USA Performance (USAP) is an automated, web-based tool that assists Federal agencies in the implementation of their Senior Executive Service (SES) and non-SES performance management programs and systems. USAP enables agencies to automate their performance appraisal process throughout the entire performance rating cycle. Agencies can develop performance plans, track and monitor employees’ performance, provide feedback and ratings, and electronically sign performance plans.

SENIOR EXECUTIVE USER GUIDE

NIH Administrators
Megan Goetz
Carmen Garcia
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Part 1: General Information

BEFORE YOU BEGIN

- USA Performance currently works with Internet Explorer version 10 and above and Google Chrome version 39 and above.
- Your access to the system will be provided by your NIH Administrator. You will receive two emails from USAPHelp@opm.gov – one with your username and one with your password.
- You must be inside the NIH/HHS firewall or VPN to open the link and see the login page below.

Login

Sign In using your PIV card or Email Address and Password

- Access USA Performance
- Type in your work email address
- Enter the temporary password provided to you in the automated email
- You will be prompted to change your password
- Read and accept the Rules of Behavior. You will be directed to the USA Performance Home page.

NOTE: Once you initially log into USA Performance with the temporary password, you may try registering and logging in with your PIV card.

Registering your PIV Card for the first time:

- Access USA Performance
- Click the “Log in with your Smart Card (Insert Card First)” icon
- Certificates will become available to select
- Select the authentication certificate. Only certificates ending in .8, .12 or .14 will be accepted. Do not select the “signature” certificate (ending in .7). To detect which certificate is correct, perform the following:
• Click on one of the certificates and then click “Click here to view certificate properties.” Scroll down on the “General” tab and you’ll see a string of numbers. Use this to determine if you have the right certificate.
• Enter your PIN
• After your PIN has been accepted, you’ll be able to access USA Performance with your PIV for future logins.

Smart Card Login:

• To access USAP navigate to the USA Performance site
• Click on the “Log in with your Smart Card (Insert Card First)” icon

- Select the authentication certificate

- Enter your PIN
• You will be directed to the USA Performance Home page.

Password Requirements:

• Your password must be at least eight (8) characters with at least 3 of the following attributes:
  • At least one number 0-9
  • At least one upper-case letter A-Z
  • At least one lower case letter a-z
  • At least one special character !*?
  • Passwords expire every 120 days.
  • If you forget your password, click Forgot Password on the login page. Check your junk folder for a system generated email with the temporary password.
  • If you enter the wrong password three times in a row, your account will be locked for 30 minutes. After 30 minutes, you will be able to access USA Performance with your most current password.
Assign a Proxy User

Each user has the ability to assign a proxy for their account. Proxy users can log into USA Performance on behalf of an Executive or Rating Official to edit aspects of their performance plans. This includes appraisal period, performance requirements, weights, and strategic alignment.

- Proxy users cannot sign performance plans.

1. From the Home page, click the dropdown in the upper right-hand corner of the navigation bar and select Manage Proxies.

2. Under the Available Users section, select Add as Proxy for the individual that you would like to assign as proxy user. You may add more than 1 proxy. (If the name does not appear, contact your NIH Administrator to request the addition of the individual’s name to the system.

3. The name will appear under the Proxies section and that user will now have the ability to execute the functions of a proxy user.

4. Select Save Changes to confirm the addition of the proxy to the account.
Part 2: System Navigation

BEFORE YOU BEGIN

- Note your notifications and dashboard configuration are based on your user role, permissions, and rating cycle.

1. Login.
2. Home page will display. The navigation bar includes the following tabs:
   - **Home**—This button returns you to the Home page where you can see the Dashboard of your performance management actions and alerts.
3. **Performance Management**—This button takes you to the Performance Management section of the system, which has three tabs: Planning, Monitoring, and Rating.
   - **NOTE:** This section is for executives who are also rating officials. Specific instructions for rating officials can be found in the USAP GUIDE FOR RATING OFFICIALS located on the USA Performance OHR page here: https://hr.nih.gov/hr-systems/usa-performance/usa-performance-user-resources-and-training. Each tab enables you to view which employees are at each phase of their performance plans. If you are unable to find an employee within a certain tab, it is likely because they are at a different phase, which requires referencing the other tabs. Within each tab, you can take action on employee performance plans such as viewing or signing the plans. Any necessary action will be indicated for each employee.
5. **Resources**—Provides USA Performance resources and reference materials.
6. **User Profile**—Your login in name will appear on the user profile dropdown. Click the dropdown to
7. **Manage Proxies** or Logoff.
Dashboard

When you first log in to USAP, you will be taken to the Home/Dashboard page with a Navigation bar at the top of the page with three buttons: Home, Performance Management, and Resources. This Navigation bar appears at the top of every page. In the upper right-hand corner is the user profile dropdown, which can be used to logoff or initiate proxy settings (explained later in this training).

The Dashboard enables you to see the status of your performance plan (if applicable) and alerts you of tasks you need to complete. It is organized into two sections: “Tasks Requiring My Attention” and “Quick Links.”

Tasks Requiring My Attention: This section provides you with the tasks requiring your attention regarding your performance plan in the system. Under this heading, there is a subheading titled “My Active Plans” that provides links to pending tasks for your plans that are active.

Quick Links: This section has a subheading titled “Performance Plan” with quick links to prior years’ performance plans.

System Email Notifications
When certain tasks requiring user action are generated on the Dashboard, it triggers a notification email detailing what needs to be done. Email notification will be sent to the executive for the following actions:

- Sign plan after Rating Official signs Part 1
- Sign for progress review after Rating Official signs Part 2
- Sign for rating after the Rating Official or Reviewing Official signs Part 3
- Notify when plan is signed by Appointing Authority
Part 3: The Planning Phase

BEFORE YOU BEGIN

- Prior to signing the performance plan in USA Performance, the rating official and the executive must first meet to discuss the details of the plan.
- The rating official and the executive are each required to sign the performance plan individually. Proxy users will not able to sign on their behalf.

Create a performance plan

1. From the Home/Dashboard page, under the Tasks Requiring My Attention section, click Create My 2019 Plan

Creating a performance plan allows you to take the following actions:

✓ Enter appraisal period dates
✓ Add additional text to the Critical Elements to include agency-specific requirements
✓ Add a performance requirement and provide strategic alignment
✓ Edit or remove performance requirements
✓ Add supporting documentation
✓ Sign plan as an Executive

Import a Performance Plan from a Previous Year

1. After clicking Create Plan, you may see an option to Import from Previous Plan. This option will only appear if you had a performance plan in USAP in the previous performance management (PM) cycle.
2. When you select Create Plan, a prompt may appear asking if you want to import the data from the previous performance plan.
3. Choose Yes or No.
4. Selecting Yes for this option will copy the contents from Part 1. Consultation, any agency-specific requirements for the critical elements, weight settings, and the performance requirements and strategic alignment.

![Import from Previous Plan]

Navigate the Performance Plan

1. The navigation bar at the top of the performance plan assists you with completing the plan. Items on the navigation bar link to the following actions: Consultation, Progress Review, Rating, Formula, Critical Elements, Narratives, Documents, Notes, Save, and Print. An icon with a red circle and a backslash indicates the action is not available at the current phase.

- **Consultation**—This button takes you directly to Part 1. Consultation of the performance plan.

- **Progress Review**—This button takes you to Part 2. Progress Review of the performance plan.

- **Rating**—This button takes you to the summary rating portion of the performance plan.

- **Formula**—This button takes you to the derivation formula section of the performance plan.

- **Critical Elements**—This button takes you to Part 5. Critical Elements, where Executives and Rating Officials can add text or enter critical element weights.

- **Narratives**—This button takes you to Part 6. Summary Rating Narrative and Part 7 Executive's Accomplishment Narrative where Executives and Rating Officials can complete the narratives for the performance plan.

- **Documents**—This button takes you to the Employee Documents section where you can upload additional documents to append to the performance plan.

- **Notes**—This button takes you to the notes section of the performance plan where general notes can be added to the performance plan. If you move your cursor over the Notes icon, it will show the last time the notes section was updated.

- **Save**—This button saves any changes made to the performance plan.
- **Print**—This button enables you to print a hard copy of the performance plan.

**Enter Appraisal Period Dates**

1. **Establish appraisal period start date**—Select the first box next to **Appraisal Pd.** and enter the appraisal starting date in the calendar dropdown (usually October 1)

2. **Establish appraisal period end date**—Select the second box next to **Appraisal Pd.** and enter the appraisal end date in the calendar dropdown (usually September 30)

**Add Text to Critical Elements**

**Add text to Critical Elements 1-4**

1. For Critical Elements 1-4, agency-specific performance requirements may be added to the standard element language.

2. Place your cursor in the text box under **Agency-Specific Performance Requirements.** For NIH SES, SL (Supervisors), and SENIOR-LEVEL TITLE 42 EMPLOYEES—Refer to the current year guidance
3. Insert the additional text.

4. Click Save at the top of the page.

**TIP:** Due to system timeouts, we recommend drafting any narratives in a word processing program and then pasting it into the USAP plan. Typing text does not prevent the system from timing out. If the system times out before you save, you will lose your work. Save your work often!

**Add text to Critical Element 5**

1. Scroll down the page to **Critical Element 5** and click inside the **Performance Requirement** box to add text.

2. Under **Strategic Alignment**, indicate the agency strategic or operational goal to which the requirement is aligned.

3. Select Save at the top of the page.

4. To add an additional performance requirement, select the **Add Performance Requirement** button at the bottom of the page and repeat the steps above.
Enter Critical Element Weights
1. To enter critical element weights, type a value into each of the **Weight** fields and click **Save**.
   - Critical Elements 1-4 have a minimum weight of 5% and a maximum weight of 20%.
   - Critical Element 5 has a minimum weight of 20% and a maximum weight of 80%.
   - When weighting the performance requirements, the weight must total 100%.

**NOTE:** Weight Restrictions vary by agency. Reference agency-specific policy to ensure compliance with weight restrictions. **NIH Specific Performance Requirement for ALL SES, SL (Supervisors), and SENIOR-LEVEL TITLE 42 EMPLOYEES** are in the current year guidance.

Edit a Performance Plan
1. Scroll down to the performance requirement section you wish to edit and click in the **Performance Requirement** or the **Strategic Alignment** fields to edit the text.
2. To delete an entire performance requirement, select the red X box next to the performance requirement you wish to delete. You will only be able to delete an optional performance requirement.
3. Click **Save** at the top of the page.

**Tip:** Once a plan is signed by the Executive and/or the Rating Official, signatures have to be removed before changes can be made to the plan. To remove a signature from a plan, select the "Remove" button that appears next to your signature. Removing a signature will also remove others’ signatures.

Sign Your Performance Plan
**Once your Rating Official has signed your plan, you will be able to sign your plan.** On the Dashboard, under **Tasks Requiring My Attention**, you will see **Sign My Consultation**.

1. To sign the plan, select **Sign Own Plan**.
2. In Part 1, next to the Executive’s Signature, select Sign.
3. When the prompt Are you sure you want to sign this Performance Plan? appears, select Yes.

**NOTE:** You will not be able to type your name or the date in the boxes. When you select “Yes” to assign the plan, your name and date will automatically appear in the respective boxes.
Part 4: Monitoring Phase

Progress Review occurs after the performance plan has been created and the initial consultation and signatures have been completed. In Progress Review phase, you have the ability to take the following actions:

- Edit or add additional text to the critical elements to include agency-specific requirements
- Add a performance requirement and provide strategic alignment
- Edit or remove performance requirements
- Sign progress reviews as the Executive
- Add supporting documentation
- Print performance plans

**NOTE:** The actions listed above occur initially in the planning phase, but can be repeated during the progress review phase if a plan requires revisions. However, in order to edit critical elements, add a performance requirement, or edit or remove a performance requirement during the monitoring phase, the Rating Official and the Executive must un-sign the plan, make any necessary revisions, and then re-sign the plan. To un-sign the plan, select the "Remove" button, which appears next to your signature in the performance plan. This will remove all signatures.

**BEFORE YOU BEGIN**

- **Prior to signing a progress review plan in USA Performance, the rating official and the executive must first meet to discuss the plan.**
- **The plan is required to be signed in sequential order with the Rating Official signing first followed by the Executive.**
- **Before adding supporting documentation to USA Performance, verify that your document(s) are accurate, proofed and easy to read prior to uploading in the system.**
- **Verify documents to be uploaded are relevant to the rating phase. For example, an accomplishment narrative may not be appropriate to upload during the consultation phase of the rating cycle.**

**Tip:** If an employee signature is removed, the plan will stay in the Monitoring phase. Notification is not received if a signature has been removed. A plan must be opened to determine if signatures have been removed. The Performance Management Page will display a plan if a signature is removed during the planning phase.

Progress Review Signatures

1. After the **Rating Official** signs, the **Executive** can sign.
2. Select the **Request Reviewing Official Signature** box to request a higher level review.

**Add Supporting Documentation**

1. Select **Performance Management** on the navigation bar and click on the individual’s name to view an employee’s Performance Plan.
2. Click the **Documents** icon at the top of the plan or scroll to the bottom of the page and select **Add Document**.
3. Enter a **Description** (optional).
4. Choose a file to upload by clicking **Browse**.
5. Select a **Document Type** from the dropdown menu (optional).
6. Enter text in the **Comments** textbox (optional).

**NOTE:** Documents can be accessed by clicking the documents icon the top of the performance plan page and scrolling down to the bottom of the page of the performance plan.

7. Click **Save Changes**.
   - The details of the uploaded document should be listed in the **Employee Documents** table at the bottom of the page.

8. Click **Delete** in order to remove the document.
Part 5: The Rating Phase

The rating phase occurs at the end of the performance appraisal period. After the monitoring phase is complete, the performance plan will enter the rating phase and notify you to Sign Plan or Sign Own Plan. To add narratives, ratings and signatures, open your employee’s performance plan.

BEFORE YOU BEGIN

- Take notes throughout the rating period in order to assist in the drafting of the self-accomplishment narrative and the summary rating narrative.

Executive’s Accomplishment Narrative

1. As an Executive, you have the option to document your accomplishments for the rating period in Part 7. Executive’s Accomplishment Narrative, but it is not required.

2. Click on Narratives at the top of your performance plan.

3. Enter text into Part 7 Executive’s Accomplishment Narrative textbox.

4. Select Save at the top of the page.

   Tip: Due to system timeouts, we recommend drafting any narratives in a word processing program and then pasting it into the USAP plan. Typing text does not prevent the system from timing out. If the system times out before you save, you will lose your work. Save your work often!

5. To re-release your narrative to the Rating Official, select Send to Rating Official
You have the option to send your Rating Official your narrative by selecting the **Send to Rating Official** checkbox.

If selected, the Rating Official will receive an alert to **Review Executive Summary and Sign**; otherwise, your narrative can only be seen by you.

You also have the option to recall your narrative by selecting **Enable Edit and Re-release**.

If selected, the Rating Official will no longer be able to view your narrative and you will be able to make changes to your narrative.

**Executive Signature**

**Login → Home → Performance Management**

Once the performance plan has been rated and signed by your Rating Official and the Higher Level Reviewer (if required), you will have the opportunity to review their ratings and sign the plan under **Part 3. Summary Rating**.

1. Prior to signing the plan, you have the option to **Request a Higher Level Review**.
2. Before selecting the **Request a Higher Level Review** checkbox, you should upload a justification to **Employee Documents** explaining why you disagree with the rating.

![Higher Level Review](image)

**TIP:** If a Higher Level Review has already been conducted based on agency specific policy, the Agency Administrator will be notified to assign the performance plan to another Higher Level Reviewer.

**Print a Performance Plan**

1. Select the **Performance Management** link from the top navigation bar.
2. Select the name of the plan to be viewed.

![Performance Management](image)

3. Select the **Print** icon in the upper right corner.
4. Select **Report pdf** in the lower left corner.

5. Select the **Print** icon in the upper right corner.
Users can contact the USAP Help Desk through the USA Performance website as well as e-mail for technical assistance.

Request USAP Help Desk Support

For further questions, contact your designated IC liaison at https://hr.nih.gov/hr-systems/usa-performance/usa-performance-ic-proxies.

1. Click Email Helpdesk.
2. You can also email the Helpdesk directly at USAPerformance@opm.gov.