



# Instructions

## SES Executive Performance Management System (EPMS) Executive Performance Agreement Form

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### Part 1. Consultation

**Section Purpose:** Senior executive performance management systems must provide for consulting with senior executives on the development of performance elements and requirements [5 CFR 430.304(b)(2)]. This section provides documentation that the senior executive was consulted.

**Instructions:** Both the senior executive and rating official must **sign\*** and date the plan on their respective lines. The title of the rating official should also be provided. The appointment type of the senior executive is indicated by selecting the appropriate checkbox (CA = Career; NC = Non-Career; LT/LE = Limited Term/Limited Emergency).

\* The Basic SES Performance Plan provides space for signatures. Agencies decide whether to require handwritten signatures.

### Part 2. Progress Review

**Section Purpose:** The supervisor must hold a progress review for each senior executive at least once during the appraisal period [5 CFR 430.306(b)]. This section provides documentation for that review.

**Instructions:** Following the senior executive's progress review, the supervisor, senior executive, and reviewing official (optional), sign and date the plan on their respective lines.

### Part 3. Summary Rating

**Section Purpose:** The supervisor must develop a written *Initial Summary Rating* of the senior executive's performance and share that rating with the senior executive [5 CFR 430.308(a)]. This section displays the supervisor's initial summary rating.

**Instructions:** An *Initial Summary Rating* is determined based on the appraisal of the critical elements and performance requirements in Part 5 and the derivation formula in Part 4. The rating official, senior executive and reviewing official (optional) sign and date the plan on their respective lines.

In the event a higher level review is requested, the request checkbox in the *Higher Level Review* section is selected and the senior executive initials and dates accordingly. Completion of the higher level review is indicated by selecting the completion checkbox. The higher level reviewer signs and dates the plan.

The Performance Review Board's (PRB) recommended rating is indicated by selecting the appropriate checkbox and a PRB member signs and dates the plan. The appointing authority must then assign the *Annual Summary Rating* of the senior executive's performance after considering the PRB's recommendation. The *Annual Summary Rating* indicated on this line of the plan is the *Official Rating*.

## Part 4. Derivation Formula and Calculation of Annual Summary Rating

**Section Purpose:** Agencies must have a method for deriving *Summary Ratings* from appraisals of performance against performance requirements [5 CFR 430.304(c)(3)]. This section provides standardized *Summary Level Ranges* and a table for calculations.

**Instructions:** The supervisor will rate each individual critical element (see Part 5) and then record the point value corresponding to each element's rating in the first column of the derivation table (*Initial*). Point values (found in Part 5) for the five performance levels are as follows:

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

Each critical element's initial point value is then multiplied by its assigned weight. It is important that weighting percentages in the *Weight* column are recorded as whole numbers, not decimals (e.g., 30% is recorded as 30 and not .30). The product of the initial element's point value and the weight becomes the *Initial Element Score*. All the critical elements' *Initial Element Scores* are then summed to derive the *Total Score*. The *Total Score* for all of the critical elements is compared with the *Summary Level Ranges*.

The appointing authority will consider recommendations from the supervisor, higher level reviewer (if applicable), and the PRB to derive the *Annual Summary Rating*. The appointing authority will record any change to an *Element Rating* in the second column of the derivation table (*Final (if changed)*). Changing an *Element Rating* will require recalculating the *Total Score* and comparing the new score with the *Summary Level Ranges* to derive the *Annual Summary Rating* (recorded in Part 3).

## Part 5. Critical Elements

**Section Purpose:** A senior executive performance plan must include the individual and organizational expectations for the appraisal period and the *Performance Requirements* against which performance will be evaluated [5 CFR 430.305]. This section includes defined *Performance Standards* for each of the five performance levels in the appraisal system. This section also contains the required *Performance Requirements* for each critical element.

**Instructions:** The supervisor may expand on the mandatory *Performance Requirements* of any critical element by adding additional *Agency-Specific Performance Requirements* (which may be written as competencies or specific results/commitments associated with the element). The mandatory *Performance Requirements* of the Basic SES Performance Plan describe the Level 3 performance level, as established in the *Performance Standards*. Additional *Agency-Specific Performance Requirements* also must be written at the Level 3 performance level. Agencies are encouraged to develop requirements that set *Performance Requirements* for performance at Levels 5 and 2 as well, especially when describing expected results.

Critical element 5 is the *Results Driven* element. 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. The performance plan must have at least one

performance result (including measures, targets, timelines, or quality descriptions, as appropriate) describing the range of performance at Level 3 for each result specified. Agencies may allow more than five performance results. It is recommended to establish threshold measures/targets for Levels 5 and 2 as well. Each result in this section must have a relevant goal/objective from the Strategic Plan to which it aligns. *Strategic Alignment* requires citing the relevant goal(s)/objective(s) (and page numbers where they can be found) in the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document.

The supervisor should ensure that the weights are appropriately set (i.e., the *Results Driven* critical element is weighted 20% or higher; all other critical elements are weighted 5% or higher, and no individual critical element is weighted more than the *Results Driven* critical element) so that the total weight of all the critical elements is equal to 100%.

After evaluating the executive's performance, the supervisor selects a *Critical Element Rating* by checking the appropriate checkbox below each critical element. After all critical elements have been rated, the critical element rating points and weights should be recorded in the Derivation Formula Table (see Part 4) and the *Initial Total Score* should be calculated.

#### Part 6: Summary Rating Narrative (Mandatory)

**Section Purpose:** This section provides feedback for the senior executive, as well as performance information for a higher level reviewer (if requested) and the PRB (if necessary).

**Instructions:** Along with the *Initial Summary Rating*, the supervisor also provides a written *Summary Rating Narrative*, which is a written assessment describing the senior executive's performance. Information that helps justify the *Initial Summary Rating* should be included in this narrative.

#### Part 7: Executive's Accomplishment Narrative

**Section Purpose:** The *Executive's Accomplishment Narrative* allows the senior executive to provide a description of his/her accomplishments over the course of the rating period. This information is beneficial for the supervisor when rating and may be required by some agency appraisal systems.

**Instructions:** The senior executive should consider his/her performance over the course of the rating cycle and list/describe his/her accomplishments, particularly in terms of meeting or exceeding assigned performance requirements.

#### Part 8: Agency Use

**Section Purpose:** This section provides agencies with additional space for information that cannot fit into the fields previously provided. If information from any part of the plan needs to be expanded into Part 8 "Agency Use," or the use of additional attached pages is required, please indicate this by typing (see Part 8) or (see Attachment) in the last line of the field that needs to be expanded. This section can also be used for additional agency-specific information beyond that already captured on the basic performance appraisal plan.