluation	14
15. Records	15
 Appendix A: SES Performance Management System Form.....	 16

1. **PURPOSE.** This Order establishes a system of policies and practices for managing the performance of Senior Executive Service (SES) employees of the Chemical Safety and Hazard Investigation Board (CSB).
2. **EFFECTIVE DATE.** This Order is effective upon passage by the Board.
3. **SCOPE.** This Order applies to all career, non-career, limited term and limited emergency appointment CSB senior executives.
4. **REFERENCES.**
 - a. 5 U.S.C. § 43, Subchapter II – Performance Appraisal in the Senior Executive Service
 - b. 5 C.F.R. § 430, Subpart C and D
 - c. 5 C.F.R. § 534, Subpart D
5. **POLICY.** It is the policy of the Board that the CSB SES performance management system holds senior executives accountable for their individual and organizational performance by: (1) expecting excellence in senior executive performance; (2) linking performance management with results-oriented goals; (3) setting and communicating individual and organizational goals and expectations; (4) systematically appraising senior executive performance using measures that balance organizational results with customer, employee, or other perspectives; and (5) using performance results as a basis for pay, awards, development, retention, removal, and other personnel decisions.
6. **DEFINITIONS.**
 - a. **Appointing authority.** The CSB official with authority to make appointments in the SES and issue final SES performance ratings of record. The appointing authority under this system is the Chairperson of the CSB.
 - b. **Appraisal period.** The established period of time for which a senior executive's performance will be appraised and rated. The appraisal period for CSB senior executives is July 1 through June 30.
 - c. **Balanced measures.** An approach to performance measurement that balances organizational results with the perspectives of distinct groups, including customers and employees.
 - d. **Chairperson.** The Chairperson of the CSB or, when the position of Chairperson is vacant, the Board Member Delegated Interim Executive and Administrative Authority, pursuant to Board Order 003. To avoid confusion in this Order, the term "Chairperson" never refers to the Chair of the Performance Review Board.

- e. **Critical element.** A key component of an executive's work that contributes to organizational goals and results and is so important that unsatisfactory performance of the element would make the executive's overall job performance unsatisfactory.
- f. **Days.** In this Order, all references to days are to calendar days, unless otherwise stated.
- g. **Minimum appraisal period.** The shortest period of time during which a senior executive can serve under an established performance plan and still receive a rating under that plan. The minimum appraisal period for CSB senior executives is 90 days.
- h. **Performance.** The accomplishment of the work described in the senior executive's performance plan.
- i. **Performance appraisal.** The review and evaluation of a senior executive's performance against performance elements and requirements.
- j. **Performance requirement.** A statement of the performance expected for a critical element.
- k. **Performance Review Board (PRB).** A panel appointed by the Chairperson, in accordance with the provisions of the Order, that makes recommendations to the approving authority on the performance of CSB senior executives.
- l. **Progress review.** A review of the senior executive's progress in meeting the performance requirements. A progress review is not a performance rating.
- m. **Ratings.**
 - (1) Initial summary rating – the rating level the rating official derives from appraising the senior executive's performance during the appraisal period and forwards to the Performance Review Board.
 - (2) Annual summary rating – the overall rating level that the appointing authority assigns at the end of the appraisal period after considering a Performance Review Board's recommendations. This is the official rating of record.
- n. **Rating Official.** The CSB official responsible for assigning initial performance ratings to senior executives. The rating official under this system is the executive's first-line supervisor.
- o. **Senior executive performance plan.** The written summary of work the senior executive is expected to accomplish during the appraisal period and the requirements against which performance will be evaluated. The plan addresses all

critical elements and any other performance elements established for the senior executive.

- p. **Senior Executive.** A member of the SES. In this Order, the terms “senior executive” and “executive” are used interchangeably.
- q. **Strategic planning initiatives.** Agency strategic plans, annual performance plans, organizational work plans, and other related initiatives.

7. **RESPONSIBILITIES.**

- a. **Chairperson** – implements and administers the performance management system for CSB senior executives. Finalizes all performance standards for senior executives by August 1 of each year. Acts as the authorized agency official for purposes of setting and adjusting pay for individual senior executives pursuant to the plan outlined in Board Order 048 – SES Pay and Compensation.
- b. **Chair of the PRB** – coordinates and ensures timely completion of PRB tasks.
- c. **Office of Human Resources (OHR)** – provides technical assistance to the Chairperson and Chair of the PRB in administering the SES performance management system. Acts as liaison with the Office of Personnel Management (OPM) on SES system certification requirements.
- d. **Senior executive** – documents accomplishments related to his or her performance elements during the appraisal period. Such documentation must be limited to one page per element; speak specifically to results, customer satisfaction, and employee perspectives; and avoid the use of superlatives.

8. **SENIOR EXECUTIVE PERFORMANCE PLANS.**

- a. Each senior executive shall receive a performance plan that describes the individual and organizational expectations (performance elements) for the appraisal period and sets the requirements against which performance will be evaluated.
- b. The rating official is responsible for planning performance elements and requirements, linked with agency strategic planning initiatives, for each senior executive. Although the rating official retains final authority to establish performance elements and requirements, he or she will consult with the senior executive in developing a performance plan.
- c. At or before the beginning of the appraisal period, the rating official will meet individually with each senior executive to communicate his or her performance plan for that appraisal period. Both the rating official and the executive should sign in the appropriate box on the performance plan form to acknowledge that the plan has been communicated. The executive’s signature is simply an acknowledgement of receipt of the plan and does not signify agreement with the

plan's elements and requirements.

- d. Executive performance plans must include the Government-wide SES performance requirements and may include additional agency-specific performance requirements associated with the critical element.
- e. Senior executive performance requirements must include a requirement that the performance standards, requirements, or expectations for individual subordinate employees clearly link to organizational mission, GPRA strategic goals, or other program or policy objective and take into account the degree of rigor in the appraisal of their subordinate employees.
- f. Results criteria must also ensure that the performance requirements for individual senior employees relate to their respective areas of responsibility; reflect expected agency and/or organizational outcomes and outputs, performance targets or metrics, policy/program objectives, and/or milestones; identify specific programmatic crosscutting, external, and partnership-oriented goals or objectives, as applicable; and are stated in terms of observable, measurable, and/or demonstrable performance.
- g. The Chairperson may require that certain elements be included in the performance plan of all senior executives.
- h. **Appraisal Period.**
 - (1) Appraisal Period. Executives must be appraised at least annually on their performance against their critical elements and performance standards and requirements and an annual summary rating must be assigned for the relevant period of performance for each year. CSB's SES appraisal period is July 1 through June 30 of each year.
 - (2) Minimum Period. The minimum period of performance that must be completed before a performance rating can be given is 90 days.
 - (3) Adjusting Appraisal Period. The agency may end an appraisal period at any time after the minimum appraisal period is completed, but only if the agency determines there is an adequate basis on which to appraise and rate the performance of senior executive(s).
 - (4) Transition Period. The agency may not appraise and rate any career executive within 120 days after the beginning of a new Presidential administration.
- i. **Summary Performance Levels.** The system includes four summary performance levels:
 - Level 5 - Outstanding
 - Level 4 - Exceeds Fully Successful
 - Level 3 - Fully Successful

- Level 2 – Minimally Satisfactory
- Level 1 - Unsatisfactory

j. **Critical Elements.** Each senior executive performance plan shall include, as a minimum, the following critical elements and performance requirements:

(1) Leading Change

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

(2) Leading People

Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

(3) Business Acumen

Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

(4) Building Coalitions

Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and

negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

(5) Results Driven

This critical element includes specific performance results expected from the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, this element includes requirements that contain measurable results and their quality indicators describing the range of performance at Level 3 for each result specified. Threshold indicators for Levels 5 and 2 should also be specified.

The Results Driven critical element must also identify clear, transparent alignment to agency strategic planning initiatives (e.g., relevant agency or organizational goals/objectives with cited page numbers from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document) in the designated section for each performance requirement in the Results Driven critical element.

k. Performance Requirements for Critical Elements.

(1) Level 5 – The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive’s organization, agency, department, or Government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization’s mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way. Performance at this level may be demonstrated in such ways as the following examples:

- Overcomes unanticipated barriers or intractable problems by developing creative solutions that address program concerns that could adversely affect the organization, agency, or Government.
- Through leadership by example, creates a work environment that fosters creative thinking and innovation; fosters core process re-engineering; and accomplishment of established organizational performance targets.
- Takes the initiative to identify new opportunities for program and policy development and implementation or seeks more opportunities to contribute to optimizing results; takes calculated risks to accomplish organizational objectives with positive results.
- Accomplishes objectives even under demands and time pressure beyond those typically found in the executive environment.

- Achieves results of significant value to the organization, agency, or Government.
 - Achieves significant efficiencies or cost-savings in program delivery or in daily operational costs of the organization.
- (2) Level 4 – The executive demonstrates a very high level of performance beyond that required for successful performance in the executive’s position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable. Performance at this level may be demonstrated in such ways as the following:
- Advances progress significantly toward achieving one or more strategic goals.
 - Demonstrates unusual resourcefulness in dealing with program operations or policy challenges.
 - Achieves unexpected results that advance the goals and objectives of the organization, agency, or Government.
- (3) Level 3 – The executive demonstrates the high level of performance expected and the executive’s actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness, within agreed upon timelines. The executive meets and sometimes exceeds challenging performance expectations established for the position. Performance at this level may be demonstrated in such ways as the following:
- Seizes opportunities to address issues and effects change when needed.
 - Finds solutions to serious problems and champions their adoption.
 - Designs strategies leading to improvements.
- (4) Level 2 – The executive’s contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive 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 work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- (5) Level 1 – In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive routinely does not meet established performance expectations/timelines/targets and fails to produce – or produces unacceptable –

work products, services, or outcomes.

1. Monitoring Performance.

(1) Monitor and Provide Feedback – Throughout the appraisal period, a supervisor must monitor senior executive performance in accomplishing elements and requirements and provide feedback, including advice and assistance on improving performance, when needed and encouragement and positive reinforcement as appropriate. Supervisors and senior executives should engage in frequent two-way conversations regarding progress toward meeting the critical elements in the senior executive's performance plan. Such conversations should include the following: status updates; identification of obstacles that impede progress in attaining milestones; indicators of success or needs for improvement; and a need to revise the senior executive's performance plan to account for changing objectives, priorities and any other factors affecting the senior executive's performance toward work assignments or responsibilities.

(2) Progress Review – Each senior executive must receive at least one progress review during the appraisal period. At the midpoint of the appraisal period, the rating official shall meet individually with each senior executive to conduct a formal progress review. The content of the review must include, at the least, an assessment of how well the executive is performing in relation to the established performance requirements. The rating official and the executive shall acknowledge the progress review by signing in the appropriate box on the performance plan form.

m. **Weight Value.** Each critical element must be assigned a weight, with the total weights adding to 100 points.

(1) The minimum weight that may be assigned to the Results Driven critical element is 15 points.

(2) The minimum weight that may be assigned to any of the other four critical elements is 5 points.

(3) No single performance element may be assigned a greater weight than the Results Driven element.

(4) Weighted critical elements indicate the relative importance within the executive's scope of responsibilities, and are used to derive the initial and annual summary ratings.

(5) Weights for each element should reflect the significance of that task/program/project within the framework of the goals to be achieved, not the percentage of time an employee spends working on that element.

n. Rating Critical Elements and Point Values.

- (1) Each element under which the executive has performed for at least 90 days must be rated.
- (2) Appraisal narratives should highlight overall performance results, outputs, outcomes, and impact.
- (3) To determine the rating level for the Results Driven element, each individual performance objective/commitment will be rated against the performance standard definitions in Section (j) above.
- (4) A forced distribution of rating levels is prohibited.
- (5) Rating officials will assign an individual rating to each Critical Element.
 - Outstanding = 5 points
 - Exceeds Fully Successful = 4 points
 - Fully Successful = 3 points
 - Minimally Successful = 2 points
 - Unsatisfactory = 0 points

o. Summary Rating.

- (1) The rating official will develop an initial summary rating, in writing, and share the initial rating with the senior executive.
- (2) If any critical element is rated Level 1 (Unsatisfactory), the overall summary rating is Unsatisfactory. If no critical element is rated Level 1 (Unsatisfactory), continue to the next step.
- (3) For each critical element, multiply the element rating level point value by the weight assigned to that element.
- (4) Add the results from the previous step for each of the five critical elements to come to a total score.
- (5) Assign the initial summary rating using the ranges below:
 - 475-500 = Level 5
 - 400-474 = Level 4
 - 300-399 = Level 3
 - 200-299 = Level 2
- (6) Example, with the initial summary rating determined to be Level 4 (Exceeds Fully Successful):

Critical Element	Rating Level	Weight	Score	Summary Level Range
	Initial Element Score		Initial Point Score	
1. Leading Change	4	15	4 x 15 = 60	475-500 = Level 5 400-474 = Level 4 300-399 = Level 3 200-299 = Level 2 Any CE rated Level 1 = Level 1
2. Leading People	5	15	5 x 15 = 75	
3. Business Acumen	3	15	3 x 15 = 45	
4. Building Coalitions	4	15	4 x 15 = 60	
5. Results Driven	4	40	4 x 40 = 160	
Total		100 points	400	

9. **RECONSIDERATION PROCESS.**

- a. **Opportunity for Written Response.** A senior executive may respond in writing to the initial summary rating.
- b. **Opportunity for Second Review.** The senior executive is entitled upon request to have the initial rating reviewed by another Board Member before that rating is presented to the Performance Review Board (PRB). The Board Member may not change the initial rating but may recommend a different rating to the PRB and the appointing authority. In instances where there is no official available to provide a second review of the initial rating, the initial and summary ratings will be given by the same official; however, there still must be PRB action between the initial and annual summary ratings.

The Chairperson will designate another Board Member who will provide the second review for its executives, except that a review may not be provided by a member of the PRB or an official who participated in determining the initial summary rating.

10. **DETAILS AND JOB CHANGES.**

- a. **Details.** If a senior executive is detailed or temporarily reassigned for 120 days or longer, the gaining office must set performance goals and requirements for the detail or temporary assignment. The gaining office must appraise the senior executive's performance in writing, and this appraisal must be factored into the initial summary rating.
- b. **Job Changes or Transfers.** If a senior executive changes jobs or transfers to another agency after completing the minimum appraisal period, the executive's performance must be appraised in writing in accordance with this order before the executive leaves. The senior executive's annual summary rating and any subsequent appraisals must be transferred to the gaining agency. The gaining supervisor must consider the rating and appraisals when developing the initial

summary rating at the end of the appraisal period.

- c. **Transferred Ratings.** When developing an initial summary rating for an executive who transfers from another agency, a supervisor must consider any applicable ratings and appraisals of the executive's performance received from the former agency.
- d. **Extending the Appraisal Period.** If the agency cannot prepare an executive's rating at the end of the appraisal period because the executive has not completed the minimum appraisal period or for other reasons, the agency must extend the executive's appraisal period. Once the appropriate conditions are met, the agency will then prepare the annual summary rating.
- e. **Annual Summary Rating.** The annual summary rating must be assigned by the appointing authority (and may not be delegated to an official who does not have authority to make SES appointments) only after considering the recommendations of the PRB. The annual summary rating must be communicated to the executive in writing normally within 3 months of the end of the appraisal period.

11. **USE OF APPRAISAL AS BASIS FOR OTHER ACTIONS.** The annual summary rating is to be used as a basis for adjusting pay (see Board Order 048), rewarding, reassigning, developing, and removing senior executives, or making other personnel decisions.

- a. An annual summary rating of “Fully Successful”, “Exceeds Fully Successful” or “Outstanding” makes a career appointee eligible for a performance award under 5 C.F.R. § 534.403, at the approving authority’s sole discretion. Procedures for SES performance awards are outlined in Board Order 048 - Senior Executive Service Pay and Compensation.
- b. One “Unsatisfactory” annual summary rating *requires* that the executive be transferred or reassigned within the SES, *or* removed from the SES in accordance with 5 C.F.R. § 359.
- c. Two “Unsatisfactory” annual summary ratings within three consecutive years *requires* that the executive be removed from the SES in accordance with 5 C.F.R. § 359.
- d. Non-probationary career appointees are removed under procedures in 5 C.F.R. § 359, Subpart E. Probationary career appointees are removed under procedures in 5 C.F.R. § 359, Subpart D. Guaranteed placement in a non-SES position will be provided in accordance with 5 C.F.R. § 359, Subpart G, when applicable.
- e. Senior executive performance appraisals and ratings may not be appealed. The executive may file a complaint about any aspect of the rating process the executive believes to involve unlawful discrimination (EEOC) or a prohibited personnel practice (Office of Special Counsel). A career appointee being removed from the

SES under 5 U.S.C. § 3592(a)(2) shall, at least 15 days preceding the date of removal, be entitled, upon request, to an informal hearing before an official designated by the Merit Systems Protection Board.

12. **PERFORMANCE REVIEW BOARD (PRB)**. The Chairperson must establish a single PRB that reflects diversity and inclusion. The purpose of the PRB is to make recommendations on performance ratings and performance awards for all senior executives. It convenes annually to review the initial summary ratings for the senior executives. The PRB must meet the following criteria:
 - a. The PRB should be appointed as close to the beginning of the rating period as possible, but can be established at any time prior to the annual performance appraisal.
 - b. The CSB will publish notice of PRB appointments in the Federal Register before the appointees' service on the PRB begins.
 - c. The PRB will consist of a Chair (selected by the Chairperson) and a minimum of two other members who must be SES career appointees.
 - d. In appointing PRB members, the Chairperson shall seek to assure the consistency, stability, and objectivity of the SES performance appraisal system.
 - e. At least one (1) of the career appointee members of the PRB should hold a position with responsibilities generally equivalent to those of other CSB SES personnel.
 - f. More than one-half of the PRB's members must be career appointees when considering a career appointee's appraisal, performance-based pay adjustment, or performance award.
 - g. The PRB must review and evaluate the initial performance appraisal and summary rating, any senior executive's response, and any higher-level official's findings and recommendations on the initial summary rating or the results of an alternative review.
 - h. The PRB may conduct any additional review needed to make written recommendations to the appointing authority on annual summary ratings, performance awards, and performance-based pay adjustments for each senior executive.
 - i. PRB members may not be involved in deliberations involving their own appraisals, performance-based pay adjustments, and performance awards.
 - j. The PRB may not review an initial summary rating to which the executive has not been given the opportunity to respond in writing.

- k. The PRB must be provided and take into account appropriate assessments of the agency/organization's performance, as communicated by the oversight official through performance appraisal guidelines, when making recommendations.

13. OTHER REQUIREMENTS.

- a. **Appraisal Results.** Performance appraisals will be used as a basis for adjusting pay, granting awards, retaining and removing senior executives, and making other personnel decisions. Performance appraisals also will be a factor in assessing a senior executive's continuing development needs.
- b. **Organizational Assessment and Guidelines.** The agency must assess organizational performance (overall and with respect to each of its particular missions, components, programs, policy areas, and support functions). The agency also must ensure its assessment results and evaluation guidelines based upon them are communicated by the oversight official to senior executives, rating officials, higher level review officials, PRB members, and appointing authorities at the conclusion of the appraisal period and before completion of the initial summary ratings so that they may be considered in preparing performance appraisals, ratings and recommendations.
- c. **Oversight.** The Chairperson or the official designated by the Chairperson provides organizational assessments and evaluation guidelines and is responsible to oversee the system and to certify: 1) the appraisal process makes meaningful distinctions based on relative performance; 2) executive ratings take into account assessments of organizational performance; and 3) pay adjustments, awards and pay levels based on the results of the appraisal process accurately reflect individual performance and/or contribution to agency performance. The responsible official designated to provide evaluation guidelines and oversee the appraisal system must do so for the entire executive agency.
- d. **Performance Distinctions.** Rating officials and PRBs will make meaningful distinctions based on relative performance that take into account assessment of the agency's performance against relevant program performance measures.
- e. **Differences in Pay Based on Performance.** Differentiation will be evident in the pay adjustments, performance awards, and rates of pay separately. Senior executives who have demonstrated the highest levels of performance will receive the highest annual summary ratings and the largest corresponding performance awards, pay adjustments, and rates of pay. Pay adjustments and performance awards will be made within 5 months following the end of the applicable appraisal period.

14. TRAINING AND EVALUATION.

- a. **Training.** The Office of Human Resources will provide information and training to agency leadership, supervisors, and senior executives on the

requirements and operation of the agency's performance management and pay-for-performance systems.

- b. **Evaluation.** The Office of Human Resources will evaluate the effectiveness of the performance management system every two (2) years and implement improvements as needed.

- 15. **RECORDS**. The Office of Human Resources will retain senior executive performance records for five years from the date the annual summary rating is issued.

U.S. CHEMICAL SAFETY AND HAZARD INVESTIGATION BOARD

October 7, 2002; Amended, November 13, 2002; Amended, January 8, 2007; Amended December 20, 2007; Amended November 21, 2017.

APPENDIX A
SES Performance Management System
Executive Performance Plan



Part 1. Consultation. <i>I have reviewed this plan and have been consulted on its development.</i>						
Executive's Name (<i>Last, First, MI</i>):				Appraisal Pd. -		
Executive's Signature:				Date:		
Title:				Organization:		
Rating Official's Name (<i>Last, First, MI</i>):				CA <input type="checkbox"/> NC <input type="checkbox"/> LT/LE <input type="checkbox"/>		
Rating Official's Signature:				Date:		
Part 2. Progress Review						
Executive's Signature:				Date:		
Rating Official's Signature:				Date:		
Reviewing Official's Signature (<i>Optional</i>):				Date:		
Part 3. Summary Rating						
Initial Summary Rating	<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 Unsatisfactory	
Rating Official's Name (<i>Last, First, MI</i>):						
Rating Official's Signature:				Date:		
Executive's Signature:				Date:		
Reviewing Official's Signature (<i>Optional</i>):				Date:		
Higher Level Review (if applicable)						
<input type="checkbox"/> I request a higher level review. Executive's Initials:				Date:		
Higher Level Review Completed <input type="checkbox"/>				Date:		
Higher Level Reviewer Signature:						
Performance Review Board 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	
PRB Chair Signature:				Date:		
Annual Summary Rating	<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	
Appointing Authority Signature:				Date:		
Part 4. Derivation Formula and Calculation of Annual Summary Rating						
	Element Rating			Score		Summary Level Ranges 475-500 = Level 5 400-474 = Level 4 300-399 = Level 3 200-299 = Level 2 Any CE rated Level 1 = Level 1
Critical Element	Initial	Final (if changed)	Weight	Initial	Final (if changed)	
1. Leading Change						
2. Leading People						
3. Business Acumen						
4. Building Coalitions						
5. Results Driven						
Total			100 points			

Part 5. Performance Standards and Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- **Level 5:** The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or Government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- **Level 4:** The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- **Level 3:** The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and sometimes exceeds challenging performance expectations established for the position.
- **Level 2:** The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive 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 work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- **Level 1:** In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive routinely does not meet established performance expectations/timelines/targets and fails to produce – or produces unacceptable – work products, services, or outcomes.

Element Rating Level Points

Level 5 = 5 points
Level 4 = 4 points
Level 3 = 3 points
Level 2 = 2 points
Level 1 = 0 points

Executive Name and ID:

Appraisal Period:

Critical Element 1. Leading Change		(Minimum weight 5 points)			Weight
<p>Mandatory Performance Requirement: Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.</p>					
Agency-Specific Performance Requirements					
Rating Official Narrative: <i>(Optional)</i>					
<i>Critical Element Rating – Leading Change</i>	<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
Critical Element 2. Leading People		(Minimum weight 5 points)			Weight
<p>Mandatory Performance Requirement: Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.</p>					
Agency-Specific Performance Requirements					
Rating Official Narrative: <i>(Optional)</i>					
<i>Critical Element Rating – Leading People</i>	<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

Executive Name and ID:

Appraisal Period:

Critical Element 3. Business Acumen	(Minimum weight 5 points)	Weight
<p>Mandatory Performance Requirement: Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.</p>		
<p>Agency-Specific Performance Requirements</p>		
<p>Rating Official Narrative: <i>(Optional)</i></p>		
<p><i>Critical Element Rating – Business Acumen</i></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

Critical Element 4. Building Coalitions	(Minimum weight 5 points)	Weight
<p>Mandatory Performance Requirement: Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.</p>		
<p>Agency-Specific Performance Requirements</p>		
<p>Rating Official Narrative: <i>(Optional)</i></p>		
<p><i>Critical Element Rating – Building Coalitions</i></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

Executive Name and ID:

Appraisal Period:

Critical Element 5. Results Driven	(Minimum Weight 20 points)	Weight			
<p>This critical element must have at least 1 performance requirement (there is no maximum number of requirements, agency should specify if it sets a maximum number).</p>					
<p>This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable results from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance requirements must contain measurable results and their quality indicators describing the range of performance at Level 3 for each result specified. In addition to the quality indicators, applicable measures of quantity, timelines, and/or cost-effectiveness may be included as appropriate. It is recommended to also establish the threshold quality indicators and measures for Levels 5 and 2. Indicators must reflect the same level of performance as the respective performance standard contained in Part 5.</p>					
<p>Strategic Alignment—identify clear, transparent alignment to agency strategic planning initiatives (e.g., relevant agency or organizational goals/objectives with cited page numbers from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document) in the designated section for each performance requirement.</p>					
<p>Note: Performance requirements must contain results and quality indicators that are clearly and differentially identified (e.g., highlighted, bold, underlined) so that it is readily evident on what the senior executive will be rated and what is expected for success.</p>					
Performance Requirement 1:	Strategic Alignment:				
Performance Requirement 2:	Strategic Alignment:				
Performance Requirement 3:	Strategic Alignment:				
Performance Requirement 4:	Strategic Alignment:				
Performance Requirement 5:	Strategic Alignment:				
Rating Official Narrative: <i>(Optional)</i>					
Critical Element Rating – Results Driven	<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

Executive Name and ID:

Appraisal Period:

Part 6: Summary Rating Narrative *(Mandatory)*

Part 7: Executive's Accomplishment Narrative *(Optional)*

Part 8: Agency Use