

Completing Appraisals for FY-2008 SES, SL and ST Employees



September 2008

New Systems Effective 10/1/07

- Executive Resources Board approved the new systems September, 2007.
- “Toolbox” contains everything you need to develop a performance plan or complete an appraisal. Find it at:
<http://www.doi.gov/hrm/SESToolbox.html>
- Toolbox includes:
 - link to forms for SES (DI-2011) and SL/ST (DI-2002)

New Systems Effective 10/1/07 (cont'd)

- Toolbox Includes (Cont'd):
 - Instructions on how to use those forms
 - Frequently asked questions document
 - Guidance to create performance commitments
 - SES Performance Pay Results for prior years

New Systems Effective 10/1/07 (cont'd)

- Mandatory Department-wide Element
 - Universal element. SES differs from SL/ST
 - Reminder: element was written at the “fully successful” level
- Position-specific Elements (maximum of 6)
 - Reminder: elements are written at the “fully successful” level
- All elements have equal weight

New Systems Effective 10/1/07 (cont'd)

- Beginning 9/30/08, executives and professionals describe their specific accomplishments to address each performance element
- Record these accomplishments on pages 6-9 of the appraisal form
- Use action verbs to describe your accomplishments
- Show results!
- You are limited to the space provided. The forms do not expand. Additional information will not be considered; any additional pages will be returned to your Bureau HR specialists

New Systems Effective 10/1/07 (cont'd)

- Executive or Professional provides the entire appraisal document to his/her rating official who will assign rating levels for each element and provide a justification for the ratings s/he assigns. Definitions for each level are found on page 2 of the appraisal forms.
- Rating official completes page 2, Part IV, to determine the “Initial Summary Rating” using formula shown at the bottom of page 2 of the appraisal forms.
- Discussion with the executive/professional occurs and copy of “Initial Summary Rating” is provided to executive/professional.
- Any requests for a higher level review must be made within 10 working days of employee’s receipt of the appraisal.

Submitting 2008 Appraisals

- 2008 Appraisals Due in Executive Resources Division, OHR, Room 5021
Main Interior Building OCTOBER 31, 2008
- Performance Review Boards will convene first week in November.
- Exact Timeline will be published via memo from Executive Resources Board

QUESTIONS?

- Additional training sessions needed?
Additional questions? Please call us!

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CLOSEOUT SES and SL/ST

September, 2008



FY 2008 Performance Recognition Eligibility (cont'd)

- Completed Performance Appraisal is required to recommend performance recognition.
- SES/SL/ST pay increases are tied to summary rating level (0% - 10% increase in pay).
- Number of SES/SL/ST nominated for pay increases is not capped.
- SES/SL/ST are eligible to receive a combination of performance recognitions. For example, they may receive a pay increase and a bonus.

FY 2008 SES Performance Recognition Guidance

The pay range for SES is \$114,468 to EX-II (currently \$172,200, subject to change by the President in January 2009). The following table describes the possible recognition associated with each performance rating level:

Summary Performance Rating	Possible Pay Increase	Possible Other Recognition
Exceptional	<ul style="list-style-type: none"> • 0% to 10% • Maximum pay level (EX-II) 	<p>Broad based cash award (one only):</p> <ul style="list-style-type: none"> • Gold Secretary's Executive Leadership Award (SELA) (17% of pay) • Silver SELA (14% of pay) • Bronze SELA (12% of pay) • SES Performance Bonus: 5% to 10% of pay based on performance appraisal accomplishments <p style="text-align: center;">AND/OR</p> <ul style="list-style-type: none"> • Special Act Cash Award (\$1,000 - \$10,000) based on an ERB-approved nomination for a special act* <p style="text-align: center;">AND/OR</p> <ul style="list-style-type: none"> • Time Off Award based on an ERB-approved nomination for a special act, 80 hours maximum*
Superior	<ul style="list-style-type: none"> • 0% to 6% • Maximum pay level (EX-II) 	<p>Broad based cash award (one only):</p> <ul style="list-style-type: none"> • Silver SELA (14% of pay) • Bronze SELA (12% of pay) • SES Performance Bonus: 5% to 8% of pay based on performance appraisal accomplishments <p style="text-align: center;">AND/OR</p> <ul style="list-style-type: none"> • Special Act Cash Award (\$1,000 - \$7,500) based on an ERB-approved nomination for a special act* <p style="text-align: center;">AND/OR</p> <ul style="list-style-type: none"> • Time Off Award based on an ERB-approved nomination for a special act, 80 hours maximum*
Fully Successful	<ul style="list-style-type: none"> • 0% to 4% • Maximum pay level (EX-II) 	<p>Broad based cash award (one only):</p> <ul style="list-style-type: none"> • Special Act Cash Award (\$1,000 - \$5,000) based on an ERB-approved nomination for a special act* <p style="text-align: center;">AND/OR</p> <ul style="list-style-type: none"> • Time Off Award based on an ERB-approved nomination for a special act, 80 hours maximum*

*Special Act Cash awards and Time Off awards require completion of the Special Act Incentive Award form (attached). Special Act Cash awards given throughout the year do not prohibit recognition of a cash award (Performance Bonus or SELA) at the end of the appraisal year.

FY 2008 SL/ST Performance Recognition Guidance

The pay range for SL/ST is \$114,468 to EX-III (currently \$158,500, subject to change by the President in January 2009). The following table describes the possible recognition associated with each performance rating level:

Summary Performance Rating	Possible Pay Increase	Possible Other Recognition
Exceptional	<ul style="list-style-type: none"> • 0% to 10% inclusive of locality adjustment and general pay increase • Maximum pay level (EX-III) 	Broad based cash award (one only): <ul style="list-style-type: none"> • Sustained Superior Performance Award (\$1,000 - \$10,000) AND/OR • Time Off Award based on an ERB-approved nomination for a special act, 80 hours maximum* AND/OR • Special Act Cash Award (\$1,000 - \$10,000) based on an ERB-approved nomination for a special act*
Superior	<ul style="list-style-type: none"> • 0% to 6% • Maximum pay level (EX-III) 	Broad based cash award (one only): <ul style="list-style-type: none"> • Sustained Superior Performance Award (\$1,000 - \$7,500) AND/OR • Time Off Award based on an ERB-approved nomination for a special act, 80 hours maximum* AND/OR • Special Act Cash Award (\$1,000 - \$7,500) based on an ERB-approved nomination for a special act*
Fully Successful	<ul style="list-style-type: none"> • 0% to 4% • Maximum pay level (EX-III) 	Broad based cash award (one only): <ul style="list-style-type: none"> • Sustained Superior Performance Award (\$1,000 - \$5,000) AND/OR • Time Off Award based on an ERB-approved nomination for a special act, 80 hours maximum* AND/OR • Special Act Cash Award (\$1,000 - \$5,000) based on an ERB-approved nomination for a special act*

The Sustained Superior Performance Award is based on the annual performance appraisal, and no nomination form is required.

*Special Act Cash awards and Time Off awards require completion of the Special Act Incentive Award form.

FY 2008 Performance Recognition Eligibility (cont'd)

- Received full certification in July 2008, therefore, maximum pay for SES is EX-II (currently \$172,200) and maximum aggregate compensation (salary plus bonus/award) is Vice President's salary (currently \$221,100)
- Maximum pay for SL/ST is at the EX-III level (currently \$158,500) and maximum aggregate compensation (salary plus bonus/award) for SL/ST is EX-I (currently \$191,300).
- Figures are subject to change in January 2009

Recording Recommendations

- Rating Official and/or Bureau Head are initial recommending officials for performance recognition
- Performance Review Boards (PRBs) review ratings and recommendations made at the Bureau level. PRB Chairperson makes recommendation to 1) agree with or 2) record any suggested changes to the initial rating or recognition proposed.
- PRB Chair records panel recommendation for rating level on appraisal form.

Recording Recommendations (Cont'd)

- Bureau and PRB recommendations are provided to the Assistant Secretaries/equivalent officials for their consideration
- Assistant Secretaries/equivalent officials provide their recommendations to the Executive Resources Board
- Executive Resources Board is designated by the Secretary to make final decisions on SES and SL/ST pay-for-performance.

Recording Recommendations (Cont'd)

- Results will be communicated to Assistant Secretaries and Bureau Heads
- Goal for FY-2008 is to complete this process by December 24
- Effective date for pay adjustments will be January 4, 2009.

Questions?

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