|  |
| --- |
| **Employee:**  |
| **Title, PP/Series/Grade:**   |
| **Agency/Organization:**  |
| **Performance Rating:**  | **Date of Rating:**  |

**References:** [5 USC Ch. 43: PERFORMANCE APPRAISAL (house.gov)](https://uscode.house.gov/view.xhtml?path=/prelim@title5/part3/subpartC/chapter43&edition=prelim), [eCFR : 5 CFR Part 430 -- Performance Management](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430?toc=1), [OPM Senior Executive Service Desk Guide](https://www.opm.gov/policy-data-oversight/senior-executive-service/reference-materials/ses-desk-guide.pdf)

**Instructions:** Use this checklist to review SES performance appraisals.

[**Quick Link to "Case File Summary/Comments:"**](#_Case_File_Summary/Comments:)

| **Y** | **N** | **Review Item** | **Comments** |
| --- | --- | --- | --- |
|  |  | Agencies must establish appropriate timelines for communicating performance plans, conducting appraisals, and assigning and communicating annual summary ratings. [[5 CFR 430.308(a)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-C/section-430.308#p-430.308(a))] |  |
|  |  | Performance requirements are aligned with agency mission and strategic initiatives. [[5 CFR 430.305 (a)(2)]](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-C/section-430.305) |  |
|  |  | Performance plan describes individual and organizational expectations for the appraisal period that clearly fall within the senior executive's area of responsibility and control. [[5 CFR 430.306(a)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-C/section-430.306#p-430.306(a))] |  |
|  |  | Each agency must establish one or more Performance Review Boards (PRB) to make recommendations to the appointing authority on the performance of its senior executives. [[5 CFR 430.311](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-C/section-430.311)] |  |
|  |  | Supervisors communicate the plans in writing on or before the beginning of the appraisal period. [[5 CFR 430.306(b)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-C/section-430.306#p-430.306(c)(3))] |  |
| **The Performance Plan includes:** |
|  |  | Critical elements that reflect individual performance results or competencies; organizational performance priorities within the executive's respective area of responsibility and control; and are based on OPM-validated executive competencies. [[5 CFR 430.306(c)(1)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-C/section-430.306#p-430.306(c)(3))] |  |
|  |  | Performance standards describe each level of performance at which a senior executive's performance can be appraised; the general expectations that must be met to be rated at each level of performance; and benchmarks for developing performance requirements. [[5 CFR 430.306(c)(2)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-C/section-430.306#p-430.306(c)(3))] |  |
|  |  | Performance requirements describe expected accomplishments or demonstrated competencies for fully successful performance by the executive. [[5 CFR 430.306(c)(3)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-C/section-430.306#p-430.306(c)(3))] |  |
|  |  | Requirements align with agency mission and strategic planning initiatives. [[5 CFR 430.306(c)(3)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-C/section-430.306#p-430.306(c)(3))] |  |
|  |  | Performance requirements contain measures of the quality, quantity, timeliness, cost savings, or manner of performance, as appropriate, expected for the applicable level of performance. [[5 CFR 430.306(c)(3)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-C/section-430.306#p-430.306(c)(3))] |  |
| **Performance Ratings document:** |
|  |  | SES member held the position for at least 90 days. [[5 CFR 430.304(b)(4)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-C/section-430.304#p-430.304(b)(4))] |  |
|  |  | Rating for a career appointee's performance is not within 120 days after the beginning of a new President's term. [[5 CFR 430.309(b)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-C/section-430.309#p-430.309(b))] |  |
|  |  | A supervisor conducted at least one progress reviews during the appraisal period. [[5 CFR 430.307](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-C/section-430.307)] |  |
|  |  | Annual summary rating is derived through a mathematical method that ensures the executive’s performance aligns with the level descriptors contained in performance standards. [[5 CFR 430.305(a)(5)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-C/section-430.305#p-430.305(a)(5))] |  |
|  |  | Appraisal rating takes into account leadership effectiveness in promoting diversity, inclusion and engagement as set forth, in part, under section 7201 of title 5, United States Code. [[5 CFR 430.308(d)(7)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-C/section-430.308#p-430.308(d)(8))] |  |
|  |  | Appraisal rating takes into account the executive’s compliance with the merit system principles set forth under section 2301 of title 5, United States Code. [[5 CFR 430.308(d)(8)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-C/section-430.308#p-430.308(d)(8))] |  |
|  |  | Supervisor’s initial summary rating was shared with the executive in writing prior to review by the PRB. [[5 CFR 430.309(e)(1)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-C/section-430.309#p-430.309(e)(2))] |  |
|  |  | When applicable, the senior executive’s initial summary rating was given a Higher-level review (HLR) before the rating was given to the PRB. [[5 CFR 430.309(e)(2)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-C/section-430.309#p-430.309(e)(2))] |  |
|  |  | The PRB reviewed the initial summary rating and made recommendations to the appointing authority in writing. [[5 CFR 430.311(b)(2)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-C/section-430.311#p-430.311(b)(2))] |  |
|  |  | The appointing authority assigned the annual summary rating after the PRB's recommendations and communicated the rating in writing, including through the use of automated systems. [[5 CFR 430.309(e)(4)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-C/section-430.309#p-430.309(e)(4))] |  |
|  |  | Performance-related records are retained for 5 consecutive years from the date the annual summary rating is issued. [[5 CFR 293.404(b)(1)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-293/subpart-D/section-293.404#p-293.404(b)(1))] |  |
| **Agency uses performance results:** |
|  |  | Executive receives appropriate incentives and recognition (including pay adjustments and performance awards under part 534, subpart D) for excellence in performance. [[5 CFR 430.312(b)](5%20CFR%20430.312%28c%29%281%29)] |  |
|  |  | An executive who receives an unsatisfactory annual summary rating is reassigned or transferred within the SES or removed from the SES. [[5 CFR 430.312(c)(1)](5%20CFR%20430.312%28c%29%281%29)] |  |
|  |  | An executive who receives two unsatisfactory annual summary ratings in any 5-year period is removed from the SES. [[5 CFR 430.312(c)(2)](5%20CFR%20430.312%28c%29%282%29)] |  |
|  |  | An executive who receives less than a fully successful annual summary rating twice in any 3-year period is removed from the SES. [[5 CFR 430.312(c)(3)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-C/section-430.312#p-430.312(c)(3))] |  |
| Case File Summary/Comments: |

**Reviewer/Title:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**