

SUBJECT: Supplement 1 to NARA 330: Senior-Level Performance Management System

PART 1 – OVERVIEW AND DEFINITIONS

1. Program Coverage.

The NARA Senior-Level (SL) performance management system applies to all agency SL employees. This system 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 is documented on the OPM Form 1631.

2. Definitions.

- a. *Appraisal* means the process under which performance is reviewed and evaluated.
- b. *Appraisal period* means the established period of time for which performance will be reviewed and a rating of record will be prepared.
- c. *Approving Official* means the agency designated official who assigns the rating of record.
- d. *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.
- e. *Critical element* means a 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 demonstration of competencies critical to success in the position or the accomplishment of performance objectives critical organizational success. Critical elements are used to measure performance only at the individual level.
- f. *Performance* means accomplishment of work assignments or responsibilities and demonstration of competencies applied to the job.
- g. *Performance objective* is a commitment by the SL employee to achieve a specific, measurable business result to a specific level or standard of quality. Performance objectives are generally goals or targets, expressed in terms of quality,

quantity, timeliness, cost savings, manner of performance, or other applicable factors.

h. *Performance plan* means all of the written, or otherwise recorded, standards and requirements that set forth expected performance during the appraisal period. The performance plan must include all mandatory critical elements and their performance standards.

i. *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.

j. *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.

k. *Progress review* means communicating with the employee about her or his actual performance, compared to the performance standards of the critical elements in her or his performance plan.

l. *Quality indicator* is a descriptive standard that explains how the rater will determine “acceptable” or “successful” achievement of a performance objective.

m. *Rating Official* means the official, generally the supervisor of the SL employee, who assigns a performance rating or recommends a rating of record.

n. *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. The rating of record is final when it is issued to an employee with all appropriate reviews and signatures.

o. *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.

PART 2 – PERFORMANCE PLANNING

3. **Appraisal Period.**

a. **Appraisal Period.** Senior-Level employees 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. The agency appraisal period is October 1 of each year through September 30 of the following year.

b. **Minimum Period.** The minimum period of performance that must be completed

before a performance rating can be prepared is 90 days.

c. **Extending the Appraisal Period.** If the agency cannot prepare an SL employee's performance rating at the end of the appraisal period because the employee has not completed the minimum appraisal period or for other reasons, the agency must extend the SL employee's appraisal period and will prepare the rating of record as soon as practicable after the end of the extended appraisal period.

4. **Performance Plan.**

a. **Annual Performance Plans.** Rating Officials establish performance plans in consultation with their SL employees and issue the plans to them in writing at the beginning of the appraisal period (normally within 30 days), upon appointment to an SL position, or at the beginning of any temporary assignment or detail lasting 90 days or more. The Rating Official may issue performance plans electronically, including by email or through an electronic system for that purpose.

b. **Details or Temporary Assignments.** When an SL employee is on detail or temporary assignment expected to last 90 days or more, the gaining organization must establish a performance plan. The gaining organization must also prepare a performance rating at the conclusion of the detail or temporary assignment. See paragraph 12 for guidance on rating performance for a detail or temporary assignment.

c. **Alignment with Goals.** SL employees' performance plans must contain up to five critical elements with competencies and performance objectives that clearly link to the agency's mission, organizational goals, and/or program and policy objectives. Performance plans for supervisory SL employees contain five mandatory critical elements; non-supervisory SL employee performance plans have four mandatory critical elements and an optional fifth element.

d. **Supervisory Requirements.** Performance plans for supervisory SL employees must contain supervisory competencies within Critical Element 5 that hold employees accountable for management and supervision of assigned staff, including seeking and using employee perspective and the performance management of subordinates.

5. **Critical Elements.**

a. Critical elements are composed of identified competencies and established performance objectives that are assigned by the Rating Official in consultation with the SL employee. The Rating Official retains discretion in determining appropriate competencies and performance objectives to be assigned.

b. For Critical Elements 1 through 3, (Project/Program Management, Interpersonal Leadership/Responsibilities, and Leading Innovation), Rating Officials must select applicable competencies from those listed for each critical element. Rating Officials, in consultation with the SL employee, should select the competencies that contribute the

most to the employee's work assignments or responsibilities. At least one competency must be selected under each critical element.

c. For Critical Element 4, Business Results, Rating Officials must assign at least two but not more than five specific performance objectives, including established targets and milestones, expected from the SL employee during the appraisal period. Each performance objective must contain measurable business results and quality indicators that describe expected performance.

d. For Critical Element 5, Position Specific, Rating Officials must assign a supervisory competency for all supervisory SL employees. This critical element is optional for non-supervisory SL employees, although Rating Officials may, at their discretion, use this critical element to assign additional competencies or performance objectives to supervisory or non-supervisory SL employees.

e. **Critical Elements.** Each SL employee performance plan must include Critical Elements 1 through 4, below. Additional guidance for Critical Element 5 is provided below.

- (1) Critical Element 1 - Project/Program Management (Mandatory).
Competencies are:
 - (a) *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.
 - (b) *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.
 - (c) *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.
 - (d) *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.

- (e) *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.
 - (f) *Problem Solving* – Identifies problems; determines accuracy and relevance of information; uses sound judgment to generate and evaluate alternatives, and to make recommendations.
 - (g) *Project Management* – Applies principles, methods, or tools for developing, scheduling, coordinating, monitoring, evaluating, and managing projects and resources, including technical performance.
 - (h) *Reasoning* – Identifies rules, principles, or relationships that explain facts, data, or other information; analyzes information and makes correct inferences or draws accurate conclusions.
 - (i) *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.
 - (j) *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) Critical Element 2 - Interpersonal Leadership/Responsibilities (Mandatory). Competencies are:
- (a) *Collaboration/Partnership* – Encourages and facilitates cooperation and trust; fosters commitment; works with others to achieve goals.

- (b) *Conflict Management* – Anticipates and takes steps to prevent counter-productive confrontations. Manages and resolves conflicts and disagreements in a constructive manner.
- (c) *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.
- (d) *Influencing/Negotiating* – Persuades others to accept recommendations, cooperate, or change their behavior, works with others towards an agreement; negotiates to find mutually acceptable solutions.
- (e) *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.
- (f) *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.
- (g) *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.
- (h) *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) Critical Element 3 - Leading Innovation (Mandatory). Competencies are:

- (a) *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.
- (b) *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.
- (c) *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.
- (d) *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.
- (e) *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) Critical Element 4 - Business Results (Mandatory).

- (a) Performance objectives must include measurable business results and quality indicators that describe performance at Level 3 (Fully Successful). Business results and quality indicators must be clearly communicated so that it is readily evident what will be rated and what is expected for success.
 - (i) Business results should be expressed as quantifiable outputs and outcomes that are aligned to organizational or agency goals and objectives.
 - (ii) Quality measures address how well work is performed by

referring to accuracy, appearance, usefulness, or effectiveness. Quality indicators must clearly apply to the outcome or result, not the completion of one or more activities.

- (b) Business results and quality indicators established for each performance objective must conform to the Level 3 performance standard established in paragraph 6 of this Supplement. It is recommended that Rating Officials also establish results and indicators describing performance for Levels 5 (Outstanding), 4 (Exceeds Fully Successful) and 2 (Minimally Successful).
- (5) Critical Element 5 - Position Specific.
- (a) All supervisory SL performance plans must include this critical element and incorporate a competency that holds the SL employee accountable for management and supervision. This critical element is optional for *non-supervisory* SL employees.
 - (b) Critical Element 5 may include additional competencies or performance objectives, as long as they are not already accounted for in Critical Elements 1 through 4. These additional competencies or performance objectives – if used – will be assigned by the Rating Official, in consultation with the SL employee. The Rating Official retains the right to assign Position Specific competencies or performance objectives as needed.
 - (1) If this critical element is used to establish additional competencies, the SL employee’s performance will be rated using the performance standards contained in paragraph 6, below.
 - (2) If this critical element establishes additional performance objectives, it must satisfy all of the requirements established for performance objectives in paragraph 5e(4), above.

6. Performance Standards for Critical Elements.

- a. Performance toward Critical Elements 1 through 3 (Project/Program Management, Interpersonal Leadership/Responsibilities, and Leading Innovation) must be appraised using the performance standards specified below.

- b. For 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.
- c. If Critical Element 5 (Position Specific) assigns a competency, the SL employee's performance is rated using the performance standards described below; if the critical element assigns a performance objective, 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. Any additional levels of performance established must reflect the same level of performance as the standard described below.
- d. **Performance Standards for Critical Elements:**

- (1) **Level 5:** The SL employee demonstrates exceptional performance, directly contributes toward sustaining organizational excellence, and enhances the ability to achieve results in the SL employee's organization, agency, department or Government-wide. This level represents the highest level of SL employee performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The SL employee continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals. The SL employee 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 ways such as the following examples:

- (a) Overcomes unanticipated barriers or intractable problems by developing creative solutions that address project/program concerns that could affect the organization, agency, or Government.
- (b) 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.
- (c) Accomplishes objectives even under demands and time pressure beyond those typically found in the Senior Professional environment.
- (d) Achieves results of significant value to the organization, agency, or

Government.

- (e) Achieves significant efficiencies or cost-savings in project/program delivery or in daily operational costs of the organization.

- (2) **Level 4:** The SL employee demonstrates a very high level of performance beyond that required for successful performance in her or his position. The SL employee often exceeds established performance expectations, timelines, or targets, as applicable. The SL employee is consistently highly-effective and delivers high-quality results.

Performance may be demonstrated in ways such as the following:

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

- (3) **Level 3:** The SL employee demonstrates the high level of performance expected of SL employees and the SL employee's actions contribute positively toward the achievement of project/program goals and meaningful results. The SL employee 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 SL employee meets and occasionally exceeds challenging performance expectations established for the position.

Performance may be demonstrated in ways such as the following:

- (a) Seizes opportunities to address issues and effects change when needed.
- (b) Finds solutions to serious problems and champions their adoption.
- (c) Designs strategies leading to improvements.

- (4) **Level 2:** The SL employee'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 SL employee 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 SL employee may demonstrate limited ability to address problems characteristic of the project/program or organization and its work.

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

PART 3 – MONITORING PERFORMANCE

7. Feedback and Progress Review.

- a. Rating Officials must monitor SL employee performance in accomplishing critical elements and provide feedback, including advice and assistance on improving performance, when needed, and encouragement and positive reinforcement, as appropriate.
- b. Rating Officials and SL employees should engage in frequent two-way conversations regarding progress toward meeting the critical elements in the SL employee'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 SL employee's performance plan to account for changing objectives, priorities and any other factors affecting the SL employee's performance, work assignments, or responsibilities.
- c. Each SL employee must receive at least one progress review documented in writing on the performance plan during the appraisal period. The SL employee must be informed of how well she or he is performing against performance standards and specific measures. Progress reviews may be documented electronically, including by email or through an electronic system for that purpose.

8. Dealing with Poor Performance.

If, at any time during the performance appraisal period, the supervisor determines an SL employee's performance is unacceptable in one or more critical elements, the supervisor must provide the SL employee with a reasonable opportunity to demonstrate acceptable performance. That opportunity must be documented in a Performance Improvement Plan (PIP). The PIP notifies the SL employee 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 in the respective

position. The PIP must be prepared in accordance with requirements in 5 CFR 432 and NARA 356.11.c..

PART 4 – EVALUATING PERFORMANCE

9. SL Rating Process.

a. The Rating Official must issue each SL employee a written or otherwise recorded rating of record annually, normally within three months of the end of the appraisal period. The rating of record must be based on the Rating Official's evaluation of the SL employee's actual job performance during that appraisal period. NARA will not issue a rating of record that assumes a level of performance without an actual evaluation of that employee's performance. A summary rating becomes the "rating of record" when it is issued to an SL employee with all appropriate reviews and signatures.

b. Ratings of record are the basis for annual pay adjustments granted in accordance with 5 U.S.C. § 5376, 5 CFR Part 534, Subpart E, and NARA 330, Senior-Level Performance Management, Pay, and Awards, including all Supplements. NARA grants ratings-based awards to SL employees in accordance with 5 U.S.C. Chapter 45, 5 CFR Part 451, and the NARA 330. Annual ratings of record also serve as a basis for additional personnel actions regarding unacceptable performance in accordance with 5 U.S.C. § 4303 and 5 CFR Part 432.

c. **Self-Assessment.** Each SL employee must prepare and submit a self-assessment accomplishment report to her or his Rating Official, typically within 30 days of the end of the appraisal period. There is no specific format for the self-assessment, but it must provide a summary of the SL employee's accomplishments for each critical element in the SL employee's most recently-approved performance plan. For each performance objective in Critical Element 4 (Business Results) and any performance objectives included in Critical Element 5 (Position Specific), the SL employee must re-state the performance objective and expressly state the result; the SL employee may also provide additional narrative to provide context, including mitigating factors that impacted actual performance against the objective.

d. Initial Summary Rating.

- (1) The Rating Official, in consultation with the Reviewing Official, must assign an individual competency rating for each selected competency using the performance standards described in Part 4 of the SL performance plan for each critical element. The Rating Official will average the points assigned to each of the selected competencies to two decimal places to determine the overall points for the critical element, using standard rounding procedures. Based on the calculated average, the Rating Official will assign a rating level to the critical element,

using the same point ranges for the Rating of Record (specified in Part 5 of the SL performance plan). Next, the Rating Official will calculate the element score for each critical element, which is the product of the rating for each critical element multiplied by the element weight. The sum of all critical element scores is the overall initial summary score. The initial summary score corresponds to the Rating of Record Point Ranges (Part 5) to derive the initial summary rating.

- (2) The Rating Official will record the ratings for each competency, each critical element, and the summary rating on the SL employee's performance appraisal and will also provide a narrative assessment to support each rating. The Rating Official should obtain the signature of the Reviewing Official and then will discuss the rating with (and provide a copy to) the SL employee.
 - (a) The Rating Official must make her or his assessment and ratings based on evidence of performance against the SL employee's written performance plan and standards issued for the position available and in effect for the relevant appraisal period.
 - (b) The Rating Official must consider all relevant indicators of performance, including performance elements applicable to the position as well as contributions to organizational performance, as appropriate.
 - (c) If misconduct has affected performance, the Rating Official must consider evidence of such misconduct in assessing performance against the applicable requirements or standards.

e. **Higher-Level Review.** An SL employee may request a review of her or his initial summary rating by a higher-level management official before it proceeds to the next step. NARA will designate an individual to provide higher level review for SL employees. Higher-level review will not be performed by a member of the Performance Review Board (PRB) or an official who participated in determining the initial summary rating.

f. **Centralized Review of Ratings.** After discussing the rating with the SL employee, the Rating Official forwards the employee's initial ratings to the PRB. The PRB reviews initial summary ratings for SL employees and makes written recommendations on final ratings, pay adjustments, and awards to the Archivist of the United States. Where applicable, the PRB will consider the impact of documented misconduct on the SL employee's performance under the relevant performance standards. Once approved, the PRB will notify the Rating Official regarding any changes to the SL employee's rating.

g. **Final Summary Rating.** The Archivist of the United States reviews PRB rating recommendations, pay adjustments, and awards and assigns each SL employee her or his final summary rating, pay adjustment, and award amount. This is the SL employee's "rating of record." Rating Officials must communicate final summary ratings, pay adjustments, and award amounts back to their SL employees.

h. **Appeal rights.** An SL employee cannot grieve her or his final rating under the administrative grievance procedure.

i. **Performance Distinctions.** Rating Officials and PRB members will recommend ratings that make meaningful distinctions based on performance relative to the SL employee's critical elements and standards, including specific established performance objectives, and that take into account organizational performance results. SL employees who have demonstrated the highest levels of performance will receive the highest ratings of record.

j. **Forced distribution of performance ratings is prohibited.** A rating distribution must not be prescribed for SL employees. This prohibition does not preclude Rating Officials or the PRB from carrying out their responsibilities to ensure that only those employees whose performance exceeds normal expectations are rated at levels above Level 3 (Fully Successful) and that the SL employees with the highest levels of performance receive the highest ratings, pay adjustments, and awards.

k. **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. Rating Officials and PRB members recommend pay adjustments and awards so that SL employees who have demonstrated the highest levels of individual performance or the greatest contribution to the agency's performance receive the following:

- (1) The highest ratings of record;
- (2) The largest corresponding performance-based pay adjustments;
- (3) The largest corresponding performance awards; and
- (4) The highest corresponding levels of pay to be appropriately positioned in the pay range.

10. **Rating Critical Elements.**

Rating Officials must assess each SL employee's performance for each critical element and each critical element must be assigned a rating. Rating Officials will use the following methodology for SL employees:

a. *Critical Elements 1-3*

- (1) The Rating Official will assess performance on each competency selected using the performance standards described in paragraph 6, above and assign a rating to each competency.
- (2) The Rating Official will assign a point value to each competency, based on the rating, as follows:
 - (a) Level 5 = 5 points
 - (b) Level 4 = 4 points
 - (c) Level 3 = 3 points
 - (d) Level 2 = 2 points
 - (e) Level 1 = 0 points
- (3) If more than one competency is assigned in a single critical element, the Rating Official will average the points assigned to each of the competencies to two decimal places to determine the overall points for the critical element, using standard rounding procedures. Based on the calculated average, a rating level will be assigned to the critical element, as follows:
 - (a) If the calculated average is 4.75 to 5.00, the rating is Level 5;
 - (b) If the calculated average is 4.00 to 4.74, the rating is Level 4;
 - (c) If the calculated average is 3.00 to 3.99, the rating is Level 3;
 - (d) If the calculated average is 2.00 to 2.99, the rating is Level 2; and
 - (e) If any competency or performance objective is Level 1, the rating for the entire critical element is Level 1.

b. *Critical Element 4*

- (1) The Rating Official will assess performance on each performance objective in the Business Results element using the specific measures that are established for each objective and assign a rating to each. Each rating level will have the point value described in paragraph 11, below.
- (2) The Rating Official will average the points of each of the performance objectives to two decimal places to determine the overall points for the element, using standard rounding procedures. Based on the calculated average, a rating level will be assigned to the element.

c. *Critical Element 5 (if used)*

- (1) The Rating Official will assess performance on each competency or performance objective in the Position Specific critical element using the

performance standards required for this critical element in paragraph 5, above. Each rating level will have the point value described in paragraph 11, below.

- (2) If more than one competency or performance objective is assigned to this critical element, the Rating Official will average the points of each of the competencies or performance objectives to two decimal places to determine the overall rating of the element, using standard rounding procedures. Based on the calculated average, a rating level will be assigned to the element.

11. **Calculating the Summary Rating.**

a. **Critical Element Point Values.** Once the rating for each critical element is determined, each critical element will be assigned a point value:

- (1) Level 5 = 5 points
- (2) Level 4 = 4 points
- (3) Level 3 = 3 points
- (4) Level 2 = 2 points
- (5) Level 1 = 0 points

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

- (1) If any critical element is rated Level 1 (Unacceptable), the summary rating is Level 1 (Unacceptable). If no critical element is rated Level 1 (Unacceptable), continue to the next step.
- (2) For each critical element, multiply the critical element point value by the weight assigned to that critical element. (Critical element weights are assigned in the performance plan; see paragraph 5f.) The result is the critical element score.
- (3) Add the critical element score for each of the critical elements to calculate a total score.
- (4) Assign the summary rating using the ranges below:
 - (a) If the total score is 475 to 500, the rating is Level 5;
 - (b) If the total score is 400 to 474, the rating is Level 4;
 - (c) If the total score is 300 to 399, the rating is Level 3;
 - (d) If the total score is 200 to 299, the rating is Level 2; and
 - (e) If any critical element is rated Level 1, the summary rating is Level 1.

- (5) Example, with the summary rating determined to be Level 4 (Exceeds Fully Successful):

Critical Element	Rating	Point Value		Weight		Score
1. Project / Program Management	4	4	x	20	=	80
2. Interpersonal Leadership / Responsibilities	5	5	x	15	=	75
3. Leading Innovation	3	3	x	15	=	45
4. Business Results	4	4	x	40	=	160
5. Position Specific (Optional)	4	4	x	10	=	40
Total Score				100		400

c. **Summary Performance Levels.** The SL performance appraisal system includes five summary performance levels:

- (1) Level 5 - Outstanding
- (2) Level 4 - Exceeds Fully Successful
- (3) Level 3 - Fully Successful
- (4) Level 2 - Minimally Satisfactory
- (5) Level 1 – Unacceptable

12. **Details and Temporary Assignments; Reassignments, Transfers, and Separations.**

a. **Details or Temporary Assignments.** When an SL employee has completed a detail or temporary assignment lasting 90 days or more, the detail Rating Official must prepare a performance rating. The detail Rating Official will forward her or his rating to the SL employee's Rating Official of record. The Rating Official of record will take the detail Rating Official's performance rating into consideration when preparing the annual rating of record.

b. **Reassignments, Transfers, and Separations.** The Rating Official must prepare a performance rating when an SL employee leaves her or his position within the agency

after serving 90 days or more in the current appraisal period. This applies regardless of whether the SL employee is reassigned within NARA, transfers to another Federal agency, or is separated from the Federal government. After completing the performance rating, in consultation with the Reviewing Official, the Rating Official will forward the performance rating as follows:

- (1) When an SL employee is reassigned to another position within NARA, forward the performance rating to the gaining Rating Official.
- (2) When an SL employee transfers to another agency forward the performance rating to the Office of Human Capital, to forward to the gaining agency.
- (3) When an SL employee separates from Federal service, forward the performance rating to the Office of Human Capital for proper disposition.

c. **Transfers In.** When determining the rating of record for an SL employee who transferred from another agency during the appraisal cycle, the current Rating Official must consider any applicable performance ratings received from the former agency.

PART 5 – OTHER SYSTEM REQUIREMENTS

13. Senior Professional Review Panel (SPRP).

a. **Authority.** Any Federal agency with 10 or more Senior-Level positions must establish one or more Senior Professional Review Panels (SPRP) to make written recommendations on ratings of record, performance awards, and pay adjustments to the authorized agency official(s). NARA's Senior Executive Service Performance Review Board (PRB) will satisfy the requirements of the SPRP. The PRB Chair will sign as the "SPRP Chair" on all SL employee performance plans and appraisals.

b. **Membership.** The Archivist of the United States determines membership of the SPRP, including designation of the Chair. When determining membership, the Archivist will ensure that a majority of members are career appointees (SES or SL). NARA's SPRP may include Federal Senior Professionals from outside the agency.

c. **Oversight.** The PRB Chair is responsible for the effectiveness of the SL performance management system and oversees the program. The PRB Chair:

- (1) Communicates organizational assessments and evaluation guidelines to SL employees, their Rating and Reviewing Officials, and PRB members;
- (2) Certifies that—
 - (a) The appraisal process makes meaningful distinctions based on

relative performance;

- (b) SL employee ratings take into account assessments of organizational performance as appropriate; and
 - (c) Pay adjustments, awards, and pay levels accurately reflect performance;
- (3) On an annual basis, communicates to all SL employees the distribution of ratings from the previous appraisal period and the average pay adjustment and award amounts for each associated rating level. The Chair protects the privacy of the ratings received by individual SL employees when communicating these results; and
 - (4) Periodically evaluates the effectiveness of the performance management system and implements improvements as needed.

d. **Agency/Organizational Performance.** The PRB must take into account appropriate assessments of the operational performance of the agency and of the SL employee's organization when making recommendations. The PRB Chair provides guidelines to SL employees, their Rating and Reviewing Officials, and PRB members about organizational performance results and how to consider organizational performance when determining an SL employee's performance ratings, pay adjustments, and awards.

e. **Office of Inspector General.** The Inspector General is authorized to establish a separate SPRP for the exclusive purpose of reviewing ratings, performance awards, and pay adjustments for SL employees in the Office of Inspector General (OIG). The OIG SPRP may include Federal Senior Professionals from outside the agency. The OIG SPRP will perform the functions assigned to the PRB and PRB Chair in NARA 330 and this Supplement for SL employees in the OIG.

14. **Training and Evaluation.**

NARA will provide information and training for new SL employees, and refresher training for current SL employees, on the requirements and operation of the agency's performance management system and performance-based pay and awards.

15. **Additional Agency-Specific Policies.**

NARA has no additional agency-specific policies.