



**SES PERFORMANCE MANAGEMENT SYSTEM
EXECUTIVE PERFORMANCE AGREEMENT**



Part 1. Consultation. *I have reviewed this plan and have been consulted on its development.*

Executive's Name (Last, First, MI): <input type="checkbox"/> CA <input type="checkbox"/> NC <input type="checkbox"/> LT/LE <input type="checkbox"/> Other	Executive's Signature	Rating Period (mm/dd/yyyy) -
Title	Organization	Date (mm/dd/yyyy)
Rating Official's Name (Last, First, MI)	Rating Official's Signature	Date (mm/dd/yyyy)

Part 2. Progress Review

Rating Official's Name (Last, First, MI)	Rating Official's Signature	Date (mm/dd/yyyy)
Executive's Signature	Reviewing Official's Signature (Optional)	Date (mm/dd/yyyy)

Part 3. Summary Rating

Initial Summary Rating

<input type="checkbox"/> Level 5: Achieved Outstanding Results (AO)	<input type="checkbox"/> Level 4: Achieved More than Expected Results (AM)	<input type="checkbox"/> Level 3: Achieved Expected Results (AE)	<input type="checkbox"/> Level 2: Partially Achieved Expected Results (PA)	<input type="checkbox"/> Level 1: Achieved Unsatisfactory Results (UR)
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Rating Official's Name (Last, First, MI)	Rating Official's Signature	Date (mm/dd/yyyy)
Executive's Signature	Reviewing Official's Signature (Optional)	Date (mm/dd/yyyy)

Higher Level Review (if applicable)

<input type="checkbox"/> I request a higher level review.	Executive's Initials	Date (mm/dd/yyyy)
<input type="checkbox"/> Higher Level Review Completed	Higher Level Reviewer Signature	Date (mm/dd/yyyy)

Performance Review Board Recommendation Level 5:(AO) Level 4:(AM) Level 3:(AE) Level 2:(PA) Level 1:(UR)

PRB Signature:	Date (mm/dd/yyyy)
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Annual Summary Rating Level 5:(AO) Level 4:(AM) Level 3:(AE) Level 2:(PA) Level 1:(UR)

Appointing Authority Signature:	Date (mm/dd/yyyy)
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Part 4. Derivation Formula and Calculation of Annual Summary Rating

Critical Element	Rating Level		Weight	Score		Summary Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change						475-500 = Level 5 (AO) 400-474 = Level 4 (AM) 300-399 = Level 3 (AE) 200-299 = Level 2 (PA) Any CE rated Level 1 = Level 1
2. Leading People						
3. Business Acumen						
4. Building Coalitions						
5. Results Driven						
Total			100%			

Executive Name:

Appraisal Period:

-

Part 5. 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- Achieved Outstanding Results:** 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- Achieved More than Expected Results:** 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- Achieved Expected Results:** 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 often exceeds challenging performance expectations established for the position.
- **Level 2- Partially Achieved Expected Results:** 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 - Achieved Unsatisfactory Results:** 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 does not meet established performance expectations/timelines/targets and fails to produce – or produces unacceptable – work products, services, or outcomes.

Element Rating Level Points Assignments	Level 5 (AO) = 5 points Level 4 (AM) = 4 points Level 3 (AE) = 3 points Level 2 (PA) = 2 points Level 1 (UR) = 0 points
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Critical Element 1. Leading Change	(Minimum weight 5%)	Weight:
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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.

Agency-Specific Performance Requirements

Executive Name:

Appraisal Period:

-

Rating Official Narrative: *(Optional)*

Critical Element Rating – Leading Change

Level 5:(AO) Level 4:(AM) Level 3:(AE) Level 2:(PA) Level 1:(UR)

Critical Element 2. Leading People

(Minimum weight 5%) Weight:

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.

Agency-Specific Performance Requirements

Rating Official Narrative: *(Optional)*

Critical Element Rating – Leading People

Level 5:(AO) Level 4:(AM) Level 3:(AE) Level 2:(PA) Level 1:(UR)

Executive Name:

Appraisal Period: -

Critical Element 3. Business Acumen

(Minimum weight 5%) Weight:

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.

Agency-Specific Performance Requirements

Rating Official Narrative: *(Optional)*

Critical Element Rating – Business Acumen

Level 5:(AO) Level 4:(AM) Level 3:(AE) Level 2:(PA) Level 1:(UR)

Critical Element 4. Building Coalitions

(Minimum weight 5%) Weight:

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.

Agency-Specific Performance Requirements

Rating Official Narrative: *(Optional)*

Critical Element Rating – Building Coalitions

Level 5:(AO) Level 4:(AM) Level 3:(AE) Level 2:(PA) Level 1:(UR)

Executive Name:

Appraisal Period:

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Critical Element 5. Results Driven

(Minimum weight 20%) Weight:

Agency Goals/Objectives for FY

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, the performance plan will include performance requirements (including measures, targets, timelines, or quality descriptors, as appropriate) describing the range of performance at Level 3 for each result specified. It is recommended to also establish the threshold measures/targets for Levels 5 and 2.

Alignment--cite relevant goals/objectives, page numbers, from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document in the designated section for each performance result specified.

Result 1:	Strategic Alignment:
Result 2:	Strategic Alignment:
Result 3:	Strategic Alignment:

Executive Name:

Appraisal Period:

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Result 4:

Strategic Alignment:

Result 5:

Strategic Alignment:

Rating Official Narrative: *(Optional)*

Critical Element Rating – Results Driven

Level 5:(AO) Level 4:(AM) Level 3:(AE) Level 2:(PA) Level 1:(UR)

Executive Name:

Appraisal Period: -

Part 6: Executive's Accomplishment Narrative

Part 7: Summary Rating Narrative (Mandatory)
