



a New Day for Federal Service

Standard Government-Wide Senior Executive Service (SES) Performance Appraisal System

**Briefing on Interagency
SES Performance Management Workgroup Project**



Standard Government-Wide SES Appraisal System

OBJECTIVE: Replace the current multiple Senior Executive Service (SES) performance appraisal systems across the Federal government with a standard system applicable to all organizations and SES employees.

VALUE:

- Promotes consistency, clarity, and transferability of performance processes, standards, feedback, and ratings.
- Anchored to Executive Core Qualifications (ECQs) to enable:
 - Holistic approach for selecting, developing, appraising, recognizing, and retaining a diverse cadre of high-performing Federal executives;
 - Emphasis on strategic leadership as well as results;
 - Enhanced equity and mobility for SES within and across agencies.
 - Greater flexibility for agencies to develop performance metrics.
- Streamlined and improved SES performance appraisal system approval and certification processes.



SES Performance Appraisal System Design Project

APPROACH:

- Convened an interagency executive-level SES Performance Management Workgroup and an interagency subject matter expert Design Team for regular meetings: July 22 – Sept. 9, 2011.
- Benchmarked leading practices with Federal and private sectors.
- Consulted with President's Management Advisory Board (PMAB) , Senior Executives Association (SEA), and the National Academy of Public Administration.
- Conducted SES Focus Groups: Sept. 13 and 14, 2011.
- Engaged Congressional staff: Briefing by OPM on Sept. 28, 2011.
- Organized interagency review and reconciliation of final comments: Sept. 19-30, 2011.
- Make available new system: October 2011.



SES Performance Appraisal System Design Project

Participating and Contributing Agencies/Organizations:

- OPM
- OMB
- DoD
- DHS
- VA
- DOL
- DOE
- DOC
- DOT
- SSA
- USDA
- EPA
- HUD
- NASA
- ED
- DOJ
- GSA
- HHS
- NSF
- NRC
- ODNI
- Treasury
- SBA
- FERC
- NLRB
- USAID
- NEA
- DOI-OIG
- CIGIE



Draft SES Performance Appraisal System Key Design Features – Critical Elements

- Five critical elements based upon each of the five ECQs – standard Government-wide definitions with flexibility to add agency-specific performance objectives).
- Agencies may develop additional validated critical elements, with OPM approval.
- Each critical element must have a minimum weight:
 - 20% for the Results Driven standard (where results and mission commitments will be captured).
 - 5% for each of the remaining standards.
 - No Minimally Satisfactory override at the critical element level
- Results Driven critical element must meet certification requirements (e.g., measurable outcomes). Broad flexibility and deference accorded to agencies in other critical elements.



Draft SES Performance Appraisal System Key Design Features – Appraisal Levels

- Five rating levels with standard numeric identifiers to provide consistency and numerical scoring for summary rating, ranging from 1 (lowest) to 5 (highest)
- Default labels that may be customized for agencies' operations (standard Government appraisal form will use only default labels):
 - Unsatisfactory (1)
 - Minimally Satisfactory (2)
 - Fully Successful (3)
 - Exceeds Fully Successful (4)
 - Outstanding (5)
- Government-wide standards defined for each of the five rating levels, applying to each of the critical elements.



Draft SES Performance Appraisal System Key Design Features – Derivation Formula

- Numerical derivation formula: score for each critical element multiplied by the weight of each critical element, added together to determine a summary score.
- Derivation ranges for summary score:

Overall Summary Rating	Summary Rating Scoring Ranges
Level 5	475-500
Level 4	400-474
Level 3	300-399
Level 2	200-299
Level 1	Any critical element rated Level 1

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Draft SES Performance Appraisal System Key Design Features – Standard Form

- Standard performance appraisal form with flexibility for limited customization by agencies – enabling agencies to capture additional agency-specific processes, or to document additional information (e.g., Executive Development Plan, narrative for higher level review, etc.). Promotes consistency in processes and presentation of information for performance management.
- Mandatory summary rating narrative with flexibility for agency implementation (e.g., general overall summary v. summary on each performance standard).

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SES Performance Appraisal System Design Project Next Steps

IMPLEMENTATION:

Phased Implementation

- Agencies will implement the new system in a phased manner over the course of the next two years, as their certifications near expiration, to ensure a smooth transition.

Subsequent Sub Groups, Continuing Work in FY 2012 on Additional Assignments, including:

- Implementation;
- Communications;
- Training; and
- Improvements to the SES Performance Appraisal Certification Process.



SES Performance Appraisal System Design Project Next Steps

TESTING AND EVALUATION:

Pilot Implementation

- A number of agencies are prepared to implement the new system during FY 2012.
- These agencies will be able to share lessons learned and recommendations for improvements or modifications.

Evaluation and Recommendations for Improvement

- OPM will convene an interagency group of interested agencies to gather and review implementation results at the end of FY 2012, and to prepare recommendations for system improvement in FY 2013.