

**SES AND SL/ST
PERFORMANCE APPRAISAL SYSTEM CERTIFICATION
SUBMISSION CHECKLIST**

This checklist is for agencies submitting complete packages for Provisional or Full certification of their performance appraisal system (not using the SES-PAAT).

DOCUMENTS TO SUBMIT	
1.	Written request for certification. Letter to the Director of OPM from the head of the agency or designee.
2.	Description of specific improvements made based on feedback provided by OPM/OMB.
3.	Agency's strategic plan and annual performance plan as applicable to establish alignment with employee performance plans.
4.	Performance appraisal system description. System description addresses requirements for—
	Indicate page number/section in system description.
	Alignment
	Consultation
	Measurable, outcome-oriented results
	Balanced Measures – customer and employee feedback
	Organizational Assessment and Guidelines to senior employees, rating and reviewing officials, and Performance Review Board (PRB) members
	Oversight responsibility for effectiveness of system application
	Accountability – Subordinate plans are aligned to organizational goals and senior employees are held accountable for rigorous performance management of subordinates
5.	A sample of senior employee performance plans representative of the employees and offices covered by the program (include a plan from OIG, if applicable). <ul style="list-style-type: none"> • 10 percent sample of covered employee performance plans or a total of 20 plans, whichever is greater. • For agencies with fewer than 20 covered employees, all employee performance plans must be submitted.
5a.	Alignment - Plans show clear linkage to strategic plan, agency/organization annual performance plans, budget documents, etc.
5b.	Consultation – Senior Employees were involved in developing the performance plans.
5c.	Measurable Results - Plans show elements include organizational and individual results and requirements/standards that are— <ul style="list-style-type: none"> • observable, measurable, and/or demonstrable, and • outcome-oriented

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5d.	Summary Rating – derivation formula requires each senior employee’s performance plan to count measurable results as at least 60% of the summary rating or a derivation methodology where measurable results clearly drive the summary rating.
5e.	Balance - Senior employee performance plans show solicitation of employee and customer feedback and its use to inform decisions, as applicable.
5f.	Accountability - Senior employee performance plans include an element holding supervisory senior employees accountable for— <ul style="list-style-type: none"> • rigorous performance management of subordinates, and • aligning subordinate employees’ performance plans with organizational goals.
6.	Assessment - Applicable documents that describe the process for assessing organizational performance.
7.	Guidelines <ul style="list-style-type: none"> • Description of how the agency communicated organizational performance; and • Guidance provided to senior employees, rating and reviewing officials, and PRB members for considering organizational performance in the individual appraisal process.
8.	Oversight - Documentation that identifies the position of the individual responsible for oversight of the appraisal and organizational assessment processes.
9.	Performance and Pay Differentiation – Ratings, pay, and awards data for all senior employees covered by the appraisal system. (Information submitted for the annual data call will generally be used. A second additional submission is not required) <ul style="list-style-type: none"> • For full certification – data from two appraisal periods preceding the certification request. • For provisional certification – data from the appraisal period preceding the certification request.
10.	Description of the training provided to senior employees, rating officials, PRBs, and human resources staff on the policies and operation of the agency performance management and pay systems.
11.	Description of the methodology used to communicate to senior employees, rating officials, and PRBs the results of the application of the appraisal process (overall rating distribution and average payout).