

**Senior Professional Appraisal System  
SL and ST Performance Plan**

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

Senior Professional's Name ( <i>Last, First, MI</i> ):		Appraisal Pd.
<input type="checkbox"/> SL <input type="checkbox"/> ST		CA <input type="checkbox"/> Exc <input type="checkbox"/> Temp <input type="checkbox"/> Term <input type="checkbox"/>
Title:		Organization:
Senior Professional's Signature:		Date:
Rating Official's Name:	Rating Official's Signature:	Date:
Reviewing Official's Name	Reviewing Official's Signature	Date:

**Part 2. Quarterly Progress Review**

Senior Professional's Signature:		Q1 Date:
Rating Official's Name:	Rating Official's Signature:	Q1 Date:
Senior Professional's Signature:		Q2 Date:
Rating Official's Name:	Rating Official's Signature:	Q2 Date:
Senior Professional's Signature:		Q3 Date:
Rating Official's Name:	Rating Official's Signature:	Q3 Date:
Senior Professional's Signature:		Q4 Date:
Rating Official's Name:	Rating Official's Signature:	Q4 Date:

**Part 3. Rating of Record**

Rating Official's Recommended Rating	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
Rating Official's Name:	Rating Official's Signature:			Date:	
Reviewing Official's Recommendation ( <i>Optional</i> ):	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
Reviewing Official's Name ( <i>Optional</i> ):	Reviewing Official's Signature ( <i>Optional</i> ):			Date:	
Senior Professional's Signature:	<input type="checkbox"/> Higher-Level Review Requested ( <i>Optional</i> )			Date:	
Higher-Level Review Recommendation ( <i>Optional</i> ):	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
Higher-Level Reviewer Name ( <i>Optional</i> ):	Higher-Level Reviewer Signature ( <i>Optional</i> ):			Date:	
Performance Review Board (PRB) Recommendation	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
PRB Chair Name:	PRB Chair Signature:			Date:	
<b>Rating of Record</b>	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
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 1-4 (Faithful Support of Administration of the Law and the President’s Policies, Government Efficiency, Merit and Competence, and Achieving Organizational Goals) shall be appraised using the performance standards specified below. Within Critical Element 5 (Achieving Organizational Goals), 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 represents the highest level of Senior Professional performance.
- **Level 4:** The Senior Professional demonstrates a very high level of performance beyond that required for successful performance in the Senior Professional’s position and scope of responsibilities. The Senior Professional consistently exceeds established performance expectations, timelines, or targets.
- **Level 3:** The Senior Professional demonstrates the high level of performance expected of Senior Professionals 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 high-quality project/program results.
- **Level 2:** The Senior Professional’s performance is unsatisfactory and needs improvement. 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.
- **Level 1:** In repeated instances, the Senior Professional demonstrates performance deficiencies that detract from project/program goals and objectives. The Senior Professional routinely does not meet established performance expectations/timelines/targets and fails to produce – or produces unacceptable – work products, services, or outcomes.

**Part 5. Derivation Formula and Calculation of the Rating of Record**

Critical Element	Element Rating		Weight	Score		Rating of Record Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Faithful Support of Administration of the Law and the President’s Policies						475-500 = Level 5 400-474 = Level 4 300-399 = Level 3 200-299 = Level 2  Any CE rated Level 1 = Level 1
2. Government Efficiency						
3. Merit and Competence						
4. Partnership/Leadership/Mentorship						
5. Achieving Organizational Goals						
Total			100 points			

Senior Professional Name and/or ID:

Appraisal Period:

<b>Part 6. Critical Elements.</b> <i>Each Senior Professional performance plan shall include Critical Elements 1-5.</i>					
<b>Critical Element 1: Faithful Support of Administration of the Law and President's Policies</b> <b>(Minimum weight 25)</b>					<b>Weight:</b>
This is the most critical element for reviewing the job performance of someone who serves under the elected President. Faithful administration of one's role in the Executive Branch requires commitment to the principles of the Founding, including equality under the law and democratic self-government. All Senior Professionals must clearly and demonstrably support implementation of the President's policy priorities through specific results that align with and advance the President's specific policy agenda.					
<b>Agency Specific Requirement(s)</b>					
<b>Rating Official Narrative (Optional):</b>					
<b>Critical Element 1 Rating</b>	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1

<b>Critical Element 2: Government Efficiency</b> <b>(Minimum weight 15)</b>					<b>Weight:</b>
Senior Professionals are expected to contribute to the achievement of demonstrable improvements in efficiency, productivity, and quality of work and government services, including significant reductions in costs and paperwork.					
<b>Agency Specific Requirement(s)</b>					
<b>Rating Official Narrative (Optional):</b>					
<b>Critical Element 2 Rating</b>	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1

Senior Professional Name and/or ID:

Appraisal Period:

<b>Critical Element 3: Merit and Competence (Minimum weight 15)</b>					<b>Weight:</b>
<p>Senior Professionals must consistently demonstrate outstanding proficiency and competence in the performance of their job duties. Such qualities will be evidenced by specific, demonstrable achievements and results that provide concrete benefits to American citizens. Senior Professionals must consistently produce work that is of the highest quality; handle challenges; exceed targets; and complete assignments in a timely manner.</p> <p><i>In consultation with the Senior Professional, the Rating Official must identify at least one competency from the list in Attachment 1 against which to evaluate the Senior Professional's performance on this Critical Element.</i></p>					
<b>Competency (Mandatory)</b>					
<b>Competency (Optional)</b>					
<b>Rating Official Narrative (Optional):</b>					
<b>Critical Element 3 Rating</b>	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1

<b>Critical Element 4: Partnership/Leadership/Mentorship (Minimum weight 15)</b>					<b>Weight:</b>
<p>Senior Professionals should serve as trusted advisors, partners, leaders, and mentors at their agencies.</p> <p><i>In consultation with the Senior Professional, the Rating Official must identify at least one competency from the list in Attachment 2 against which to evaluate the Senior Professional's performance on this Critical Element.</i></p>					
<b>Competency (Mandatory)</b>					
<b>Competency (Optional)</b>					
<b>Rating Official Narrative (Optional):</b>					
<b>Critical Element 4 Rating</b>	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1

Senior Professional Name and/or ID:

Appraisal Period:

<b>Critical Element 5: Achieving Organizational Goals (Minimum weight 15)</b>		<b>Weight:</b>			
<p>The Senior Professional's performance rating must be aligned with agency's organizational assessment for the performance period. In addition, at least three performance objectives must be established for this critical element by the Rating Official in consultation with the Senior Professional that are tailored for the Senior Professional's specific function and role. They should focus on measurable targets, outputs and outcomes aligned to specific goals and objectives set forth for the agency in the President's Management Agenda, Agency Strategic Plan, Congressional Budget Justification/Annual Performance Plan, and other organizational planning documents. With the approval of agency leadership, they may also focus on specific program and policy objectives.</p>					
<b>Position Specific Performance Objective 1 (Mandatory):</b>					
<b>Position Specific Performance Objective 2 (Mandatory):</b>					
<b>Position Specific Performance Objective 3 (Mandatory):</b>					
<b>Position Specific Performance Objective 4:</b>					
<b>Rating Official Narrative (Optional):</b>					
<b>Critical Element 5 Rating</b>	<input type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1

Senior Professional Name and/or ID:

Appraisal Period:

**Part 7: Senior Professional's Accomplishment Narrative** *(Optional)*

**Part 8: Rating Official's Recommended Rating of Record Narrative** *(Mandatory)*

**Part 9: Reviewing Official's Recommended Rating of Record Narrative** *(Optional)*

**Part 10: Higher-Level Review Narrative** *(Optional)*

**Part 11: Performance Review Board (PRB) Narrative** *(Optional)*

**Part 12: Approving Official Narrative** *(Optional)*

**Part 13: Agency Use** *(Optional)*

Senior Professional Name and/or ID:

Appraisal Period:

**Senior-Level (SL) and Scientific or Professional (ST)  
Performance Plan Addendum for Progress Reviews  
Appraisal Period:**

**Multiple Progress Reviews.** Agencies may use this addendum to the SL/ST performance plan to document formal progress reviews during the appraisal period.

**Progress Review.** I have participated in a conversation regarding progress toward meeting the critical element.

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

**Rating Official's Progress Review Narrative (Mandatory)**

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

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

**Rating Official's Progress Review Narrative (Mandatory)**

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

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

**Rating Official's Progress Review Narrative (Mandatory)**

**Progress Review.** I have participated in a conversation regarding progress toward meeting the critical element.

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

**Rating Official's Progress Review Narrative (Mandatory)**

Senior Professional Name and/or ID:

Appraisal Period:

### **Attachment 1: Criteria for Evaluation of Senior Professional Merit and Competence**

In consultation with the Senior Professional, the Rating Official must review and select the competencies below that contribute to the Senior Professional's performance toward work assignments or responsibilities and will serve as a basis to evaluate the Senior Professional's merit and competence.

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 drive government efficiency and advance the mission. 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.



Senior Professional Name and/or ID:

Appraisal Period:

**Attachment 2: Criteria for Evaluation of Senior Professional  
Partnership/Leadership/Mentorship**

In consultation with the Senior Professional, the Rating Official must review and select the competencies below that contribute to the Senior Professional's performance toward work assignments or responsibilities and will serve as a basis to evaluate the Senior Professional's Partnership/Leadership/Mentorship.

Collaboration/Partnership – Encourages and facilitates cooperation and trust; fosters commitment; works with others to achieve goals. Engages with agency leaders, customers, and stakeholders to seek input (assess their needs, obtain information), resolve their problems, or satisfy their expectations.

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.

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.