

**SES Performance Management System
Executive Performance Plan**



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

Executive's Name (Last, First, MI):	Appraisal Pd. 10/1/2018 - 9/30/2019		
Executive's Signature:	Date:		
Title:	Organization: Veterans Health Administration		
Rating Official's Name (Last, First, MI):	<input checked="" type="checkbox"/> CA	<input type="checkbox"/> NC	<input type="checkbox"/> LT/LE
Rating Official's Signature:	Date:		

Part 2. Progress Review

Executive's Signature:	Date:
Rating Official's Signature:	Date:
Reviewing Official's Signature (Optional):	Date:

Part 3. Summary Rating

Initial Summary Rating	<input type="checkbox"/> Level 5 Outstanding	<input type="checkbox"/> Level 4 Exceeds Fully Successful	<input type="checkbox"/> Level 3 Fully Successful	<input type="checkbox"/> Level 2 Minimally Satisfactory	<input type="checkbox"/> Level 1 Unsatisfactory
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Rating Official's Name (Last, First, MI):	
Rating Official's Signature:	Date:
Executive's Signature:	Date:
Reviewing Official's Signature (Optional):	Date:

Higher Level Review (if applicable)

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

Performance Review Board 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
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PRB Chair Signature:	Date:
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Annual Summary 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
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Appointing Authority Signature:	Date:
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Part 4. Derivation Formula and Calculation of Annual Summary Rating

Critical Element	Element Rating		Weight	Score		Summary Level Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change	0	0	20	0	0	475 - 500 = Level 5 400 - 474 = Level 4 300 - 399 = Level 3 200 - 299 = Level 2 Any CE rated Level 1 = Level 1
2. Leading People	0	0	20	0	0	
3. Business Acumen	0	0	10	0	0	
4. Building Coalitions	0	0	10	0	0	
5. Results Driven	0	0	40	0	0	
Total:			100 Points	0	0	

Part 5. Performance Standards and Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description).

Level 5: The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or Governmentwide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.

Level 4: The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets as applicable.

Level 3: The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and sometimes exceeds challenging performance expectations established for the position.

Level 2: The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.

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

Element Rating Level Points

Level 5 = 5 points
Level 4 = 4 points
Level 3 = 3 points
Level 2 = 2 points
Level 1 = 0 points

Critical Element 1. Leading Change**(Minimum weight 20%) Weight 20%**

Mandatory Performance Requirement: Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements:

Rating Official Narrative (Optional):

Critical Element Rating - Leading Change

☐ Level 5☐ Level 4☐ Level 3☐ Level 2☐ Level 1

Critical Element 2. Leading People	(Minimum weight 20%) Weight 20%						
<p>Mandatory Performance Requirement: Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.</p>							
<p>Agency-Specific Performance Requirements:</p> <p>Employee Engagement</p> <p>Rating Officials in consultation with executive should develop levels of engagement. The levels of engagement listed below may be altered to include additional requirements.</p> <p>Level 3 Fully Successful: AES Data Sharing (DS) Metric: DS score increase of 1% from FY18 baseline – OR – a minimum metric score of 55% AES Data Use (DU) Metric: DU score increase of 1% from FY18 baseline – OR – a minimum metric score of 28% 1% increase measured as current score X 1.01</p> <p>Level 4 Exceeds Fully Successful: AES DS Metric: DS score increase of 4% from FY18 baseline – OR – a minimum metric score of 60% AES DU Metric: DU score increase of 4% from FY18 baseline – OR – a minimum metric score of 34% 4% increase measured as current score X 1.04</p> <p>Level 5 Outstanding: AES DS Metric: DS score increase of 8% from FY18 baseline – OR – a minimum metric score of 65% AES DU Metric: DU score increase of 8% from FY18 baseline – OR – a minimum metric score of 40% 8% increase measured as current score X 1.08</p>							
<p>Rating Official Narrative (Optional):</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 40%;">Critical Element Rating - Leading People</td> <td style="width: 10%; text-align: center;"><input type="checkbox"/> Level 5</td> <td style="width: 10%; text-align: center;"><input type="checkbox"/> Level 4</td> <td style="width: 10%; text-align: center;"><input type="checkbox"/> Level 3</td> <td style="width: 10%; text-align: center;"><input type="checkbox"/> Level 2</td> <td style="width: 10%; text-align: center;"><input type="checkbox"/> Level 1</td> </tr> </table>		Critical Element Rating - Leading People	<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
Critical Element Rating - Leading People	<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		
Critical Element 3. Business Acumen	(Minimum weight 10%) Weight 10%						
<p>Mandatory Performance Requirement: Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.</p>							
<p>Agency-Specific Performance Requirements:</p>							
<p>Rating Official Narrative (Optional):</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 40%;">Critical Element Rating - Business Acumen</td> <td style="width: 10%; text-align: center;"><input type="checkbox"/> Level 5</td> <td style="width: 10%; text-align: center;"><input type="checkbox"/> Level 4</td> <td style="width: 10%; text-align: center;"><input type="checkbox"/> Level 3</td> <td style="width: 10%; text-align: center;"><input type="checkbox"/> Level 2</td> <td style="width: 10%; text-align: center;"><input type="checkbox"/> Level 1</td> </tr> </table>		Critical Element Rating - Business Acumen	<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
Critical Element Rating - Business Acumen	<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		
Critical Element 4. Building Coalitions	(Minimum weight 10%) Weight 10%						
<p>Mandatory Performance Requirement: Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.</p>							

Agency-Specific Performance Requirements:**Customer Experience**

Select one of the following options. Metrics to be developed by the executive and rating official. VEO or other customer satisfaction admin /staff office data may be used for this requirement.

Option #1**Measure**

Deliver improved customer experience by collecting and analyzing qualitative and quantitative data on your customer's experiences, perceptions, and concerns through a robust voice of the customer program. Use customer experience data and insights to develop and implement action plans to improve the experience.

Demonstrated Performance Measure

Level 3 Fully Successful: Publish an action plan to collect, analyze and use customer experience data for your organization.

Level 4 Exceeds Fully Successful: Implement at least 80% of your action plan, including the establishment of a baseline for measuring customer experience to improve service recovery and performance improvement.

Level 5 Outstanding: Implement at least 90% of your action plan to improve service recovery and performance improvement. Develop and publish best practices for action planning that can be leveraged by other offices to act upon customer experience data with measurable improvements.

Option #2**Measure**

Deliver improved customer experience by collecting and analyzing qualitative and quantitative data on your customer's experiences, perceptions, and concerns through a robust voice of the customer program. Use customer experience data and insights to develop and implement action plans to improve the experience.

Demonstrated Performance Measure

Level 3 Fully Successful: Increase customer experience score by XX% (% to be determined by rater) or maintain no change if existing satisfaction score is 90% or higher.

Level 4 Exceeds Fully Successful: Increase customer experience score by XX% (% to be determined by rater) if previous year's score is lower than a 90% satisfaction score. Increase by XX% (% to be determined by rater) if previous year's score is 90% or higher.

Level 5 Outstanding: Increase customer experience score by XX% (% to be determined by rater) if previous year's score is lower than a 90% satisfaction score. Increase by XX% (% to be determined by rater) if previous year's score is 90% or higher. Develop and publish best practices that can be leveraged by other offices to act upon customer experience data with measurable improvements.

Executive's will provide a brief narrative summary capturing the assumptions used and data drivers for action planning purposes.

Rating Official Narrative (Optional):

Critical Element Rating - Building Coalitions

☐ Level 5☐ Level 4☐ Level 3☐ Level 2☐ Level 1**Critical Element 5. Results Driven****(Minimum weight 20%) Weight 40%**

This critical element must have at least 1 performance requirement (there is no maximum number of requirements, agency should specify if it sets a maximum number).

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable results from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance requirements must contain measurable results and their quality indicators describing the range of performance at Level 3 for each result specified. In addition to the quality indicators, applicable measures of quantity, timelines, and/or cost-effectiveness may be included as appropriate. It is recommended to also establish the threshold quality indicators and measures for Levels 5 and 2. Indicators must reflect the same level of performance as the respective performance standard contained in Part 5.

Strategic Alignment—identify clear, transparent alignment to agency strategic planning initiatives (e.g., relevant agency or organizational goals/objectives with cited page numbers from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document) in the designated section for each performance requirement.

Note: Performance requirements must contain results and quality indicators that are clearly and differentially identified (e.g., highlighted, bold, underlined) so that it is readily evident on what the senior executive will be rated and what is expected for success.

Performance Requirement 1:	Strategic Alignment:
Performance Requirement 2:	Strategic Alignment:
Performance Requirement 3:	Strategic Alignment:
Performance Requirement 4:	Strategic Alignment:
Performance Requirement 5:	Strategic Alignment:

Rating Official Narrative (Optional):

Critical Element Rating - Results Driven	<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
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Part 7. Executive's Accomplishment Narrative *(Optional)*

Part 8. Agency Use

8a. REVIEWING OFFICIAL RECOMMENDATION: Level 5 / Level 4 / Level 3 / Level 2 / Level 1

REVIEWING OFFICIAL NARRATIVE:

- Summarize major accomplishments, including demonstration of VA Core Values:
- Explain areas of disagreement with Rating Official, if applicable. Identify the Rating Official's individual element(s) rating(s) with which you disagree and recommend a different element rating for those element(s).

8b. HIGHER LEVEL REVIEW RECOMMENDATION (If requested): Level 5 / Level 4 / Level 3 / Level 2 / Level 1

HIGHER LEVEL REVIEW NARRATIVE:

8c. PRB RECOMMENDATION: Level 5 / Level 4 / Level 3 / Level 2 / Level 1

PRB NARRATIVE: