

Appendix G – Performance Management Requirements

Changes to Performance Management Requirements from Version 2.0		
Requirement	Changes Made	Reason
PM4 Design a performance management framework.	Primary Reference	Policy Update
PM6 Take action to improve performance management systems and programs IAW laws, regulations, policies, and guidelines.	Primary Reference	Policy Update
PM7 Support the development of performance management systems for members of the SES IAW with 5 USC 4312, 4313, and 5 CFR 430, subpart C.	Primary Reference, Requirements Description	Policy Update
PM8 Support the development of performance appraisal systems for non-SES employees IAW 5 USC 4302, 5 CFR 430, and other applicable laws, regulations, policies, and guidelines.	Primary Reference	Policy Update
PM9 Support the development of performance appraisal programs for non-SES employees IAW applicable agency appraisal systems, 5 CFR 430, subpart B, and laws, regulations, policies, and guidelines.	Primary Reference	Policy Update
PM10 Maintain records related to performance appraisal system(s) and program(s) IAW 5 CFR 430.209.	Primary Reference	Policy Update
PM14 Develop communication materials regarding performance management program.	Primary Reference	Policy Update
PM15 Implement performance management program IAW laws, regulations, policies, and guidelines.	Primary Reference	Policy Update
PM16 Communicate performance appraisal system(s) and program(s) to appropriate individuals IAW laws, regulations, policies, and guidelines.	Primary Reference	Policy Update
PM17 Maintain a performance appraisal system electronically in accordance with 5 USC4302.	Primary Reference, Type	Policy Update
PM44 Subscribe to applicable OPM policy listservs through the OPM website	Added	Policy Update

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The Shared Service Center *may* have a role in providing and operating the facility or system to address the functionality, transaction, or process described by these requirements in accordance with the priority specified.

If an SSC chooses to offer services for any of the non-core services, it must meet the applicable mandatory requirements at the time such services are provided to the customer.

Nothing in these requirements implies or authorizes the performance of inherently governmental functions by non-governmental entities.

Primary Reference	Unique ID	Requirement Description	Type	Priority	Who	Process Linkage	Process Linkage	Process Linkage	Process Linkage	Process Linkage
5 USC 43, 97, 99; 5 CFR 430, 9701, 9901; HCAAF	PM1	Monitor changes that could have an impact on employee performance management.	Policy	Mandatory	Shared Service Center/ Agency	4.1.1 Review Laws, Regulations, Policies and Guidelines				
5 USC 43, 97, 99; 5 CFR 430, 9701, 9901; HCAAF	PM2	Communicate changes to stakeholders that could have an impact on employee performance management.	Policy	Mandatory	Shared Service Center/ Agency	4.1.1 Review Laws, Regulations, Policies, and Guidelines				
5 USC 43, 97, 99; 5 CFR 430, 9701, 9901; HCAAF	PM3	Communicate the agency performance management strategy to stakeholders using a variety of media.	Policy	Mandatory	Shared Service Center/ Agency	4.1.3 Communicate Agency Performance Management Strategy				

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5 USC 43, 97, 99; 5 CFR 430, 9701, 9901; OPM Policy Documents: "System Audit Tool: Performance Appraisal Assessment Tool" (PAAT), and "Multi-Rater Appraisals: What about Confidentiality and Personal Privacy?"; HCAAF	PM4	Design a performance management framework.	Policy	Mandatory	Shared Service Center/ Agency	4.2.1 Design Performance Management Framework	4.2.2 Develop Performance Management Program(s)			
5 CFR 430, 9701, and 9901; 5 USC 97 and 99	PM5	Use methods to make distinctions among employees or groups of employees IAW 5 CFR 430 and other applicable laws, rules and regulations.	Policy	Mandatory	Shared Service Center/ Agency	4.2.1 Design Performance Management Framework	4.2.2 Develop Performance Management Program(s)	4.2.3 Implement Performance Management Program(s)		
5 CFR 430, 9701, and 9901; 5 USC Chapters 43, 97 and 99; OPM Policy Document: "Multi-Rater Appraisals: What about Confidentiality and Personal Privacy?"	PM6	Take action to improve performance management systems and programs IAW laws, regulations, policies, and guidelines.	Policy	Mandatory	Shared Service Center/ Agency	4.2.1 Design Performance Management Framework	4.2.2 Develop Performance Management Program(s)	4.4.1 Evaluate Performance Management Program Results	4.2.4 Assess Performance Management Program(s)_	4.4.2 Evaluate Long-term Impacts and Value of Performance Management Programs

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5 USC 4312-4314; 5 CFR 430, subpart C; OPM Policy Document: "Multi-Rater Appraisals: What about Confidentiality and Personal Privacy?"	PM7	Support the development of performance management systems for members of the SES IAW with 5 USC 4312-4314 and 5 CFR 430, subpart C.	Policy	Mandatory	Shared Service Center/ Agency	4.2.1 Design Performance Management Framework	4.2.2 Develop Performance Management Program(s)			
5 USC 43, 97, 99; 5 CFR 430, 9701, 9901; HCAAF; OPM Policy Documents: "System Audit Tool: Performance Appraisal Assessment Tool" (PAAT), and "Multi-Rater Appraisals: What about Confidentiality and Personal Privacy?"	PM8	Support the development of performance appraisal systems for non-SES employees IAW 5 USC 4302, 5 CFR 430, and other applicable laws, regulations, policies, and guidelines.	Policy	Mandatory	Shared Service Center/ Agency	4.2.1 Design Performance Management Framework				

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5 USC 43, 97, 99; 5 CFR 430, 9701, 9901; HCAAF; OPM Policy Documents: "System Audit Tool: Performance Appraisal Assessment Tool" (PAAT), and "Multi-Rater Appraisals: What about Confidentiality and Personal Privacy?"	PM9	Support the development of performance appraisal programs for non-SES employees IAW applicable agency appraisal systems, 5 CFR 430, subpart B, and laws, regulations, policies, and guidelines.	Policy	Mandatory	Shared Service Center/ Agency	4.2.2 Develop Performance Management Program(s)				
5 USC 43, 97, 99; 5 CFR 430, 9701, 9901; 5 CFR 93.404; HCAAF; OPM Policy Document "Multi-Rater Appraisals: What about Confidentiality and Personal Privacy?"	PM10	Maintain records related to performance appraisal system(s) and program(s) IAW 5 CFR 430.209.	Policy	Mandatory	Shared Service Center/ Agency	4.2.1 Review Laws, Regulations, Policies and Guidelines	4.2.2 Develop Performance Management Program(s)	4.2.4 Assess Performance Management Program(s)	4.3.5 Finalize Performance Appraisal	4.4.1 Evaluate Performance Management Program Results
PM10 Process linkages continued						4.4.2 Evaluate Long-term Impacts and Value of Performance Management Programs				

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Primary Reference	Unique ID	Requirement Description	Type	Priority	Who	Process Linkage	Process Linkage	Process Linkage	Process Linkage	Process Linkage
5 CFR 430, subpart D; 5 USC 5307(d)	PM11	Support the application for certification of the SES and/or senior professional appraisal system(s) IAW 5 CFR 430, subpart D.	Policy	Mandatory	Shared Service Center/ Agency	4.2.2 Develop Performance Management Program(s)				
5 CFR 430, subpart D; 5 CFR 530.204	PM12	Provide data support for the SES and senior professional performance management system(s) IAW 5 CFR 430, subpart D, and other applicable guidance.	Policy	Mandatory	Shared Service Center/ Agency	4.1.1 Review Laws, Regulations, Policies, and Guidelines	4.2.2 Develop Performance Management Program(s)	4.2.3 Implement Performance Management Programs(s)	4.2.4 Assess Performance Management Programs	4.3.5 Finalize Performance Appraisal
PM12 Process linkages continued						4.4.1 Evaluate Performance Management Program Results	4.4.2 Evaluate Long-term Impacts and Value of Performance Management Programs			
5 USC 2302 and 2303; CFR 430, Federal Workforce Flexibility Act; HCAAF; 5 USC 97 and 99	PM13	Conduct performance management training IAW laws, regulations, policies and guidelines.	Policy	Mandatory	Shared Service Center/ Agency	4.2.3 Implement Performance Management Program(s)	4.3.1 Establish Individual Performance Requirements	4.3.2 Conduct Feedback	4.3.3 Complete Final Performance Appraisal	
5 USC 43, 97, 99; 5 CFR 430, 9701, 9901; HCAAF; OPM Policy Document: "Multi-Rater Appraisals: What about Confidentiality and Personal Privacy?"	PM14	Develop communication materials regarding performance management program.	Policy	Mandatory	Shared Service Center/ Agency	4.2.3 Implement Performance Management Program(s)				

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5 USC 43, 97, 99; 5 CFR 430, 9701, 9901; HCAAF; OPM Policy Document: "Multi-Rater Appraisals: What about Confidentiality and Personal Privacy?"	PM15	Implement performance management program IAW laws, regulations, policies, and guidelines.	Policy	Mandatory	Shared Service Center/ Agency	4.2.3 Implement Performance Management Program(s)				
HCAAF; 5 USC 43, 97, 99; 5 CFR 430, 9701, 9901; OPM Policy Document: "Multi-Rater Appraisals: What about Confidentiality and Personal Privacy?"	PM16	Communicate performance appraisal system(s) and program(s) to appropriate individuals IAW laws, regulations, policies, and guidelines.	Policy	Mandatory	Shared Service Center/ Agency	4.2.3 Implement Performance Management Program(s)				
5 USC 4302(c), 97, and 99; OPM Policy Documents: "System Audit Tool: Performance Appraisal Assessment Tool" (PAAT), and "Multi-Rater Appraisals: What about Confidentiality and Personal Privacy?"	PM17	Maintain a performance appraisal system electronically in accordance with 5 USC4302.	Policy, Technology	Critical	Shared Service Center/ Agency	4.2.1 Design Performance Management Framework	4.2.3 Implement Performance Management Program(s)	4.2.4 Assess Performance Management Programs	4.3.1 Establish Individual Performance Requirements	4.3.3 Complete Final Performance Appraisal

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PM17 Process linkages continued						4.3.5 Finalize Performance Appraisal	4.4.1 Evaluate Performance Management Program Results			
5 USC 43, 97, 99; 5 CFR 430, 9701, 9901; PAAT ; HCAAF	PM18	Evaluate performance appraisal systems and programs IAW 5 CFR 430.209, laws, regulations, policies and guidelines.	Policy	Mandatory	Shared Service Center/ Agency	4.4.1 Evaluate Performance Management Program Results	4.4.2 Evaluate Long-term Impacts and Value of Performance Management Programs	4.2.4 Assess Performance Management Programs		
5 USC 43, 97, 99; 5 CFR 430, 9701, 9901; PAAT ; HCAAF	PM19	Provide data support for the non-SES performance management system(s).	Service	Mandatory	Shared Service Center/ Agency	4.1.1 Review Laws, Regulations, Policies and Guidelines	4.2.2 Develop Performance Management Program(s)	4.2.3 Implement Performance Management Program(s)	4.2.4 Assess Performance Management Programs	4.3.5 Finalize Performance Appraisal
PM19 Process linkages continued						4.4.1 Evaluate Performance Management Program Results	4.4.2 Evaluate Long-term Impacts and Value of Performance Management Programs			
5 USC 43, 97, 99; 5 CFR 430, 9701, 9901	PM20	Support the development of employee performance plans IAW 5 CFR 430 and other applicable laws, regulations, policies, and guidelines.	Policy	Mandatory	Shared Service Center/ Agency	4.3.1 Establish Individual Performance Requirements	4.2.2 Develop Performance Management Program(s)			
5 USC 43, 97, 99; 5 CFR 430, subpart C; 5 CFR 430.209; 5 CFR 9701 and 9901	PM21	Provide consultative support to supervisors during the performance management process in accordance with applicable laws, regulations, policies, and guidelines.	Service	Critical	Shared Service Center/ Agency	4.3.1 Establish Individual Performance Requirements	4.3.2 Conduct Feedback	4.3.3 Complete Final Performance Appraisal	4.3.4 Discuss Final Performance Appraisal	4.3.5 Finalize Performance Appraisal
5 CFR 430.310; 5 USC 97, 99, and 4314	PM22	Support the administration of performance review boards IAW 5 CFR 430.310 and 5 USC 4314.	Policy	Mandatory	Shared Service Center/ Agency	4.3.5 Finalize Performance Appraisal	4.3.3 Complete Final Performance Appraisal			

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Primary Reference	Unique ID	Requirement Description	Type	Priority	Who	Process Linkage	Process Linkage	Process Linkage	Process Linkage	Process Linkage
5 USC 97 and 99; 5 CFR 430.209	PM23	Report ratings of record data to the centralized data record; IAW OPM reporting requirements and standards.	Policy	Mandatory	Shared Service Center/ Agency	4.3.5 Finalize Performance Appraisal				
5 CFR 430.209; 5 CFR 293; 5 USC 97 and 99	PM24	Transfer an employee's performance ratings (e.g., ratings of record, any subsequent performance ratings) when an employee transfers to another agency or is assigned to another organization within the agency in compliance with 5 CFR 293 and OPM instructions.	Policy	Mandatory	Shared Service Center/ Agency	4.3.5 Finalize Performance Appraisal				
5 CFR 430.209; 5 USC 97 and 99	PM25	Support the submission of performance appraisal systems and programs documentation to OPM.	Policy	Mandatory	Shared Service Center/ Agency	4.2.1 Design Performance Management Framework	4.2.2 Develop Performance Management Program(s)	4.2.4 Assess Performance Management Program(s)		
5 USC 97 and 99	PM26	Support the development of performance standards.	Service	Critical	Shared Service Center/ Agency	4.2.1 Design Performance Management Framework	4.2.2 Develop Performance Management Program(s)	4.3.1 Establish Individual Performance Requirements		
Best Business Practice	PM27	Provide for employee goal and achievement tracking.	Technology	Critical	Shared Service Center/ Agency	4.2.3 Implement Performance Management Program(s)				
Best Business Practice	PM28	Provide follow-up to ensure reviews are done.	Technology	Critical	Shared Service Center/ Agency	4.2.3 Implement Performance Management Program(s)				
Best Business Practice	PM29	Support use of performance ratings to determine pay increases (e.g., pay for performance).	Technology	Critical	Shared Service Center/ Agency	4.2.3 Implement Performance Management Program(s)	4.3.5 Finalize Performance Appraisal			
Best Business Practice	PM30	Track performance ratings by Demographics.	Technology	Mandatory	Shared Service Center/ Agency	4.2.3 Implement Performance Management Program(s)	4.4.1 Evaluate Performance Management Program Results			

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Best Business Practice	PM31	Document employee coaching free-form comments.	Technology	Useful	Shared Service Center/ Agency	4.2.3 Implement Performance Management Program(s)	4.3.2 Conduct Feedback			
Best Business Practice	PM32	Support recurring performance reviews.	Technology	Critical	Shared Service Center/ Agency	4.2.1 Design Performance Management Framework	4.2.3 Implement Performance Management Program(s)	4.3.2 Conduct Feedback		
Best Business Practice	PM33	Provide the capability to set appraisal cycle parameters.	Technology	Critical	Shared Service Center/ Agency	4.2.1 Design Performance Management Framework	4.2.3 Implement Performance Management Program(s)	4.3.5 Finalize Performance Appraisal		
Best Business Practice	PM34	Support the development of guidelines for measuring performance against identified expectations.	Service	Critical	Shared Service Center/ Agency	4.2.1 Design Performance Management Framework	4.2.2 Develop Performance Management Program (s)	4.2.3 Implement Performance Management Program(s)	4.3.1 Establish Individual Performance Requirements	
Best Business Practice	PM35	Track performance progress.	Technology	Mandatory	Shared Service Center/ Agency	4.2.1 Design Performance Management Framework	4.2.3 Implement Performance Management Program(s)	4.3.2 Conduct Feedback		
Best Business Practice	PM36	Use automated workflow to support the performance management process.	Technology	Mandatory	Shared Service Center/ Agency	4.2.1 Design Performance Management Framework	4.2.3 Implement Performance Management Program(s)	4.3.5 Finalize Performance Appraisal		
Best Business Practice	PM37	Archive performance management information.	Technology	Mandatory	Shared Service Center/ Agency	4.2.1 Design Performance Management Framework	4.2.3 Implement Performance Management Program(s)			
Best Business Practice	PM38	Provide the capability to capture employee input and document employee accomplishments online.	Technology	Critical	Shared Service Center/ Agency	4.2.1 Design Performance Management Framework	4.2.3 Implement Performance Management Program(s)			

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Best Business Practice	PM39	Notify individuals of performance management events.	Technology	Critical	Shared Service Center/ Agency	4.2.1 Design Performance Management Framework	4.2.3 Implement Performance Management Program(s)	4.3.1 Establish Individual Performance Requirements	4.3.2 Conduct Feedback	
PM39 Process linkages continue						4.3.3 Complete Final Performance Appraisal				
Best Business Practice	PM40	Provide access to electronic information files on performance management including policies, guidelines, and forms.	Technology	Critical	Shared Service Center/ Agency	4.2.1 Design Performance Management Framework	4.2.2 Develop Performance Management Program (s)	4.2.3 Implement Performance Management Program(s)		
Best Business Practice	PM41	Provide help-desk support for performance management .	Service	Mandatory	Shared Service Center/ Agency	4.2.1 Design Performance Management Framework	4.2.3 Implement Performance Management Program(s)	4.3.1 Establish Individual Performance Requirements	4.3.2 Conduct Feedback	4.3.3 Complete Final Performance Appraisal
PM41 Process linkages continued						4.3.4 Discuss Final Performance Appraisal	4.3.5 Finalize Performance Appraisal			
Best Business Practice	PM42	Provide automated support for the evaluation of performance management.	Technology	Critical	Shared Service Center/ Agency	4.2.4 Assess Performance Management Program (s)	4.4.1 Evaluate Performance Management Program Results	4.4.2 Evaluate Long-term Impacts and Value of Performance Management Programs		
Best Business Practice	PM43	Make performance management appraisal information available to other HR systems.	Technology	Critical	Shared Service Center/ Agency	4.2.1 Design Performance Management Framework	4.2.3 Implement Performance Management Program(s)	4.3.5 Finalize Performance Appraisal		
Best Business Practice	PM44	Subscribe to applicable OPM policy listservs through the OPM website	Policy	Mandatory	Shared Service Center/ Agency	All Activities				