

National Archives and Records Administration

Internal Process for SES, SL, and ST Performance and Misconduct

Rating Official Guidance

By law, each agency is required to develop a performance appraisal system(s) for its senior executives, senior level employees, and scientific or professional employees (SL or ST employees). The law also requires that agency rating officials issue performance requirements and appraise the performance of individuals in senior executive or senior level positions. Rating officials must consider all available evidence that affects the employee's level of performance with respect to these requirements or standards, including information about misconduct when it affects that performance.

The annual guidance and call for performance narratives and initial summary ratings will include the following language:

Rating officials of SES, SL, or ST employees, must assign an initial summary rating, and communicate it to each subordinate by the deadline. The rating assessment will be based on observable and measurable indicators of actual performance against the written performance plan, requirements, and standards issued for the position with respect to the relevant rating period. Rating officials must consider all relevant indicators of performance applicable to the position and the relationship between organizational success and individual employee performance, as appropriate. If misconduct has affected performance, rating officials must consider evidence of such misconduct in assessing performance against the applicable requirements or standards.

Performance Review Board Guidance

The Chief Human Capital Officer will provide the Performance Review Board (PRB) with information regarding misconduct that has impacted the performance for any SES, SL or ST employee, as appropriate. The PRB must take into account the impact of any documented misconduct on the individual's performance appraisal. The documented misconduct must fall within the parameters of the applicable performance requirements or performance standards for the position during the relevant appraisal period when making recommendations on appraisals and performance awards.

Inserted into the annual guidance to the members of the Performance Review Board:

Review performance documentation for each SES, SL, or ST.

- Where applicable, the PRB will consider the impact of documented misconduct on the individual's performance under the relevant performance requirements or performance standards.