

Completing SES, SL and ST Appraisals for FY-2010



October 2010

FY 2010 SES, SL and ST Performance

- Ratings are due in OHR, Rm. 4346, Main Interior Bldg on November 3, 2010
- The SES “Toolbox” contains everything you need to complete an appraisal or develop a performance plan. Find it at:
<http://www.doi.gov/hrm/SESToolbox.html>
- Toolbox contains:
 - link to forms for SES (DI-2011) and SL/ST (DI-2002)

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- Toolbox contains (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

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- Mandatory Department-wide Element
 - Universal element. SES differs from SL/ST
 - Reminder: Diversity Advocacy Element added to top of page 4: “Promotes workforce Diversity, provides fair and equitable recognition and equal opportunity, and promptly and appropriately addresses allegations of harassment or discrimination
 - Reminder: element was written at the “fully successful” level

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- Position-specific Elements (maximum of 6)
 - Reminder: elements are written at the “fully successful” level
- All elements have equal weight

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- 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. Any additional pages will be returned to your Bureau HR specialists

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- 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 2010 Appraisals

- SES Performance Review Boards will convene November 5.
- Timeline of events was published in a memo from Rhea Suh, Assistant Secretary for Policy, Management and Budget.

FY 2010 Performance Recognition Eligibility

- Completed Performance Appraisal is required to recommend any performance recognition.
- Pay increases are tied to summary rating level (0% - 5% increase in pay).
- Eligible to receive a combination of performance recognitions. For example, a pay increase and a performance award.

FY 2010 Performance Recognition Eligibility (Cont'd)

- Received provisional certification for our SES appraisal system in August 2010, therefore, maximum pay for SES is EX-II (now \$179,700) and maximum aggregate compensation (salary plus bonus/award) is Vice President's salary (now \$230,700)
- Figures are subject to change in January 2011

FY 2010 SL/ST Pay-for-Performance

- Maximum pay for SL/ST is at the EX-III level (currently \$165,300) and maximum aggregate compensation (salary plus bonus/award) for SL/ST is EX-I (currently \$199,700).
- Once OPM regulations on SL/ST pay are released, DOI will develop an implementing pay policy that addresses the criteria for exceeding EX-III.

Recording Recommendations

- Rating Official and/or Bureau Head are initial recommending officials for performance recognition (in consultation with the appropriate Assistant Secretary).
- 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.
- Assistant Secretaries/equivalent officials provide their recommendations to the Executive Resources Board.
- Any Assistant Secretary/equivalent official who disagrees with the PRB recommendations and wishes to advocate for their executives with the ERB may request the opportunity to do so.

Recording Recommendations (Cont'd)

- Executive Resources Board is designated by the Secretary to make final decisions on SES and SL/ST pay-for-performance.
- Results will be communicated in writing to Assistant Secretaries and Bureau Heads
- Goal for FY-2010 is to complete this process by December 20, 2010
- Effective date for pay adjustments is January 2, 2011.

Questions?

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