

**GSA SENIOR EXECUTIVE SERVICE
PERFORMANCE ASSESSMENT**

RATING PERIOD

BEGINNING

ENDING

EXECUTIVE

RATING OFFICIAL

| | | | |
|--------------------|------|-----------|------|
| NAME | | NAME | |
| TITLE/ORGANIZATION | | TITLE | |
| SIGNATURE | DATE | SIGNATURE | DATE |

RATINGS (See Instructions on back)

| CRITICAL ELEMENTS | | RATING (Check one for each Critical Element) | | | | |
|---|---|--|-----------------------------|-----------------------------|-----------------------------|----------------------------|
| POLICY MANAGEMENT | ➔ | <input type="checkbox"/> O | <input type="checkbox"/> HS | <input type="checkbox"/> FS | <input type="checkbox"/> MS | <input type="checkbox"/> U |
| PROGRAM MANAGEMENT | ➔ | <input type="checkbox"/> O | <input type="checkbox"/> HS | <input type="checkbox"/> FS | <input type="checkbox"/> MS | <input type="checkbox"/> U |
| ORGANIZATIONAL PLANNING AND ADMINISTRATION | ➔ | <input type="checkbox"/> O | <input type="checkbox"/> HS | <input type="checkbox"/> FS | <input type="checkbox"/> MS | <input type="checkbox"/> U |
| HUMAN RESOURCES MANAGEMENT | ➔ | <input type="checkbox"/> O | <input type="checkbox"/> HS | <input type="checkbox"/> FS | <input type="checkbox"/> MS | <input type="checkbox"/> U |
| SUMMARY RATING | ➔ | <input type="checkbox"/> O | <input type="checkbox"/> HS | <input type="checkbox"/> FS | <input type="checkbox"/> MS | <input type="checkbox"/> U |

RATING OFFICIALS SUMMARY REMARKS

| | | |
|--|---|-------------------------------------|
| BONUS RECOMMENDED? <input type="checkbox"/> YES <input type="checkbox"/> NO | PAY LEVEL CHANGE RECOMMENDED? <input type="checkbox"/> YES <input type="checkbox"/> NO | If "Yes," enter recommended Level ➔ |
| RATING OFFICIAL ➔ | SIGNATURE | DATE |

EXECUTIVE REVIEW/OPTIONAL COMMENTS

CHECK APPROPRIATE BOX IF YOU:
 WISH TO PROVIDE A WRITTEN RESPONSE REQUEST A REVIEW BY A HIGHER LEVEL OFFICIAL

(NOTE: Written responses must be received within 15 days of receipt of rating.)

| | | |
|---------------------------|-----------|------|
| SENIOR EXECUTIVE ➔ | SIGNATURE | DATE |
|---------------------------|-----------|------|

FINAL RATING ASSIGNED BY ADMINISTRATOR (Check one)

O HS FS MS U

Instructions for Preparing and Completing GSA Form 3399 and the GSA Standard SES Performance Plan

1. **Preparing Performance plans** . The executive's performance plan consists of standard critical elements and performance standards established by the ERB, which are supplemented by specific organizational goals and objectives.

a. The executive and rating official jointly develop the goals and objectives that complete the plan, utilizing the annual strategic planning process and/or in additional goal setting sessions.

b. The rating official and executive should sign and date the top portion of GSA Form 3399, GSA Senior Executive Service Performance Appraisal, to document that the plan was discussed and understood.

c. Performance plans should be completed within 30 days of the beginning of the rating period or new appointment. Performance plans should also be updated within 30 calendar days of reassignments that occur during the performance appraisal period.

2. **Rating critical elements** . Assign one of the following five ratings to each critical element:

a. **Outstanding** . Performance normally significantly exceeds the standards for fully successful performance. Performance in the element typically is characterized by accomplishments of the types described as outstanding in the GSA Standard SES Performance Plan.

b. **Highly Successful** . Performance normally exceeds the standards for fully successful performance, but not to such a degree as to be described outstanding.

c. **Fully Successful** . Performance consistently meets and may exceed at time the standards for fully successful performance and rarely or never fails to meet them.

d. **Minimally Satisfactory** . Performance occasionally fails to meet the standards for fully successful performance but not so frequently or to such a degree as to have a significantly negative impact on the performance of duties within the applicable critical elements.

e. **Unsatisfactory** . Performance fails to meet the standards for fully successful performance so frequently or to such a degree as to have a significant negative impact on the accomplishment of the work of the critical element.

3. **Determining the summary rating** . Review the ratings assigned to the four critical elements in the performance plan and record the appropriate summary rating. Determine the summary rating as follows:

a. Outstanding in all elements or outstanding in three elements and one highly successful element - summary rating is "outstanding."

b. Highly successful in all elements; highly successful in three elements with one element outstanding or fully successful; highly successful in two elements with remaining elements outstanding - summary rating is "highly successful."

c. Fully successful in all elements or fully successful in two elements with remaining elements outstanding, or highly successful - summary rating is "fully successful."

d. Marginally successful in one or more elements - summary rating is "marginally successful."

e. Unsatisfactory in one or more critical elements - summary rating is "unsatisfactory."

4. **Recording summary rating levels** . Indicate the summary rating level and record a brief narrative in the space provided on GSA Form 3399.

5. **Issuing Ratings** .

a. The rating official completes the performance rating form, assigning the executive an initial rating, and then discusses the rating with the executive.

b. Upon receiving the rating, the executive indicates on GSA Form 3399 whether he or she wants to make a written response and requests a review by a higher level official. Written responses must be completed within 15 days of the rating.

c. Marginal or unsatisfactory ratings must be accompanied by a recommendation for appropriate action. Rating officials should contact the Office of Human Resources (CP) for guidance on preparation of the recommendation.

d. The PRB reviews the performance appraisal for each executive, the response of the executive, if any, and higher level written reviews and recommendations before recommending an overall performance rating to the Administrator.

e. The Administrator reviews the PRB's recommendations and assigns the final rating. The Inspector General assigns the final rating for executives in the Office of the Inspector General.

6. **Consequence of final rating** . The final rating affects the status of senior executives as follows:

a. Executives who receive minimally successful ratings will be provided assistance in the form of: formal and on-the-job training, counseling, closer supervision, and detail assignment(s).

b. Executives who receive two unsatisfactory ratings must be reassigned, transferred within the SES, or removed from the SES.

c. Executives who receive two unsatisfactory ratings in a period of 5 consecutive years must be removed from the SES.

d. Executives who receive less than fully successful ratings twice in any 3 consecutive years must be removed from the SES.

e. Executives who are career appointees and receive fully successful or higher ratings are eligible for a performance award.

f. Executives who are eligible for recertification will have performance appraisals considered as a factor in decisions to recertify, conditionally recertify, or non recertify. (See Ch 12).