The guidance below has been superseded and is no longer in effect; please click here to view the latest applicable guidance.

UNITED STATES OFFICE OF PERSONNEL MANAGEMENT
Washington, DC 20415

The Director

Tuesday, August 9, 2016

MEMORANDUM FOR: HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

FROM: BETH F. COBERT, ACTING DIRECTOR

Subject: Senior-Level and Scientific and Professional Performance Appraisal System/Program and Streamlined Certification Process

I am pleased to announce the design and issuance of a standard Senior-Level (SL) and Scientific and Professional (ST) performance appraisal system and program (referred to as the Basic SL/ST System/Program) available now for voluntary agency adoption. This uniform system/program was designed by an interagency working group of 18 agency subject matter experts convened for 6 months to respond to Federal agency recommendations to develop a standard SL/ST performance appraisal system tailored to the diverse and complex responsibilities completed by SL/ST employees in agencies across Government.

The Basic SL/ST System/Program complies with system approval and certification requirements, and provides for a consistent framework to communicate expectations and evaluate the performance of renowned scientists, engineers and technical/program experts serving in SL/ST positions. With the introduction of this new system/program and the Basic Senior Executive Service (SES) Performance Appraisal System (referred to as the "Basic SES System") announced on January 4, 2012, agencies across Government have the ability to manage the performance of the Federal Government's senior leaders through model appraisal systems incorporating best practices from agencies across Government.

In addition to promoting greater consistency, the new system/program encourages the implementation of engagement practices where supervisors and employees hold frequent, meaningful discussions about performance toward clearly established goals, contributing to enhanced ability for the agency to achieve its mission. The new system/program also promotes greater transparency of agency performance management practices, transferability of a standard performance appraisal form, and equity in the assignment of critical elements, delivery of feedback, derivation of ratings of record, and link to compensation. Given the system/program's coverage of a diverse group of SL/ST positions in agencies across Government, the Basic SL/ST System/Program provides flexibility for appropriate modification to better meet the needs of all Federal agencies and organizations. Once they have obtained OPM approval, agencies may voluntarily adopt the new system/program prior to the beginning of their upcoming performance appraisal cycle or as determined by the agency.

Similar to the Basic SES System, the design of the Basic SL/ST System/Program demonstrates compliance with statutory and regulatory requirements for system approval and certification, and qualifies for the streamlined certification process originally introduced for SES certification on

October 7, 2015. Since the design of the Basic SL/ST System/Program meets all certification criteria, OPM and the U.S. Office of Management and Budget (OMB) only need to review the implementation and application of the system, reducing the amount of documentation required to be submitted to OPM for certification. This decrease in the amount of documentation required provides for a reduction in the time required to review the documentation, allowing for a shortened timeline upon which agencies are to submit certification requests to OPM – 3 months prior to certification expiration (in comparison to the 6-month requirement when using the SL/ST Performance Accountability Assessment Tool).

Under the streamlined SL/ST performance appraisal system certification process, available beginning October 1, 2016, to agencies that have adopted and implemented the Basic SL/ST Performance Appraisal System/Program, agencies will partner with OPM and OMB to share responsibilities and provide their agency-specific expertise for the certification review, as follows:

- OPM/OMB will continue to review compliance with the certification criteria for Performance Distinctions, Pay Differentiation, and Aligned Results (merges the Alignment and Results criteria);
- Agencies will verify compliance with the certification criteria for Organizational Performance and Guidelines, Oversight, and Communication of System Application Results – all reviewed by OPM as an initial spot check with an agency's first submission under the streamlined process, and thereafter, subject to a spot check upon request by OPM; and
- The criteria for Consultation, Accountability, Balance, and Training will no longer be subject to additional verification since they are built into the Basic SL/ST System/Program. Agencies will continue to be responsible for ensuring these critical performance management practices are properly applied.

OPM staff soon will be scheduling workshops with agency performance management staff to provide guidance on agency adoption of and transition to the Basic SL/ST System/Program and the implementation of the streamlined SL/ST performance appraisal system certification process, and to review products and tools developed by the interagency working group.

We extend special thanks to your agencies' representatives who helped design this system/program. If you have questions regarding the Basic SL/ST System/Program, please contact Stephen T. Shih, Deputy Associate Director, SES and Performance Management, or his staff members in OPM Executive Resources and Performance Management, at (202) 606-2720, or performance-management@opm.gov

Cc: Council of the Inspectors General on Integrity and Efficiency, Small Agency Council, President's Management Council, Chief Human Capital Officers, Human Resources Directors, and Executive Resources Directors

Attachment: Senior-Level and Scientific or Professional Performance Appraisal Program (See PDF below)

Senior-Level and Scientific or Professional Performance Appraisal Program

[Agency Name]

I. Program Coverage

The [Agency Name] (hereafter referred to as the agency) Senior-Level (SL) and Scientific or Professional (ST) performance appraisal program applies to all agency Senior Professionals [agencies should specify any exclusions to the coverage]. This program establishes specific procedures and requirements for planning, monitoring and rating performance in accordance with 5 U.S.C. 4301; 5 CFR 430, Subpart B; and the agency SL/ST appraisal system as documented on the OPM Form 1631.

II. Definitions

- *Appraisal* means the process under which performance is reviewed and evaluated.
- *Appraisal period* means the established period of time for which performance will be reviewed and a rating of record will be prepared.
- *Appraisal program* means the specific procedures and requirements established under the policies and parameters of an agency appraisal system.
- *Appraisal system* means a framework of policies and parameters established by an agency as defined at 5 U.S.C. 4301(1) for the administration of performance appraisal programs.
- *Approving Official* means the agency designated official who assigns the rating of record.
- *Competency* means a measurable pattern of knowledge, skills, abilities, behaviors, and other characteristics that an individual needs to perform work roles or occupational functions successfully.
- *Critical element* means a work assignment or responsibility of such importance that unacceptable performance on the element would result in a determination that an employee's overall performance is unacceptable. Critical elements may include the possession and demonstration of competencies critical to success in the position. Such elements shall be used to measure performance only at the individual level.
- *Performance* means accomplishment of work assignments or responsibilities and demonstration of competencies applied to the job.
- *Performance objective* means the description of what a Senior Professional is expected to accomplish to be rated at a specific performance level. Performance objectives generally are a hybrid of elements and standards, where they combine results with the measures for the applicable level of performance. Such measures are expressed in terms of quality, quantity, timeliness, cost savings, manner of performance, or other applicable factors.
- *Performance plan* means all of the written, or otherwise recorded, performance elements that set forth expected performance. A plan must include all critical elements and their performance standards.
- *Performance rating* means the written, or otherwise recorded, appraisal of performance compared to the performance standard(s) for each critical element on which there has been an opportunity to perform for the minimum period. A performance rating may include the assignment of a summary level within a pattern.
- *Performance standard* means the management-approved expression of the performance threshold(s), requirement(s), or expectation(s) that must be met to be appraised at a particular level of performance.
- *Progress review* means communicating with the employee about performance compared to the performance standards of critical elements.
- *Quality indicator* means descriptive language that explains how the rater will determine the work product is acceptable. These indicators often are expressed as smaller, verifiable accomplishments ("mini-results") that must be completed successfully to produce the principal result identified in the performance objective.
- *Rating Official* means the official, generally the supervisor of the Senior Professional, who assigns a performance rating or recommends a rating of record.

- *Rating of record* means the performance rating prepared at the end of an appraisal period for performance of agency-assigned duties over the entire period and the assignment of a summary level within a pattern. These ratings constitute official ratings of record. The rating of record is final when it is issued to an employee with all appropriate reviews and signatures.
- *Senior Professional* means an SL or ST employee.
- *Unacceptable performance* means performance of an employee that fails to meet established performance standards in one or more critical elements of the employee's performance plan.

III. Appraisal Period

Appraisal Period. This is the period for which a performance plan is developed and implemented, during which performance shall be monitored, and for which a rating of record shall be prepared. The appraisal period shall generally be 12 months. Senior Professionals must be appraised on an annual basis on their performance and a rating of record must be issued for the relevant period of performance each year (e.g., October 1 through September 30). [Agencies should include here the beginning and ending dates of their appraisal periods.]

- **Minimum Period.** The minimum period of performance that must be completed before a performance rating can be prepared is 90 days.
- **Extending the Appraisal Period.** If the agency cannot prepare a Senior Professional's performance rating at the end of the appraisal period because the Senior Professional has not completed the minimum appraisal period or for other reasons (e.g., when work assignments and responsibilities so warrant), the agency must extend the Senior Professional's appraisal period and will then prepare the rating of record as soon as practicable.

IV. Planning Performance: *Performance Plan*

Rating Officials establish performance plans in consultation with the Senior Professional and issue the plans to them in writing, including electronically, at the beginning of the appraisal period (normally within 30 days), upon appointment to a Senior Professional position, or at the beginning of any temporary assignment or detail lasting 90 days or more. [Agencies should include here requirements, if applicable, to have a Reviewing Official approve the establishment of the Senior Professional's performance plan.]

- **Details or Temporary Assignments.** The gaining organization must establish a performance plan for any Senior Professional detail or temporary assignment expected to last 90 days or more. A performance rating shall be prepared at the conclusion of the detail or temporary assignment. See Section XI for rating performance for any detail or temporary assignment.
- **Supervisory Requirements.** Supervisory Senior Professionals' performance plans must contain performance objective(s) within Critical Element 5 (Position Specific) that hold the Senior Professionals accountable for seeking and using employee perspective and the performance management of subordinates (i.e., for aligning subordinate performance plans with organizational goals and for thoroughly appraising employee performance).
- **Alignment with Goals.** Senior Professionals' performance plans must contain critical elements with competencies and performance objectives that clearly link to the agency's mission, organizational goals, and/or program and policy objectives.

V. Planning Performance: *Foundational Competencies*

The following competencies were found to be critical to the successful completion of Senior Professionals' work assignments. Generally, agencies hire for these competencies and do not assess them on an annual basis. However, one or more of them may be included in Critical Element 5 (Position Specific) if a determination is made to assess annually.

- *Integrity/Honesty* - Contributes to maintaining the integrity of the organization; displays high standards of ethical conduct and understands the impact of violating these standards on an organization, self, and others; is trustworthy.
- *Interpersonal Skills* - Shows understanding, friendliness, courtesy, tact, empathy, concern, and politeness to others; develops and maintains effective relationships with others; may include effectively dealing with individuals who are difficult, hostile, or distressed.
- *Oral Communication* - Expresses information (for example, ideas or facts) to individuals or groups effectively, taking into account the audience and nature of the information (for example, technical, sensitive, controversial); makes clear and convincing oral presentations; listens to others, attends to nonverbal cues, and responds appropriately.
- *Written Communication* - Recognizes and uses correct English grammar, punctuation, and spelling; communicates information (for example, facts, ideas, or messages) in a succinct and organized manner; produces written information, which may include technical material that is appropriate for the intended audience.
- *Public Service Motivation* - Shows a commitment to serve the public. Ensures that actions meet public needs.

VI. Planning Performance: *Critical Elements*

Critical elements are composed of identified competencies and established performance objectives that should be input and/or selected by the Rating Official in consultation with the Senior Professional. Nevertheless, management retains discretion in determining appropriate competencies and performance objectives to be assigned.

- **Critical Element Weights.** Each critical element assigned to the Senior Professional must be assigned a weighted value, with the total weights adding to 100 points.
  - No single critical element can be assigned a greater weight than the Business Results element.
  - No mandatory critical element can be assigned a weight of zero points.
  - All weights must be assigned in 5 point increments.

  [Agencies may indicate here whether they require consistent critical element weighting for all Senior Professionals in the agency or permit variable weighting depending on the responsibilities of the individual Senior Professional. Agencies should also specify if they are establishing permanent weights or allowing them to vary year to year. If variable weights are used, the agency should specify who has the authority to establish them.]

As detailed below, each Senior Professional performance plan shall include Critical Elements 1-4; Critical Element 5 is optional for agency use.

1. **Project/Program Management (Mandatory):** *Rating Officials should select applicable competencies (from those below) in consultation with the Senior Professional that contribute to the Senior Professional's performance toward work assignments or responsibilities. At least one competency must be selected under this critical element.* [Agencies should specify here any other requirements for the number of competencies selected under this critical element].
   - *Decision Making* – Makes sound, well-informed, and objective decisions; perceives the impact and implications of decisions; commits to appropriate action, even in uncertain situations, to accomplish work assignments and applicable organizational goals.
   - *Financial Management* – Understands the organization's financial processes. Prepares, justifies, and administers the project/program budget. Oversees procurement and contracting to achieve desired results. Monitors expenditures and uses cost-benefit thinking to set priorities.
   - *Information Management* – Identifies a need for and knows where or how to gather information; organizes and maintains information on information management systems; retrieves and applies information appropriately in various situations.

- *Legal, Government and Jurisprudence* – Knowledge of applicable laws, legal codes, court procedures, precedents, legal practices or documents, government regulations, executive orders, agency rules, government organization or functions, and/or the democratic political process as they apply to area of responsibility.
- *Planning and Evaluating* – Organizes work, sets priorities, and determines resource requirements; determines short- or long- term goals and strategies to achieve them; coordinates with other organizations or parts of the organization to accomplish goals; monitors progress and evaluates outcomes.
- *Problem Solving* – Identifies problems; determines accuracy and relevance of information; uses sound judgment to generate and evaluate alternatives, and to make recommendations.
- *Project Management* – Applies principles, methods, or tools for developing, scheduling, coordinating, monitoring, evaluating, and managing projects and resources, including technical performance.
- *Reasoning* – Identifies rules, principles, or relationships that explain facts, data, or other information; analyzes information and makes correct inferences or draws accurate conclusions.
- *Research* – Applies knowledge of the scientific principles, methods, and processes used to conduct a systematic and objective inquiry; including study design, collection, analysis, and interpretation of data; and the reporting of results.
- *Technical Competence/Subject Matter Expertise* – Uses knowledge that is acquired through formal training or extensive on-the-job experience to perform one's job; works with, understands, and evaluates technical information related to the job; advises others on technical issues.

2. **Interpersonal Leadership/Responsibilities (Mandatory):** *Rating Officials should select applicable competencies (from those below) in consultation with the Senior Professional that contribute to the Senior Professional's performance toward work assignments or responsibilities. At least one competency must be selected under this critical element.* [For agencies seeking certification of their performance appraisal system, the Customer Service competency must be selected. Agencies should specify here any other requirements for the number of competencies selected under this critical element].
   - *Collaboration/Partnership* – Encourages and facilitates cooperation and trust; fosters commitment; works with others to achieve goals.
   - *Conflict Management* –Anticipates and takes steps to prevent counter-productive confrontations. Manages and resolves conflicts and disagreements in a constructive manner.
   - *Customer Service* – Engages with customers (that is, any individuals who use or receive the services or products the work unit produces, including the general public, individuals who work in the agency, other agencies, or organizations outside the Government) to seek input (assess their needs, obtain information), resolve their problems, or satisfy their expectations. Uses customer input to inform quality products and services.
   - *Influencing/Negotiating* – Persuades others to accept recommendations, cooperate, or change their behavior, works with others towards an agreement; negotiates to find mutually acceptable solutions.
   - *Leadership* – Influences, motivates, and challenges others; adapts leadership styles to a variety of situations. Accepts leadership roles as appropriate. Conducts oneself in a manner that sets a positive example.
   - *Leveraging Diversity/Civil Rights Compliance* – Relates well to people from varied backgrounds and different situations; is sensitive to cultural diversity, race, gender, disabilities, and other individual differences. Complies with all laws, regulations, and agency policies regarding the treatment and acceptance of all individuals. Acts in ways that protect civil rights.
   - *Mentorship* – Provides guidance, direction, and career advice through mentoring– either a standalone program, part of a training and development program within an organization, or individually. Establishes mentoring relationships with one or more individuals.

- *Political Savvy* – Identifies the internal and external politics that impact the work of the Senior Professional or the organization. Perceives organizational and political reality and acts accordingly.

3. **Leading Innovation (Mandatory):** *Rating Officials should select applicable competencies (from those below) in consultation with the Senior Professional that contribute to the Senior Professional's performance toward work assignments or responsibilities. At least one competency must be selected under this critical element.* [Agencies should specify here any other requirements for the number of competencies selected under this critical element].
   - *Creative Thinking* – Uses imagination to develop new insights into situations and applies innovative solutions to problems; designs new methods where established methods and procedures are inapplicable or are unavailable.
   - *Flexibility/Adaptability* – Is open to change and new information; adapts behavior or work methods in response to new information, changing conditions, or unexpected obstacles; effectively deals with ambiguity.
   - *Organizational Awareness* – Knows the organization's mission and functions, and how its social, political, and technological systems work and operates effectively within them; this includes the programs, policies, procedures, rules, and regulations of the organization.
   - *Strategic Thinking* – Formulates effective strategies consistent with the business and competitive strategy of the organization in a global environment; examines policy issues and strategic planning with a long term perspective; determines objectives and sets priorities; anticipates potential threats or opportunities.
   - *Vision* – Takes a long-term view and builds a shared vision with others; acts as a catalyst for change. Influences others to translate vision into action.

4. **Business Results (Mandatory):** *At least one performance objective must be established for the Business Results critical element by the Rating Official in consultation with the Senior Professional.* [Agencies should specify here any other requirements for the number of objectives input under this critical element.]
   This critical element shall include specific performance results, including established targets and milestones, expected from the Senior Professional during the appraisal period, focusing on measurable outputs and outcomes that are aligned to organizational or agency goals and objectives, and/or program and policy objectives.
   - Rating Officials, in consultation with the Senior Professional, must include in this element the business results and their quality indicators describing the range of performance at the Fully Successful level for each result specified. It is recommended to also establish the threshold indicators for Levels 5 and 2. Indicators must reflect the same level of performance as the respective performance standard contained in section VII. In addition to the quality indicators, applicable measures of quantity, timeliness, and/or cost-effectiveness may be included to describe the appropriate level of accomplishment expected.
   - Each performance objective of the Business Results critical element must contain results and quality indicators that are clearly and differentially identified by the Senior Professional so that it is readily evident what will be rated and what is expected for success. Activities that lead to the specified result may be included. However, the quality indicators must clearly apply to the result – not any associated activity.

5. **Position Specific (Optional):** *This critical element is optional for agency use.* [Agencies should specify here requirements for the usage of this critical element (i.e., agency use, number of objectives required under this critical element, etc.).]
   The Position Specific critical element may include additional agency specific performance objectives - written by the Rating Official and Senior Professional as competencies or specific commitments or activities - that are not already accounted for in Critical Elements 1-4. For example, additional results that support selected competencies or address agency administrative goals rather than mission goals

may be included in this element. This means Rating Officials may not include competencies or business results that are contained within another critical element in the performance plan (i.e., upon which the Senior Professional will be rated elsewhere).

- Within this critical element, if the performance objective is written as a competency, it is rated using the performance standards contained in section VII of this document. If the performance objective is a result, commitment, or activity, it must include quality indicators that reflect the same level of performance as the Fully Successful performance standard contained in section VII of this document.
- [Agency must indicate whether it will use this element.]The Position Specific element is available for agency specific or position specific aspects of the job the Rating Official, in consultation with the Senior Professional, determines are important to assess. The Rating Official retains the right to assign Position Specific objectives as needed.

VII. Planning Performance: *Performance Standards for Critical Elements*

Performance toward Critical Elements 1-3 (Project/Program Management, Interpersonal Leadership/Responsibilities, and Leading Innovation) shall be appraised using the performance standards specified below. Within Critical Element 4 (Business Results), the performance objectives must include quality indicators at the Fully Successful Level that reflect the same level of performance as the Level 3 performance standard below along with any other applicable measures. Within Critical Element 5 (Position Specific), if the performance objective is a competency, it is rated using the performance standards described below. If the performance objective is a result or measurable activity, it must include quality indicators that reflect the same level of performance as the Level 3 performance standard below along with any other applicable measures. Additional levels of performance established must reflect the same level of performance as the standard described below.

- **Level 5:** The Senior Professional demonstrates exceptional performance, directly contributes toward sustaining organizational excellence, and enhances the ability to achieve results in the Senior Professional's organization, agency, department or Governmentwide. This level represents the highest level of Senior Professional performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The Senior Professional continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals. The Senior Professional consistently exceeds expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes high-quality assignments ahead of schedule.

  Performance at this level may be demonstrated in such ways as the following examples:
  - Overcomes unanticipated barriers or intractable problems by developing creative solutions that address project/program concerns that could affect the organization, agency, or Government.
  - Takes the initiative to identify new opportunities for project/program development and implementation or seeks more opportunities to contribute to optimizing results; takes calculated risks to accomplish organizational objectives.
  - Accomplishes objectives even under demands and time pressure beyond those typically found in the Senior Professional environment.
  - Achieves results of significant value to the organization, agency, or Government.
  - Achieves significant efficiencies or cost-savings in project/program delivery or in daily operational costs of the organization.

- **Level 4:** The Senior Professional demonstrates a very high level of performance beyond that required for successful performance in the Senior Professional's position. The Senior Professional often exceeds established performance expectations, timelines, or targets, as applicable. The Senior Professional is consistently highly-effective and delivers high-quality results.

Performance may be demonstrated in such ways as the following:

- Advances progress significantly toward achieving one or more project/program goals.
- Demonstrates unusual resourcefulness in dealing with project/program operations challenges.
- Achieves unexpected results that advance the goals and objectives of the project/program, organization, agency, or Government.

- **Level 3:** The Senior Professional demonstrates the high level of performance expected of Senior Professionals and the Senior Professional's actions contribute positively toward the achievement of project/program goals and meaningful results. The Senior Professional is effective, dependable and delivers project/program results based on indicators of quality, or measures of quantity, efficiency, and/or effectiveness within agreed upon timelines. The Senior Professional meets and occasionally exceeds challenging performance expectations established for the position.

  Performance may be demonstrated in such ways as the following:

  - Addresses issues proactively and effects change when needed.
  - Finds solutions to problems and champions their adoption.
  - Designs strategies leading to improvements.

- **Level 2:** The Senior Professional's contributions to the organization are acceptable in the short term, but do not appreciably advance the project/program or organization toward achievement of its goals and objectives. While the Senior Professional 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 assigned project/program(s), the Senior Professional may demonstrate limited ability to address problems characteristic of the project/program or organization and its work.

- **Level 1:** In repeated instances, the Senior Professional demonstrates performance deficiencies that detract from project/program goals and objectives or the agency mission. The Senior Professional generally is viewed as ineffectual by agency leadership or peers. The Senior Professional does not meet established performance expectations/timelines/targets and fails to produce – or produces unacceptable – work products, services, or outcomes.

VIII. Monitoring Performance

- **Monitor and Provide Feedback.** Rating Officials must monitor Senior Professional performance in accomplishing critical elements and provide feedback, including advice and assistance on improving performance, when needed, and encouragement and positive reinforcement, as appropriate. Rating Officials and Senior Professionals should engage in frequent [agencies may specify desired frequency or further define frequent here] two-way conversations regarding progress toward meeting the critical elements in the Senior Professional's performance plan. Such conversations should include the following: status updates; identification of obstacles that impede progress in attaining milestones; indicators of success or needs for improvement; and a need to revise the Senior Professional's performance plan to account for changing objectives, priorities and any other factors affecting the Senior Professional's performance toward work assignments or responsibilities.
- **Progress Review.** Each Senior Professional must receive at least one progress review documented in writing, or electronically, on the performance plan [Agencies may specify more frequent formal progress reviews and usage of the *SLST Performance Plan Addendum for Multiple Progress Reviews*, which is available for agency use, here] during the appraisal period. At a minimum, the Senior Professional must be informed of how well he or she is performing against performance standards and specific measures.

IX. Dealing with Poor Performance

If at any time during the performance appraisal period the supervisor determines a Senior Professional's performance is unacceptable in one or more critical elements, the supervisor shall provide the Senior Professional a reasonable opportunity to demonstrate acceptable performance, often referred to as a Performance Improvement Plan (PIP). The PIP shall notify the Senior Professional of the critical element(s) for which performance is unacceptable and inform him or her of the performance standard(s), including specific measures, which must be attained to demonstrate acceptable performance (Minimally Satisfactory or equivalent) in the respective position. The PIP must be done in accordance with requirements in 5 CFR 432 and agency policy for addressing poor performance.

X. Rating Performance on *Critical Elements*

- **Method for Rating Critical Elements.** Performance must be assessed for each critical element and each element must be assigned a rating.
  [The method upon which a critical element is rated is determined by the agency. The agency must explain here the method(s) chosen for determining the rating on critical elements. For example, if the Business Results element has 8 performance objectives, describe how the Rating Official will determine the rating for the element. See *Determining Element Ratings* for various options agencies may choose from when determining how critical elements will be rated. Agencies may use different methods for different groups, different Senior Professionals, or different elements. However, agencies must provide for appropriate consistency in methodology within organizations, must specify the flexibility permitted, and must monitor organizations for proper application.

  An agency may select a different rating method for each critical element. For example, an agency may rate Critical Elements 1-3 using a holistic approach, while Critical Element 4 is rated using a weighted method, and Critical Element 5 is rated using a majority method.]

XI. Deriving the Rating of Record

A written or otherwise recorded rating of record shall be issued to each Senior Professional normally within 3 months of the end of the appraisal period. The rating of record shall be based on the evaluation of actual job performance during that appraisal period. An agency shall not issue a rating of record that assumes a level of performance without an actual evaluation of that Senior Professional's performance. The rating of record is final when it is issued to a Senior Professional with all appropriate reviews and signatures. [Agency may include a reference to Section XV for additional requirements.]

Ratings of record are the basis for annual pay adjustments granted in accordance with 5 U.S.C. 5376, 5 CFR 534 subpart E, and the agency Senior Professional pay policy, and ratings-based awards granted in accordance with 5 U.S.C. 45, 5 CFR 451 and the agency Senior Professional pay policy. These ratings also serve as a basis for additional personnel actions regarding unacceptable performance in accordance with 5 U.S.C. 4303 and 5 CFR 432.

- **Critical Element Point Values.** Once the rating for each critical element is determined, the following point values will be assigned to the element ratings:
  - Level 5 = 5 points
  - Level 4 = 4 points
  - Level 3 = 3 points
  - Level 2 = 2 points
  - Level 1 = 0 points

- **Derivation Formula.** The derivation formula is calculated as follows:

- If any critical element is rated Level 1 (Unacceptable), the rating of record is Unacceptable. If no critical element is rated Level 1 (Unacceptable), continue to the next step.
- For each critical element, multiply the critical element point value by the weight assigned to that element. The result is the element score.
- Add the results from the previous step for each of the critical elements to come to a total element score.
- Assign the rating of record using the ranges below:
  - 475-500 = Level 5
  - 400-474 = Level 4
  - 300-399 = Level 3
  - 200-299 = Level 2
  - Any critical element rated Level 1 = Level 1

Example, with the rating of record determined to be Level 4 (Exceeds Fully Successful):

Critical Element	Critical Element Point Value	Element Weight	Element Score	Rating of Record Point Ranges
1. Project/Program Management	4	20	4 x 20 = 80	475-500 = Level 5 400-474 = Level 4 300-399 = Level 3 200-299 = Level 2 Any CE rated Level 1 = Level 1
2. Interpersonal Leadership/Responsibilities	5	15	5 x 15 = 75	
3. Leading Innovation	3	15	3 x 15 = 45	
4. Business Results	4	40	4 x 40 = 160	
5. Position Specific (Optional)	4	10	4 x10 = 40	
Total		100	400	

- **Summary Performance Levels.** The program includes five summary performance levels:
  - Level 5 - Outstanding
  - Level 4 - Exceeds Fully Successful
  - Level 3 - Fully Successful
  - Level 2 - Minimally Satisfactory
  - Level 1 - Unacceptable

  [If the agency wishes to use different labels for the five summary levels, it must designate those labels here and provide a crosswalk to the labels and levels used in the SL/ST appraisal program.]
- **Review of Rating of Record.**
  - A rating of record of Unacceptable (Level 1) must be reviewed and approved by a higher level management official.
  - [Agencies must include a separate provision for additional review of other rating levels by a Reviewing Official and/or Higher-level Reviewer if they want to require it or allow the Senior Professional to request it].
- **Forced Distribution.** A forced distribution of rating levels is prohibited.
- **Details or Temporary Assignments.** When a Senior Professional has completed the minimum appraisal period while on a detail or temporary assignment lasting 90 days or more, the detail Rating Official must prepare a performance rating at the conclusion of the detail to be forwarded to the Rating Official of record. The Senior Professional's Rating Official of record will take this performance rating into consideration when preparing the annual rating of record. See Section IV for procedures for planning performance for details or temporary assignments.
- **Transfers, Reassignments and Separations.**

- When a Senior Professional transfers to another agency after completing the minimum appraisal period, the Rating Official must prepare a performance rating to be forwarded to the gaining agency.
- When a Senior Professional has completed the minimum appraisal period and is reassigned to another position within the organization, the current Rating Official must prepare a performance rating to be forwarded to the gaining Rating Official.
- When a Senior Professional has completed the minimum appraisal period and separates from the agency, the Rating Official must prepare a performance rating to be forwarded to Human Resources for proper disposition (e.g., inclusion in the Senior Professional's electronic Official Personnel Folder).

- **Transferred Ratings.** When determining the rating of record for a Senior Professional who transferred from another agency during the appraisal cycle, the current Rating Official must consider any applicable performance ratings of the Senior Professional's performance received from the former agency.

XII. Senior Professional Review Panel (SPRP)

If the agency has 10 or more Senior Professionals, it must establish one or more Senior Performance Review Panels (SPRP), similar to Performance Review Boards for members of the Senior Executive Service, to make written recommendations on ratings of record, performance awards, and pay adjustments to the authorized agency official(s). [Agencies must specify if this requirement will be satisfied by using the SES Performance Review Boards or must specify if the title of its agency performance review panel is something other than SPRP. Agencies should also establish here the order of signatures that must be captured on the performance plan.]

- **Membership.** Membership of the SPRP, including designation of the Chairperson, will be determined by the [enter agency authorized official]. SPRPs must have a majority of career appointees (SES or SL/ST) when reviewing the proposed ratings, awards or pay adjustments of a Senior Professional who holds a career or career-conditional appointment or an appointment of equivalent tenure in the excepted service. SPRPs may include Federal Senior Professionals from outside the agency.
- **Offices of Inspector General (if applicable).** SPRPs reviewing ratings, performance awards, and pay adjustments for Senior Professionals in the Office of Inspector General may include Federal Senior Professionals from outside the agency, or from the Inspector General Community whether or not in the same agency.
- **Agency/Organizational Performance.** The SPRP must be provided and take into account appropriate assessments of the agency/organization's performance when making recommendations.

XIII. Requirements for System Certification.

In support of practices to promote sound and effective performance management, agencies seeking SL/ST appraisal system certification must be able to demonstrate the following criteria have been met:

- **Communication of Appraisal Results.** The results of a performance appraisal are used as a basis for adjusting pay, granting awards, determining training needs, and making other personnel decisions. See section XI for additional information regarding actions based on ratings of record. The agency must communicate annually the distribution of ratings from the previous appraisal period and the average pay adjustment and award amounts for each associated rating level to Senior Professionals. Agencies must protect the privacy of the ratings received by individual Senior Professionals when communicating these results. [Where such communication might compromise individual performance information due to the small population of Senior Professionals (i.e., 10 or less), agencies may specify here if they will report the overall average pay increase and award amounts granted or may specify results will be communicated individually to protect the privacy of rating information.]

- **Organizational Assessment and Guidelines.** The agency must assess organizational performance (overall and with respect to each of its particular missions, components, programs, policy areas, and/or support functions). The agency head (or another official designated by the agency head) must provide guidelines to Senior Professionals, Rating and Reviewing Officials, and SPRP members that include information about organizational performance results, and how to take organizational performance results into consideration when determining a Senior Professional's performance ratings, pay adjustments, and awards.
- **Oversight.** The [enter position title of oversight official (i.e., agency head or the official designated by the agency head)] must communicate organizational assessments and evaluation guidelines to Senior Professionals, their rating/reviewing officials, and the SPRP members and is responsible for overseeing the program and certifying–
  - The appraisal process makes meaningful distinctions based on relative performance;
  - Senior Professional ratings take into account assessments of organizational performance as appropriate; and
  - Pay adjustments, awards and pay levels accurately reflect performance.

  The official designated above must be at a level within the agency to provide evaluation guidelines and oversee the appraisal program for all agency Senior Professionals covered under this performance appraisal program (see Section I).
- **Performance Distinctions.** Rating Officials and SPRP members shall recommend proposed ratings of record that make meaningful distinctions based on performance relative to the Senior Professional's critical elements and standards, including specific established measures, and that take into account organizational performance results. Senior Professionals who have demonstrated the highest levels of performance will receive the highest ratings of record.
- **Differences in Pay and Awards Based on Performance**. Pay adjustments must be effected in accordance with the requirements in 5 CFR 534.404(b) and performance awards must be paid as soon as practicable after the end of the appraisal period. Senior Professionals who have demonstrated the highest levels of individual performance and/or contribution to the agency's performance receive the following:
  - The highest ratings of record;
  - The largest corresponding performance-based pay adjustments;
  - The largest corresponding performance awards; and
  - The highest corresponding levels of pay to be appropriately positioned in the pay range.

XIV. Training and Evaluation

- **Training.** The agency will provide information and training for new Senior Professionals, and refresher training for current Senior Professionals, on the requirements and operation of the agency's performance management and performance-based pay and awards programs.
- **Evaluation.** The agency will periodically evaluate the effectiveness of the performance appraisal program(s) and implement improvements as needed. These evaluations will be conducted by the [insert position title of oversight official as stated in section XIII].

XV. Additional Agency-Specific Policies

[Agencies may insert additional program requirements or authorities here.]

Senior-Level (SL) and Scientific or Professional (ST)
Appraisal Program Performance Plan for [Agency Name]
Appraisal Period: [Insert Appraisal Period Beginning and Ending Dates]

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

Senior Professional's Name *(Last, First, MI)*:		☐ SL ☐ ST
		CA ☐ Exc ☐ Term ☐ Temp ☐
Title:	☐ Supervisory ☐ Non-supervisory	Organization:
Senior Professional's Signature:		Date:
Rating Official's Name:	Rating Official's Signature:	Date:
Reviewing Official's Name *(Optional):*	Reviewing Official's Signature *(Optional)*:	Date:

Part 2. Progress Review. *I have participated in a conversation regarding progress toward meeting the critical elements in the performance plan.*

Senior Professional's Signature:		Date:
Rating Official's Name:	Rating Official's Signature:	Date:

Part 3. Rating of Record. *The rating of record is final when it is issued to a Senior Professional with all appropriate reviews and signatures.*

Rating Official's Recommendation	☐ Level 5	☐ Level 4	☐ Level 3	☐ Level 2	☐ Level 1
Rating Official's Name:	Rating Official's Signature:			Date:	
Reviewing Official's Recommendation *(Optional):*	☐ Level 5	☐ Level 4	☐ Level 3	☐ Level 2	☐ Level 1
Reviewing Official's Name *(Optional):*	Reviewing Official's Signature *(Optional)*:			Date:	
Senior Professional's Signature:		☐ Higher-Level Review Requested *(Optional)*		Date:	
Higher-Level Review Recommendation *(Optional):*	☐ Level 5	☐ Level 4	☐ Level 3	☐ Level 2	☐ Level 1
Higher-Level Reviewer Name *(Optional):*	Higher-Level Reviewer Signature *(Optional):*			Date:	
Senior Professional Review Panel (SPRP) Recommendation	☐ Level 5	☐ Level 4	☐ Level 3	☐ Level 2	☐ Level 1
SPRP Chair Name:	SPRP Chair Signature:			Date:	

Rating of Record	☐ **Level 5 Outstanding**	☐ **Level 4 Exceeds Fully Successful**	☐ **Level 3 Fully Successful**	☐ **Level 2 Minimally Satisfactory**	☐ **Level 1 Unacceptable**
Approving Official's Name:	Approving Official's Signature:			Date:	

Senior Professional Name and/or ID: Appraisal Period:

Part 4. Performance Standards for Critical Elements. *Performance toward Critical Elements 1-3 (Project/Program Management, Interpersonal Leadership/Responsibilities, and Leading Innovation) shall be appraised using the performance standards specified below. Within Critical Element 4 (Business Results), the performance objectives must include quality indicators at the Fully Successful Level that reflect the same level of performance as the Level 3 performance standard below. Within Critical Element 5 (Position Specific), if the performance objective is a competency, it is rated using the performance standards described below. If the performance objective is a result, commitment, or activity, it must include quality indicators that reflect the same level of performance as the Level 3 performance standard below. Examples for the top three performance levels can be found in the program description.*

- **Level 5:** The Senior Professional demonstrates exceptional performance, directly contributes toward sustaining organizational excellence, and enhances the ability to achieve results in the Senior Professional's organization, agency, department or Governmentwide. This level represents the highest level of Senior Professional performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The Senior Professional continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals. The Senior Professional consistently exceeds expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes high-quality assignments ahead of schedule.

- **Level 4:** The Senior Professional demonstrates a very high level of performance beyond that required for successful performance in the Senior Professional's position. The Senior Professional often exceeds established performance expectations, timelines, or targets, as applicable. The Senior Professional is consistently highly-effective and delivers high-quality results.

- **Level 3:** The Senior Professional demonstrates the high level of performance expected of Senior Professionals and the Senior Professional's actions contribute positively toward the achievement of project/program goals and meaningful results. The Senior Professional is effective, dependable and delivers project/program results based on indicators of quality, or measures of quantity, efficiency, and/or effectiveness within agreed upon timelines. The Senior Professional meets and occasionally exceeds challenging performance expectations established for the position.

- **Level 2:** The Senior Professional's contributions to the organization are acceptable in the short term, but do not appreciably advance the project/program or organization toward achievement of its goals and objectives. While the Senior Professional 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 assigned project/program(s), the Senior Professional may demonstrate limited ability to address problems characteristic of the project/program or organization and its work.

- **Level 1:** In repeated instances, the Senior Professional demonstrates performance deficiencies that detract from project/program goals and objectives or the agency mission. The Senior Professional generally is viewed as ineffectual by agency leadership or peers. The Senior Professional does not meet established performance expectations/timelines/targets and fails to produce – or produces unacceptable – work products, services, or outcomes.

Part 5. Deriving the Rating of Record. *The derivation formula to calculate the Rating of Record is below.*

Critical Element Point Values	Level 5 = 5 points	Level 4 = 4 points	Level 3 = 3 points	Level 2 = 2 points	Level 1 = 0 points

Critical Element	**Critical Element Point Value**	**Element Weight**	**Element Score**	**Rating of Record Point Ranges**
1. Project/Program Management				475-500 = Level 5
2. Interpersonal Leadership/Responsibilities				400-474 = Level 4
3. Leading Innovation				300-399 = Level 3
4. Business Results				200-299 = Level 2
5. Position Specific (Optional)				Any Critical Element rated Level 1 = Level 1
Total		100 points		

Senior Professional Name and/or ID: Appraisal Period:

Part 6. Critical Elements. *Each Senior Professional performance plan shall include Critical Elements 1-4; Critical Element 5 is optional for agency use.*

Critical Element 1: Project/Program Management	**Weight:**	**points**
Competencies *Review and select the competencies below that contribute to the SL/ST's performance toward work assignments or responsibilities. Check all that apply; a minimum of one competency must be selected.*	**Individual Competency Weight, if applicable (total must equal 100 points)**	**Individual Competency Rating, if applicable**
☐ **Decision Making –** Makes sound, well-informed, and objective decisions; perceives the impact and implications of decisions; commits to appropriate action, even in uncertain situations, to accomplish work assignments and applicable organizational goals.		
☐ **Financial Management –** Understands the organization's financial processes. Prepares, justifies, and administers the project/program budget. Oversees procurement and contracting to achieve desired results. Monitors expenditures and uses cost-benefit thinking to set priorities.		
☐ **Information Management –** Identifies a need for and knows where or how to gather information; organizes and maintains information on information management systems; retrieves and applies information appropriately in various situations.		
☐ **Legal, Government and Jurisprudence –** Knowledge of applicable laws, legal codes, court procedures, precedents, legal practices or documents, government regulations, executive orders, agency rules, government organization or functions, and/or the democratic political process as they apply to area of responsibility.		
☐ **Planning and Evaluating –** Organizes work, sets priorities, and determines resource requirements; determines short- or long- term goals and strategies to achieve them; coordinates with other organizations or parts of the organization to accomplish goals; monitors progress and evaluates outcomes.		
☐ **Problem Solving –** Identifies problems; determines accuracy and relevance of information; uses sound judgment to generate and evaluate alternatives, and to make recommendations.		
☐ **Project Management –** Applies principles, methods, or tools for developing, scheduling, coordinating, monitoring, evaluating, and managing projects and resources, including technical performance.		
☐ **Reasoning –** Identifies rules, principles, or relationships that explain facts, data, or other information; analyzes information and makes correct inferences or draws accurate conclusions.		
☐ **Research –** Applies knowledge of the scientific principles, methods, and processes used to conduct a systematic and objective inquiry; including study design, collection, analysis, and interpretation of data; and the reporting of results.		
☐ **Technical Competence/Subject Matter Expertise –** Uses knowledge that is acquired through formal training or extensive on-the-job experience to perform one's job; works with, understands, and evaluates technical information related to the job; advises others on technical issues.		
Rating Official Narrative *(Optional)***:**		

Critical Element Rating - Project/Program Management	☐ Level 5	☐ Level 4	☐ Level 3	☐ Level 2	☐ Level 1

Senior Professional Name and/or ID: Appraisal Period:

Critical Element 2: Interpersonal Leadership/Responsibilities	**Weight: points**	
Competencies (Check all that apply) *Review and select the competencies below that contribute to the SL/ST's performance toward work assignments or responsibilities. Check all that apply; a minimum of one competency must be selected.* ***For agencies seeking certification of their performance appraisal system, the Customer Service competency must be selected.***	**Individual Competency Weight, if applicable (total must equal 100 points)**	**Individual Competency Rating, if applicable**
☐ **Collaboration/Partnership –** Encourages and facilitates cooperation and trust; fosters commitment; works with others to achieve goals.		
☐ **Conflict Management –** Anticipates and takes steps to prevent counter-productive confrontations. Manages and resolves conflicts and disagreements in a constructive manner.		
☐ **Customer Service** – Engages with customers (that is, any individuals who use or receive the services or products the work unit produces, including the general public, individuals who work in the agency, other agencies, or organizations outside the Government) to seek input (assess their needs, obtain information), resolve their problems, or satisfy their expectations. Uses customer input to inform quality products and services.		
☐ **Influencing/Negotiating –** Persuades others to accept recommendations, cooperate, or change their behavior, works with others towards an agreement; negotiates to find mutually acceptable solutions.		
☐ **Leadership –** Influences, motivates, and challenges others; adapts leadership styles to a variety of situations. Accepts leadership roles as appropriate. Conducts oneself in a manner that sets a positive example.		
☐ **Leveraging Diversity/Civil Rights Compliance –** Relates well to people from varied backgrounds and different situations; is sensitive to cultural diversity, race, gender, disabilities, and other individual differences. Complies with all laws, regulations, and agency policies regarding the treatment and acceptance of all individuals. Acts in ways that protect civil rights.		
☐ **Mentorship** – Provides guidance, direction, and career advice through mentoring– either a standalone program, part of a training and development program within an organization, or individually. Establishes mentoring relationships with one or more individuals.		
☐ **Political Savvy –** Identifies the internal and external politics that impact the work of the Senior Professional or the organization. Perceives organizational and political reality and acts accordingly.		
Rating Official Narrative *(Optional)***:**		

Critical Element Rating – Interpersonal Leadership/Responsibilities	☐ Level 5	☐ Level 4	☐ Level 3	☐ Level 2	☐ Level 1

Senior Professional Name and/or ID: Appraisal Period:

Critical Element 3: Leading Innovation	**Weight: points**	
Competencies (Check all that apply) *Review and select the competencies below that contribute to the SL/ST's performance toward work assignments or responsibilities. Check all that apply; a minimum of one competency must be selected.*	**Individual Competency Weight, if applicable (total must equal 100 points)**	**Individual Competency Rating, if applicable**
☐ **Creative Thinking –** Uses imagination to develop new insights into situations and applies innovative solutions to problems; designs new methods where established methods and procedures are inapplicable or are unavailable.		
☐ **Flexibility/Adaptability –** Is open to change and new information; adapts behavior or work methods in response to new information, changing conditions, or unexpected obstacles; effectively deals with ambiguity.		
☐ **Organizational Awareness –** Knows the organization's mission and functions, and how its social, political, and technological systems work and operates effectively within them; this includes the programs, policies, procedures, rules, and regulations of the organization.		
☐ **Strategic Thinking –** Formulates effective strategies consistent with the business and competitive strategy of the organization in a global environment; examines policy issues and strategic planning with a long term perspective; determines objectives and sets priorities; anticipates potential threats or opportunities.		
☐ **Vision –** Takes a long-term view and builds a shared vision with others; acts as a catalyst for change. Influences others to translate vision into action.		
Rating Official Narrative *(Optional)***:**		

Critical Element Rating – Leading Innovation	☐ Level 5	☐ Level 4	☐ Level 3	☐ Level 2	☐ Level 1

Senior Professional Name and/or ID: Appraisal Period:

Critical Element 4: Business Results		**Weight: __ points**	
This critical element includes specific performance results expected from the Senior Professional during the appraisal period, focusing on measurable outputs and outcomes that are aligned to organizational or agency goals and objectives, and/or program and policy objectives. At a minimum, Senior Professionals and their Rating Officials will include in this element results and their quality indicators describing the range of performance at the Fully Successful level for each result specified. In addition to the quality indicators, applicable measures of quantity, timeliness, and/or cost-effectiveness may be included to describe the appropriate level of accomplishment expected. It is recommended to also establish the threshold quality indicators and/or other applicable measures for Levels 2 and 5. Each performance objective of the Business Results critical element must contain results and quality indicators that are clearly and differentially identified so that it is readily evident on what the Senior Professional will be rated and what is expected for success. Activities that lead to the specified result may be included. However, the quality indicators and the related markup must clearly measure the result – not any associated activity.		**Individual Objective Weight, if applicable (total must equal 100 points)**	**Individual Objective Rating, if applicable**
Agency/Program Goal Alignment:	**Business Results Objective 1:**		
Agency/Program Goal Alignment:	**Business Results Objective 2:**		
Agency/Program Goal Alignment:	**Business Results Objective 3:**		
Agency/Program Goal Alignment:	**Business Results Objective 4:**		
Agency/Program Goal Alignment:	**Business Results Objective 5:**		
Rating Official Narrative *(Optional)***:**			

Critical Element Rating – Business Results	☐ Level 5	☐ Level 4	☐ Level 3	☐ Level 2	☐ Level 1

Senior Professional Name and/or ID: Appraisal Period:

Critical Element 5: Position Specific *(Optional)*	**Weight:**	**points**
The Position Specific critical element includes additional agency-specific performance objectives - written as competencies or specific measurable results/commitments/activities - that are not already accounted for in the previous mandatory critical elements. For example, additional results that support selected competencies or address agency administrative goals rather than mission goals may be included in this element. This means Rating Officials may not include competencies or business results that are contained within another critical element in the performance plan (i.e., upon which the Senior Professional will be rated elsewhere). The use of this element is not mandatory, but rather available for agency specific or position specific aspects of the job the Rating Official/Senior Professional determines are important to assess. ***For agencies seeking certification of their performance appraisal system, this critical element must include a performance objective that holds Supervisory Senior Professionals accountable for employee perspective, aligning subordinate performance plans with organizational goals and thoroughly appraising employee performance.***	**Individual Objective Weight, if applicable (total must equal 100 points)**	**Individual Objective Rating, if applicable**
Position Specific Performance Objective 1:		
Position Specific Performance Objective 2:		
Position Specific Performance Objective 3:		
Position Specific Performance Objective 4:		
Position Specific Performance Objective 5:		
Rating Official Narrative *(Optional):*		

Critical Element Rating – Position Specific	☐ Level 5	☐ Level 4	☐ Level 3	☐ Level 2	☐ Level 1

Senior Professional Name and/or ID: Appraisal Period:

Part 7: Rating Official's Progress Review Narrative *(Optional)*
Part 8: Senior Professional's Accomplishment Narrative *(Optional)*
Part 9: Rating Official's Recommended Rating of Record Narrative *(Mandatory)*
Part 10: Reviewing Official's Recommended Rating of Record Narrative *(Optional)*
Part 11. Higher-Level Review Narrative *(Optional)*
Part 12: Senior Professional Review Panel (SPRP) Narrative *(Optional)*
Part 13: Approving Official Narrative *(Optional)*
Part 14: Agency Use *(Optional)*

Senior Professional Name and/or ID: Appraisal Period:

Senior-Level (SL) and Scientific or Professional (ST) **Appraisal Program Performance Plan Addendum for Multiple Progress Reviews for** **[Agency Name]** **Appraisal Period: [Insert Appraisal Period Beginning and Ending Dates]**
Multiple Progress Reviews. *Each Senior Professional must receive at least one progress review documented on the performance plan. However, agencies may require more frequent progress reviews. Agencies may use this addendum to the SL/ST performance plan to document more frequent formal progress reviews during the appraisal period. The requirement for more frequent progress reviews must also be included in Part VIII of the agency's SL/ST program.*

Progress Review. *I have participated in a conversation regarding progress toward meeting the critical elements in the performance plan.*		
Senior Professional's Signature:		Date:
Rating Official's Name:	Rating Official's Signature:	Date:
Rating Official's Progress Review Narrative *(Optional)*		

Progress Review. *I have participated in a conversation regarding progress toward meeting the critical elements in the performance plan.*		
Senior Professional's Signature:		Date:
Rating Official's Name:	Rating Official's Signature:	Date:
Rating Official's Progress Review Narrative *(Optional)*		

Progress Review. *I have participated in a conversation regarding progress toward meeting the critical elements in the performance plan.*		
Senior Professional's Signature:		Date:
Rating Official's Name:	Rating Official's Signature:	Date:
Rating Official's Progress Review Narrative *(Optional)*		