

**REACH Appraisal**

Employee Name: Mark Brown		Title: Chief Operating Officer	
Pay Plan/Series/Grade:	Organization Code:	Appraisal Period:	
AD-340-00	FSA	From: 3/31/2019	To: 09/30/2019

**Scale to Rate Elements**

- 3 points for “Exceptional Results Achieved”;
- 2 points for “High Results Achieved”;
- 1 point for “Results Achieved”; and
- 0 points for “Unsatisfactory Results”.
- Not Applicable (N/A)

**Critical Element Rating:**

(b)(6)

**Rating Justification:**

(b)(6)

(b)(6)

(b)(6)

**Critical Element:** Innovation - Leading Measurable Change

**Weight:** 40%

**Performance Standard:** : Executive designs and implements an organizational structure and culture that accepts innovation to increase efficiency, productivity, and stewardship. The culture and structure must allow the executive to assess and adjust to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. As the leader of a Performance Based Organization (PBO), the Executive must maintain an appropriate balance of industry and governmental expertise. In doing so, the executive must balance change and continuity; with continuous program performance specifically as it relates to student customer service, partnership with institutions of higher learning, and legal compliance.

Outcome measures may include, but are not limited to:

- Analyze the effects of innovations and organizational structures as tools used to achieve FSA stated strategic objectives.
- Measure improvement to the customer and partner experience as documented through designed and fielded projects that improve the customer (partner) experience.
- Minimize documented findings of noncompliance with legislation and Department regulations as defined by external reviews. i.e.: Office of the Inspector General; General Accounting Office, etc.

<b>Critical Element Rating:</b> (b)(6)
(b)(6)

(b)(6)

(b)(6)

**Critical Element:** Strategic Alignment and Collaboration

**Weight:** 20%

**Performance Standard:** 1. Executive identifies clear, transparent alignment to agency strategic planning initiatives (e.g., relevant agency or organizational goals/objectives with cited page numbers from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document).

Outcome measures may include, but are not limited to:

- Achieve Strategic Plan objectives.
- Collaborate with the Under Secretary and other senior leaders through regular execution updates on the implementation of their policy decisions.
- Provide decision support to Secretary and Chief of Staff on the development of strategies that will meet the Departments goals and objectives.

**Critical Element Rating:** (b)(6)

**Rating Justification:** (b)(6)

(b)(6)

(b)(6)

**Critical Element:** Business Acumen

**Weight:** 20%



**Performance Standard:** Executive demonstrates stewardship through assessing, analyzing, and overall administration of the portfolio, human resources, congressional and other stakeholder engagement, and budgetary resources. Do so in a manner that instills public trust and accomplishes the organization's mission.

Outcome measures may include, but are not limited to:

- **Portfolio Management:** Routinely provides portfolio performance, metrics, and recommendation to the Secretary other department leaders.

**Human Resources** - Plan and implement capacity, workload balancing, hiring, promotion, workforce and succession plans in accordance with policy. As evidenced by quality of plan and its execution with full utilization of PBO authorities.

- **Congressional and other Stakeholder Engagement** - Provide timely response to congressional inquiries providing written and verbal input as necessary. Regularly engages with stakeholders to explain challenging policies other FSA challenges. Interface with media, vendors, congressional members, White House staff, and special interest groups to obtain buy-in, respond to questions and generally get momentum to move the NextGen project along as well as other FSA initiatives.

- **Budgetary Resources** - Executes budget authority within established limitations.

Advocates for resources as necessary to achieve Department goals. Reduces cost in order to achieve the efficiency required of a PBO including the cost of loan servicing.

**Critical Element Rating:** (b)(6)

**Rating Justification:** (b)(6)

(b)(6)

**Critical Element:** 20%

**Weight:** Accountability

**Performance Standard:** Executive develops, an actionable system of accountability vendors, employees, and institutions of higher learning. Where appropriate, Executive utilizes objective measures to determine performance and inform decision making.

Outcome measurements may include, but are not limited to:

- Objective measurements of vendor performance.
- Objective performance for employee performance.
- Repeatable process with evidence of actions taken based on institutions compliance with Title IV requirements.

**Critical Element Rating:** [Click here to select a rating](#)

**Rating Justification:**

**Critical Element:**

**Weight:**

**Performance Standard:**

**Summary Rating:**

(b)(6)

**Check here if Interim Rating:**

**Scoring Scale for Summary Rating:**

Exceptional Results Achieved = 2.5 -3.0-point average  
High Results Achieved = 2.00 -2.49-point average  
Results Achieved = 1.00 -1.99-point average  
Unsatisfactory Results = Any element rated Unsatisfactory

Rating Official Signature:

(b)(6)

Date: 3/25/2020

Approving Official Signature: *Betsey DeVos*

Date: 5/1/2020

Employee Signature	(b)(6)			
Date:	April 23, 2020	(Signed prior to approving official signature)		
Employee wishes to respond	Yes	<input checked="" type="checkbox"/>	No	

Employee response may be attached. Response is attached.

Withheld pursuant to exemption

(b)(5); (b)(6)

of the Freedom of Information and Privacy Act

Withheld pursuant to exemption

(b)(5); (b)(6)

of the Freedom of Information and Privacy Act

Withheld pursuant to exemption

(b)(5); (b)(6)

of the Freedom of Information and Privacy Act

Withheld pursuant to exemption

(b)(5); (b)(6)

of the Freedom of Information and Privacy Act



Withheld pursuant to exemption

(b)(5); (b)(6)

of the Freedom of Information and Privacy Act

(b)(5); (b)(6)



**UNITED STATES DEPARTMENT OF EDUCATION  
SES Performance Management System  
Executive Performance Plan**



**PART 1. CONSULTATION**

**Section** Senior executive performance management systems must provide for consulting with senior executives on the development of performance elements and requirements [5 CFR 430.304(b)(2)]. This section provides documentation that the senior executive was consulted.

**Purpose:**

**Instructions:** Both the senior executive and rating official must sign and date the plan on their respective lines. The title of the rating official should also be provided. The appointment type of the senior executive is indicated by selecting the appropriate drop down selection (CA = Career; NC = Non-Career; LT/LE = Limited Term/Limited Emergency).

**PART 2. PROGRESS REVIEW**

**Section** The supervisor must hold a progress review for each senior executive at least once during the appraisal period [5 CFR 430.306(b)]. This section provides documentation for that review.

**Purpose:**

**Instructions:** Following the senior executive's progress review, the supervisor, senior executive, and reviewing official (optional), sign and date the plan on their respective lines.

**PART 3. SUMMARY RATING**

**Section** The supervisor must develop a written Initial Summary Rating of the senior executive's performance and share that rating with the senior executive [5 CFR 430.308(a)]. This section displays the supervisor's initial summary rating.

**Purpose:**

**Instructions:** An Initial Summary Rating is determined based on the appraisal of the critical elements and performance requirements in Part 5 and the derivation formula in Part 4. The rating official, senior executive and reviewing official (optional) sign and date the plan on their respective lines.

In the event a higher level review is requested, the request checkbox in the *Higher Level Review* section is selected and the senior executive initials and dates accordingly. Completion of the higher level review is indicated by selecting the completion checkbox. The higher level reviewer signs and dates the plan.

The Performance Review Board's (PRB) recommended rating is indicated by selecting the appropriate checkbox and a PRB member signs and dates the plan. The appointing authority must then assign the *Annual Summary Rating* of the senior executive's performance after considering the PRB's recommendation. The *Annual Summary Rating* indicated on this line of the plan is the *Official Rating*.

**PART 4. DERIVATION FORMULA AND CALCULATION OF ANNUAL SUMMARY RATING**

**Section** Agencies must have a method for deriving Summary Ratings from appraisals of performance against performance requirements [5 CFR 430.304(c)(3)]. This section provides standardized Summary Level Ranges and a table for calculations.

**Purpose:**

**Instructions:** The supervisor will rate each individual critical element (see Part 5) and then record the point value corresponding to each element's rating in the first column of the derivation table (*Initial*). Point values (found in Part 5) for the five performance levels are as follows:

Level 5 = 5 Points	Level 4 = 4 Points	Level 3 = 3 Points	Level 2 = 2 Points	Level 1 = 0 Points
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Each critical element's initial point value is then multiplied by its assigned weight. It is important that weighting percentages in the *Weight* column are recorded as whole numbers, not decimals (e.g., 30% is recorded as 30 and not .30). The product of the initial element's point value and the weight becomes the *Initial Element Score*. All the critical elements' *Initial Element Scores* are then summed to derive the *Total Score*. The *Total Score* for all of the critical elements is compared with the *Summary Level Ranges*.

The appointing authority will consider recommendations from the supervisor, higher level reviewer (if applicable), and the PRB to derive the *Annual Summary Rating*. The appointing authority will record any change to an *Element Rating* in the second column of the derivation table (*Final (if changed)*). Changing an *Element Rating* will require recalculating the *Total Score* and comparing the new score with the *Summary Level Ranges* to derive the *Annual Summary Rating* (recorded in Part 3).

## PART 5. PERFORMANCE STANDARDS AND CRITICAL ELEMENTS

**Section Purpose:** A senior executive performance plan must include the individual and organizational expectations for the appraisal period and the *Performance Requirements* against which performance will be evaluated [5 CFR 430.305]. This section includes defined *Performance Standards* for each of the five performance levels in the appraisal system. This section also contains the required *Performance Requirements* for each critical element.

**Instructions:** The supervisor may expand on the mandatory *Performance Requirements* of any critical element by adding additional *Agency-Specific Performance Requirements* (which may be written as competencies or specific results/commitments associated with the element). The mandatory *Performance Requirements* of the Basic SES Performance Plan describe the Level 3 performance level, as established in the *Performance Standards*. Additional *Agency-Specific Performance Requirements* also must be written at the Level 3 performance level. Agencies are encouraged to develop requirements that set *Performance Requirements* for performance at Levels 5 and 2 as well, especially when describing expected results.

Critical element 5 is the *Results Driven* element. This critical element includes specific performance results expected from the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. The performance plan must have at least three performance requirements (including measures, targets, timelines, or quality descriptions, as appropriate) describing the range of performance at Level 3 for each result specified. Agencies may allow no more than five performance requirements. It is recommended to establish threshold measures/targets for Levels 5 and 2 as well. Each result in this section must have a relevant goal/objective from the Strategic Plan to which it aligns. *Strategic Alignment* requires citing the relevant goal(s)/objective(s) (and page numbers where they can be found) in the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document.

The supervisor should ensure that the weights are appropriately set (i.e., the *Results Driven* critical element is weighted 20% or higher; all other critical elements are weighted 5% or higher, and no individual critical element is weighted more than the *Results Driven* critical element) so that the total weight of all the critical elements is equal to 100%.

After evaluating the executive's performance, the supervisor selects a *Critical Element Rating* by checking the appropriate checkbox below each critical element. After all critical elements have been rated, the critical element rating points and weights are automatically populated in the Derivation Formula Table (see Part 4) and the *Initial Total Score* is calculated.

## PART 6: SUMMARY RATING NARRATIVE (Mandatory)

**Section Purpose:** This section provides feedback for the senior executive, as well as performance information for a higher level reviewer (if requested) and the PRB (if necessary).

**Instructions:** Along with the *Initial Summary Rating*, the supervisor also provides a written *Summary Rating Narrative*, which is a written assessment describing the senior executive's performance. Information that helps justify the *Initial Summary Rating* should be included in this narrative.

## Part 7: EXECUTIVE'S ACCOMPLISHMENT NARRATIVE (Optional)

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**Section** The *Executive's Accomplishment Narrative* allows the senior executive to provide a description of his/her accomplishments over the course of the rating period. This information is beneficial for the supervisor when rating and may be required by some agency appraisal systems.

**Instructions:** The senior executive should consider his/her performance over the course of the rating cycle and list/describe his/her accomplishments, particularly in terms of meeting or exceeding assigned performance requirements.

## PART 8: EXECUTIVE DEVELOPMENT (Optional)

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**Section** This section should address any training or development activities the executive completed during the rating cycle that enhanced a specified leadership competency. In section 8a, the executive should identify training/development commitments at the beginning of the rating cycle. In section 8b, the executive should address what development activities were accomplished and how they related to enhancing or refining the identified competency. While this section is not required; it is highly recommended that the executive complete this portion and that the rating official take the activities into consideration when assessing critical performance elements.



**UNITED STATES DEPARTMENT OF EDUCATION  
SES Performance Management System  
Executive Performance Plan**



**PART 1: CONSULTATION**

I have reviewed this plan and have been consulted on its development.      **Appraisal Period**    From 10/1/2019    To 9/30/2020

**Executive's Name** *(Last, First, MI)* BROWN, MARK A.      **Executive's Title** CHIEF OPERATING OFFICER

**Principal Office** Federal Student Aid (FSA)      **Appt. Type** \_\_\_\_\_

**Executive's Signature** Mark Brown      Digitally signed by Mark Brown  
Date: 2020.09.17 00:52:54 -04'00'      **Date** \_\_\_\_\_

**Rating Official's Name** *(Last, First, MI)* Jones, Diane

**Rating Official's Signature** Diane Jones      Digitally signed by Diane Jones  
Date: 2020.09.17 09:31:00 -04'00'      **Date** \_\_\_\_\_

**PART 2. PROGRESS REVIEW**

**Executive's Signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Rating Official's Signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Reviewing Official's Signature** *(Optional)* \_\_\_\_\_ **Date** \_\_\_\_\_

**PART 3. SUMMARY RATING**

**Initial Summary Rating**     Level 5 Outstanding     Level 4 Exceeds Fully Successful     Level 3 Fully Successful     Level 2 Minimally Satisfactory     Level 1 Unsatisfactory

**Rating Official's Name** *(Last, First, MI)* \_\_\_\_\_

**Rating Official's Signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Executive's Signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Reviewing Official's Signature** *(Optional)* \_\_\_\_\_ **Date** \_\_\_\_\_

**Higher Level Review** *(if applicable)*

I request a higher level review.    **Executive's Initials** \_\_\_\_\_ **Date** \_\_\_\_\_

Higher Level Review Completed.    **Higher Level Reviewer's Signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Performance Review Board Recommendation**     Level 5     Level 4     Level 3     Level 2     Level 1

**PRB Chair Signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Annual Summary Rating**     Level 5     Level 4     Level 3     Level 2     Level 1

**Appointing Authority's Signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**PART 4. DERIVATION FORMULA AND CALCULATION OF ANNUAL SUMMARY RATING**

Critical Element	Element Rating		Weight	Score		Summary Level Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change			20	0		475-500 = Level 5 400-474 = Level 4 300-399 = Level 3 200-299 = Level 2 Any CE Rated Level 1 = Level 1
2. Leading People			5	0		
3. Business Acumen			5	0		
4. Building Coalitions			10	0		
5. Results Driven			60	0		
<b>TOTAL</b>			<b>100</b>	<b>0</b>		

**PART 5. PERFORMANCE STANDARDS AND CRITICAL ELEMENTS**

**Performance Standards for Critical Elements** (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

**Level 5:** The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.

**Level 4:** The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.

**Level 3:** The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and often exceeds challenging performance expectations established for the position.

**Level 2:** The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.

**Level 1:** In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive does not meet established performance expectations/timelines/targets and fails to produce - or produces unacceptable - work products, services, or outcomes.

**Element Rating Level Points**

- Level 5 = 5 points**
- Level 4 = 4 points**
- Level 3 = 3 points**
- Level 2 = 2 points**
- Level 1 = 0 points**

**Critical Element 1. Leading Change**

(Minimum Weight 5%) Weight 20

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

1)  
Objective: Develop and fully execute a reorganization plan within FSA as approved by the Secretary of Education

Metric: To complete the implementation of the reorganization plan  
FY20 Target: Deadline June 1, 2020  
Strategic Objective 1.2: Expand employee skills and capabilities to support Next Gen FSA

2)  
Objective: Initiate an organizational workforce requirements study within FSA.

Metric: Administer the organizational workforce study through the identification, validation, assessment, and prioritization of skill competencies, required grades, and strategic alignment for all business areas within FSA.  
FY20 Target: 50% of organization completed  
Strategic Objective 1.2A: Expand employee skills and capabilities to support Next Gen FSA

Rating Official Narrative: (Optional)

<i>Critical Element 1. Leading Change</i>	<input type="radio"/> Level 5	<input type="radio"/> Level 4	<input type="radio"/> Level 3	<input type="radio"/> Level 2	<input type="radio"/> Level 1
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**Critical Element 2. Leading People**

(Minimum Weight 5%) Weight 5

Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements

**Employee Engagement:** Executive develops, deploys, and promotes specific and effective policies and practices to have a positive influence on employee's commitment to their work and the Department's mission and goals.

Outcome measurements may include, but are not limited to:

- Direct measurements such as the Federal Employee Viewpoint Survey Employee Engagement Index results,
- Employee engagement or satisfaction pulse surveys,
- Employee focus groups, or other formal and informal feedback tools,
- Indirect measurements such as improved productivity improved quality of work products ( assuming that such improvements are in fact measured and measurable).

At the fully successful level, executive demonstrates positive outcomes from efforts undertaken by the executive to actively engage the workforce within their organization to improve processes and to solicit and address issues of general concern.

Rating Official Narrative: (Optional)

1)  
Objective: Improve employee engagement and workplace inclusion to support talent acquisition, retention, and succession planning

Metric: Improve Federal Employee Viewpoint Survey Score; specifically within the Employee Engagement Index.  
FSA's scores will increase 1-2%.  
FY20 Target: 62-63%

Strategic Objective 1.1 – objective as written

<i>Critical Element 2. Leading People</i>	<input type="radio"/> Level 5	<input type="radio"/> Level 4	<input type="radio"/> Level 3	<input type="radio"/> Level 2	<input type="radio"/> Level 1
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**Critical Element 3. Business Acumen**

(Minimum Weight 5%) Weight 5

Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

Critical Element 3. Business Acumen	<input type="radio"/> Level 5	<input type="radio"/> Level 4	<input type="radio"/> Level 3	<input type="radio"/> Level 2	<input type="radio"/> Level 1
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Agency-Specific Performance Requirements

<p>1) Objective: Increase FSA staffing levels in critical mission areas to expand organizational skills and capabilities to support Next Gen FSA Metric: Successfully on-board niche capabilities (programmers, data scientists, lawyers, and contracting officers) FY20 Target: Programmers: 5; Data Scientists: 7; Lawyers: 23; Law Clerks: 8; Contracting Officers: 8 Strategic Objective 1.2: Expand employee skills and capabilities to support Next Gen FSA</p> <p>2) Objective: Improve student data privacy and cybersecurity controls at IHE through technical assistance. Metric(s): - Increase Institutions of Higher Education cybersecurity effectiveness by reducing GLBA cybersecurity; FY20 Target: Reduce Non-compliance by 20%. - Reduce incident reporting time at Institutions of Higher Education. FY20 Target: Establish baseline for long-term target Strategic Objective 4.2: Improve student privacy data and cybersecurity controls of Institutions of Higher Education (IHEs) through outreach and communication, to mitigate future cyber-incidents and breaches</p> <p>3) Objective: Implement business partner and vendor systems, that house, manage, and provide system supporting FSA business processes, outreach and awareness focused on oversight, enforcement, infrastructure, systems, and data Metric: Increase partner/vendor cybersecurity effectiveness by reducing the total number of FSA system assessment findings FY20 Target: Reduce the total number of FSA system assessment findings by 20% Strategic Objective 4.1 – objective and metric as written</p> <p>4) Objective: Build an effective cybersecurity culture through employee awareness, training and accountability focused on protecting systems and data Metric: Decrease the number of employee-related cybersecurity incidents associated with inappropriate use, distribution, or storage of Personally Identifiable Information (PII) and financial information FY20 Target: Reduce employee cybersecurity incidents by 20% Strategic Objective 4.3 – objective and metric as written</p> <p>5) Objective: Leverage portfolio analytics to drive improved outcomes for customers and taxpayers. Metric: The percentage of borrowers placed on a 0% interest rate for the duration of the CARES Act interest and payment suspension period. FY20 Target: 99% Strategic Objective 5.3 within the FSA Strategic Plan. The metric is also directly aligned to 2.5C under the Secretary’s Strategic Plan</p> <p>6) Objective: Leverage portfolio analytics to drive improved outcomes for customers and taxpayers. Metric(s): The percentage of borrower notifications completed at each phase of the CARES Act interest and payment suspension period: - Initial Period – March 2020 - Extension Period – August 2020 - Repayment Notification – 1st Quarter 2021 FY20 Target: 99% Strategic Objective 5.2: Provide analytics and operational support for a customer-centric, data-driven, performance-based organization</p>
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Rating Official Narrative: (Optional)

**Critical Element 4. Building Coalitions**

(Minimum Weight 5%) Weight 10

Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Critical Element 4. Building Coalitions	<input type="radio"/> Level 5	<input type="radio"/> Level 4	<input type="radio"/> Level 3	<input type="radio"/> Level 2	<input type="radio"/> Level 1
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Agency-Specific Performance Requirements

- 1)
 

Objective: Implement a college financial literacy education program that helps borrowers understand the long-term implications of debt and various repayment options.

Metric(s) - Number of users who adopt "Aidan," the StudentAid.gov virtual assistant; FY20 Target: 100,000  
 - Number of customers checking loan balances via the myStudentAid mobile app; FY20 Target: 70,000  
 - Number of customers who utilize the Loan simulator; FY20 Target baseline established

Strategic Objective 2.2A & H – metrics as written
- 2)
 

Objective: Resolve outstanding recertification applications from IHEs Decrease the backlog of recertification applications

Metric: FY20 Target Deadline: 50% reduction by March 31, 2020; Additional 25% reduction by September 30, 2020
- 3)
 

Objective: Resolve outstanding Final Program Review Determinations

Metric: Decrease the backlog of Final Program Review Determinations; FY20 Target Deadline: 30% reduction by March 31, 2020
- 4)
 

Objective: Reduce the backlog of outstanding borrower defense to repayment applications (existing as of September 30, 2019)

Metric: Increase the number of Borrower Defense (BD) applications adjudicated (subject to existing BD regulations).  
 FY20 Target: 150,000 cases adjudicated by 09/30/20

Strategic Objective 3.1B: Provide effective oversight of FSA's partners utilizing a comprehensive suite of monitoring tools – metric as written
- 5)
 

Objective: Ensure that all participants in the postsecondary education funding system can easily access the information they need to perform their important functions and serve the interests of students.

Metric: Ease of Doing Business with FSA – a survey with postsecondary institutions; FY20 Target: 74.4 – 76.4%

Strategic Objective 3.2: Strengthen partner engagement and provide effective outreach and assistance
- 6)
 

Objective: Ensure that FSA provides prompt, timely, meaningful, and robust responses to requests for data information from senior leaders at the Department, with particular attention to those required for the Department's regulatory and legislative priorities

Metric(s): - Initiate monthly reporting of an increased number of data sets to the public through the FSA Data Center.  
 - Increase timeliness of FSA's ability to respond to both legislative and directed reports (as mandated).  
 FY20 Target: Initiate 55 key reports for FSA Data Center; timeliness of legislative and directed reports is less than one month

Strategic Objective 5.1A & B – metrics as written

Rating Official Narrative: (Optional)

**Critical Element 5. Results Driven**

(Minimum Weight 20%) Weight 60

This critical element must have three to five performance requirements.

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable results from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance requirements must contain measurable results and their quality indicators describing the range of performance at Level 3 for each result specified. In addition to the quality indicators, applicable measures of quantity, timelines, and/or cost-effectiveness may be included as appropriate. It is recommended to also establish the threshold quality indicators and measures for Levels 5 and 2. Indicators must reflect the same level of performance as the respective performance standard contained in Part 5.

Strategic Alignment -identify clear, transparent alignment to agency strategic planning initiatives (e.g., relevant agency or organizational goals/objectives with cited page numbers from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document) in the designated section for each performance requirement.

**Note:** Performance requirements must contain results and quality indicators that are clearly and differentially identified (e.g., highlighted, bold, underlined) so that it is readily evident on what the senior executive will be rated and what is expected for success.

		Result #	Performance Requirement	Strategic Alignment
+	-	1.	1) Objective: Ensure that FSA meets the designated milestones for the Next Gen initiative; inclusive enhancements to FSA online products that maximize the customer experience Metric(s): Streamline contact center and loan servicer operations to improve our customer’s integrated experience FY20 Target Deadlines: - Integrated customer experience portal launched by January 1, 2020 - Expansion of customer related tools through the Digital Customer Care expansion; StudentAid.gov updates launched by March 30, 2020 - Business Process Operations (BPO) and contracts awarded by August 1, 2020. - Loan Simulator, Annual Student Loan Acknowledgement, and Public Service Loan Forgiveness are fully implemented by September 30, 2020.	Strategic Objective 2.1: Ensure that all students can easily access information on federal student aid, apply for federal student aid and have information on repayment options
+	-	2.	1) Objective: Provide seamless, easy, personalized digital interactions equal with top financial institutions in the delivery of financial aid products and services Metric Results on the American Customer Satisfaction Index (ACSI) Aid Lifecycle Survey score FY20 Target: 72-74  2) Objective: Develop a plan to improve, within statutory constraints, the administration of the Public Service Loan Forgiveness Program, including timelines for a streamlined servicer handbook to manage the program; for an improved user-friendly PSLF website for students to pre-certify with employers and to obtain plain language, easily understandable information about the program; and for contacting borrowers in the wrong payment program.  Metric:(s): - Increased percentage of borrowers who complete annual employment certification related to PSLF. - Increased percentage of borrowers who apply for PSLF who are in the correct repayment program and have made the appropriate number of qualifying payments. FY20 Target Deadline: December 31, 2020	Strategic Objective 2.2G – objective and metric as written   Strategic Objective 2.4C – metric as written

+	-	3.	<p>1) Objective: Simplify the communication and processes associated with borrower repayment plans Metric(s): - Implement the Make a Payment pilot as a digital feature as a to pay student loans - Increase the percentage of borrowers using auto-debit to make student loan payments (need % increase number) - Eliminate, Following implementation of the new TEACH Grants regulations on July 1, 2020, reduce the incorrect conversion to loans. FY20 Target Deadline: 90% reduction by September 30, 2020</p> <p>2) Objective: Expand, develop, and implement a statistically valid and rigorous estimation methodology to calculate and drive reductions in improper payments. Metric: Reduce improper payments; FY20 Target: Below 4.95%</p>	<p>Strategic Objective 5.1: Improve the management and transparency of FSA's student loan portfolio performance</p> <p>Strategic Objective 2.4A &amp; B – objective as written</p>
+	-	4.	<p>1) Objective: Implement the FUTURE Act. Metric: FY20 Target Deadlines: - June 1, 2020: Determine which uses of Federal Tax Information, and derivative data, are subject to IRS 1075 requirements. - December 31, 2020: Implement technology solutions and meet the data security requirements of IRS 1075 to enable data-sharing with Department.</p> <p>2) Objective: Implement the CARES Act Metric - The percentage of borrowers placed on a 0% interest rate - The percentage of involuntary payments refunded - The percentage of borrower notifications completed FY20 Target(s) for all metrics: 99%</p>	<p>Strategic Objective 5.2 Provide analytics and operational support for a customer-centric, data-driven, performance-based organization</p> <p>Strategic Goal 2 in the Secretary's Plan, Objectives 2.5C - F</p>
+	-	5.	<p>1) Objective: Implement the Annual Student Loan Acknowledgement (ASLA) Metric(s): - Establish ASLA tool within the StudentAid.gov website environment and release its capability to a subset of FSA borrowers. - Implement a pilot for borrowers who complete their annual certification on time for the Annual Student Loan Acknowledgement (ASLA). FY20 Target Deadline: May 31, 2020</p> <p>2) Objective: Establish workflow process to expedited the completion of Congressional correspondence Metric: Reduce outstanding Congressional correspondence FY20 Target: Outstanding congressional letters submitted to the Executive Secretariat process in 30 days or less from receipt within FSA</p> <p>3) Objective: Establish workflow process to expedite completion of FOIA requests Metric: Reduce the time associated with the processing of FOIA requests FY20 Target: Successfully process 75% or more of all overdue FOIA requests by year-end. non-administrative searches)</p>	<p>Strategic Objective 2.2D</p> <p>Strategic Objective 5.1</p>

Rating Official Narrative: (Optional)

Critical Element Rating - Results Driven  Level 5  Level 4  Level 3  Level 2  Level 1

**Executive's Name** (*Last, First, MI*) BROWN, MARK A. **Appraisal Period** From 10/1/2019 To 9/30/2020

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**PART 6: SUMMARY RATING NARRATIVE (MANDATORY)**

Summary Rating Narrative (max 5,000 characters)

**PART 7: EXECUTIVE'S ACCOMPLISHMENT NARRATIVE (OPTIONAL)**

Executive's Accomplishment Narrative (max 5,000 characters)

**PART 8: EXECUTIVE DEVELOPMENT (OPTIONAL)**

8a. List Executive Development Commitments (max. 2,500 characters).

8b. List Executive Development Accomplishments (max. 2,500 characters).





UNITED STATES DEPARTMENT OF EDUCATION  
OFFICE OF MANAGEMENT



SES Performance Management System  
Executive Performance Plan

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**PART 1. CONSULTATION**

**Section** Senior executive performance management systems must provide for consulting with senior executives on the development of performance elements and requirements [5 CFR 430.304(b)(2)]. This section provides documentation that the senior executive was consulted.

**Instructions:** Both the senior executive and rating official must sign and date the plan on their respective lines. The title of the rating official should also be provided. The appointment type of the senior executive is indicated by selecting the appropriate drop down selection (CA = Career; NC = Non-Career; LT/LE = Limited Term/Limited Emergency).

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**PART 2. PROGRESS REVIEW**

**Section** The supervisor must hold a progress review for each senior executive at least once during the appraisal period [5 CFR 430.306(b)]. This section provides documentation for that review.

**Instructions:** Following the senior executive's progress review, the supervisor, senior executive, and reviewing official (optional), sign and date the plan on their respective lines.

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**PART 3. SUMMARY RATING**

**Section** The supervisor must develop a written Initial Summary Rating of the senior executive's performance and share that rating with the senior executive [5 CFR 430.308(a)]. This section displays the supervisor's initial summary rating.

**Instructions:** An Initial Summary Rating is determined based on the appraisal of the critical elements and performance requirements in Part 5 and the derivation formula in Part 4. The rating official, senior executive and reviewing official (optional) sign and date the plan on their respective lines.

In the event a higher level review is requested, the request checkbox in the *Higher Level Review* section is selected and the senior executive initials and dates accordingly. Completion of the higher level review is indicated by selecting the completion checkbox. The higher level reviewer signs and dates the plan.

The Performance Review Board's (PRB) recommended rating is indicated by selecting the appropriate checkbox and a PRB member signs and dates the plan. The appointing authority must then assign the *Annual Summary Rating* of the senior executive's performance after considering the PRB's recommendation. The *Annual Summary Rating* indicated on this line of the plan is the *Official Rating*.

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**PART 4. DERIVATION FORMULA AND CALCULATION OF ANNUAL SUMMARY RATING**

**Section** Agencies must have a method for deriving Summary Ratings from appraisals of performance against performance requirements [5 CFR 430.304(c)(3)]. This section provides standardized Summary Level Ranges and a table for calculations.

**Instructions:** The supervisor will rate each individual critical element (see Part 5) and then record the point value corresponding to each element's rating in the first column of the derivation table (*Initial*). Point values (found in Part 5) for the five performance levels are as follows:

Level 5 = 5 Points	Level 4 = 4 Points	Level 3 = 3 Points	Level 2 = 2 Points	Level 1 = 0 Points
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Each critical element's initial point value is then multiplied by its assigned weight. It is important that weighting percentages in the *Weight* column are recorded as whole numbers, not decimals (e.g., 30% is recorded as 30 and not .30). The product of the initial element's point value and the weight becomes the *Initial Element Score*. All the critical elements' *Initial Element Scores* are then summed to derive the *Total Score*. The *Total Score* for all of the critical elements is compared with the *Summary Level Ranges*.

The appointing authority will consider recommendations from the supervisor, higher level reviewer (if applicable), and the PRB to derive the *Annual Summary Rating*. The appointing authority will record any change to an *Element Rating* in the second column of the derivation table (*Final (if changed)*). Changing an *Element Rating* will require recalculating the *Total Score* and comparing the new score with the *Summary Level Ranges* to derive the *Annual Summary Rating* (recorded in Part 3).

## PART 5. PERFORMANCE STANDARDS AND CRITICAL ELEMENTS

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**Section Purpose:** A senior executive performance plan must include the individual and organizational expectations for the appraisal period and the *Performance Requirements* against which performance will be evaluated [5 CFR 430.305]. This section includes defined *Performance Standards* for each of the five performance levels in the appraisal system. This section also contains the required *Performance Requirements* for each critical element.

**Instructions:** The supervisor may expand on the mandatory *Performance Requirements* of any critical element by adding additional *Agency-Specific Performance Requirements* (which may be written as competencies or specific results/commitments associated with the element). The mandatory *Performance Requirements* of the Basic SES Performance Plan describe the Level 3 performance level, as established in the *Performance Standards*. Additional *Agency-Specific Performance Requirements* also must be written at the Level 3 performance level. Agencies are encouraged to develop requirements that set *Performance Requirements* for performance at Levels 5 and 2 as well, especially when describing expected results.

Critical element 5 is the *Results Driven* element. This critical element includes specific performance results expected from the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. The performance plan must have at least three performance requirements (including measures, targets, timelines, or quality descriptions, as appropriate) describing the range of performance at Level 3 for each result specified. Agencies may allow no more than five performance requirements. It is recommended to establish threshold measures/targets for Levels 5 and 2 as well. Each result in this section must have a relevant goal/objective from the Strategic Plan to which it aligns. *Strategic Alignment* requires citing the relevant goal(s)/objective(s) (and page numbers where they can be found) in the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document.

The supervisor should ensure that the weights are appropriately set (i.e., the *Results Driven* critical element is weighted 20% or higher; all other critical elements are weighted 5% or higher, and no individual critical element is weighted more than the *Results Driven* critical element) so that the total weight of all the critical elements is equal to 100%.

After evaluating the executive's performance, the supervisor selects a *Critical Element Rating* by checking the appropriate checkbox below each critical element. After all critical elements have been rated, the critical element rating points and weights are automatically populated in the Derivation Formula Table (see Part 4) and the *Initial Total Score* is calculated.

## PART 6: SUMMARY RATING NARRATIVE (Mandatory)

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**Section Purpose:** This section provides feedback for the senior executive, as well as performance information for a higher level reviewer (if requested) and the PRB (if necessary).

**Instructions:** Along with the *Initial Summary Rating*, the supervisor also provides a written *Summary Rating Narrative*, which is a written assessment describing the senior executive's performance. Information that helps justify the *Initial Summary Rating* should be included in this narrative.

## **Part 7: EXECUTIVE'S ACCOMPLISHMENT NARRATIVE** *(Optional)*

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**Section** The *Executive's Accomplishment Narrative* allows the senior executive to provide a description of his/her accomplishments over the course of the rating period. This information is beneficial for the supervisor when rating and may be required by some agency appraisal systems.

**Instructions:** The senior executive should consider his/her performance over the course of the rating cycle and list/describe his/her accomplishments, particularly in terms of meeting or exceeding assigned performance requirements.

## **PART 8: EXECUTIVE DEVELOPMENT** *(Optional)*

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**Section** This section should address any training or development activities the executive completed during the rating cycle that enhanced a specified leadership competency. In section 8a, the executive should identify training/development commitments at the beginning of the rating cycle. In section 8b, the executive should address what development activities were accomplished and how they related to enhancing or refining the identified competency. While this section is not required; it is highly recommended that the executive complete this portion and that the rating official take the activities into consideration when assessing critical performance elements.



UNITED STATES DEPARTMENT OF EDUCATION
OFFICE OF MANAGEMENT



SES Performance Management System
Executive Performance Plan

PART 1: CONSULTATION

I have reviewed this plan and have been consulted on its development. Appraisal Period From 10/1/2018 To 09/30/2019

Executive's Name (Last, First, MI) Manning, James Executive's Title Acting Chief Operating Officer

Principal Office EN - Federal Student Aid (FSA) Appt. Type NC

Executive's Signature James Manning Digitally signed by James Manning Date: 2019.01.30 14:29:48 -05'00' Date 1/31/19

Rating Official's Name (Last, First, MI) Bailey, Nathan

Rating Official's Signature Nathan Bailey Digitally signed by Nathan Bailey Date: 2019.02.01 17:45:26 -05'00' Date 2/01/19

PART 2. PROGRESS REVIEW

Executive's Signature Date

Rating Official's Signature Date

Reviewing Official's Signature (Optional) Date

PART 3. SUMMARY RATING

Initial Summary Rating Level 5 Outstanding Level 4 Exceeds Fully Successful Level 3 Fully Successful Level 2 Minimally Satisfactory Level 1 Unsatisfactory

Rating Official's Name (Last, First, MI)

Rating Official's Signature Date

Executive's Signature Date

Reviewing Official's Signature (Optional) Date

Higher Level Review (if applicable)

I request a higher level review. Executive's Initials Date

Higher Level Review Completed. Higher Level Reviewer's Signature Date

Performance Review Board Recommendation Level 5 Level 4 Level 3 Level 2 Level 1

PRB Chair Signature Date

Annual Summary Rating Level 5 Level 4 Level 3 Level 2 Level 1

Appointing Authority's Signature Date

**PART 4. DERIVATION FORMULA AND CALCULATION OF ANNUAL SUMMARY RATING**

Critical Element	Element Rating		Weight	Score		Summary Level Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change			10	0		475-500 = Level 5 400-474 = Level 4 300-399 = Level 3 200-299 = Level 2 Any CE Rated Level 1 = Level 1
2. Leading People			10	0		
3. Business Acumen			10	0		
4. Building Coalitions			10	0		
5. Results Driven			60	0		
<b>TOTAL</b>			<b>100</b>	<b>0</b>		

**PART 5. PERFORMANCE STANDARDS AND CRITICAL ELEMENTS**

**Performance Standards for Critical Elements** (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

**Level 5:** The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.

**Level 4:** The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.

**Level 3:** The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and often exceeds challenging performance expectations established for the position.

**Level 2:** The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.

**Level 1:** In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive does not meet established performance expectations/timelines/targets and fails to produce - or produces unacceptable - work products, services, or outcomes.

**Element Rating Level Points**

- Level 5 = 5 points**
- Level 4 = 4 points**
- Level 3 = 3 points**
- Level 2 = 2 points**
- Level 1 = 0 points**

**Critical Element 1. Leading Change**

(Minimum Weight 5%) Weight 10

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

Rating Official Narrative: (Optional)

<i>Critical Element 1. Leading Change</i>	<input type="radio"/> Level 5	<input type="radio"/> Level 4	<input type="radio"/> Level 3	<input type="radio"/> Level 2	<input type="radio"/> Level 1
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**Critical Element 2. Leading People**

(Minimum Weight 5%) Weight 10

Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements

**Employee Engagement:** Executive develops, deploys, and promotes specific and effective policies and practices to have a positive influence on employee's commitment to their work and the Department's mission and goals.

Outcome measurements may include, but are not limited to:

- Direct measurements such as the Federal Employee Viewpoint Survey Employee Engagement Index results,
- Employee engagement or satisfaction pulse surveys,
- Employee focus groups, or other formal and informal feedback tools,
- Indirect measurements such as improved productivity improved quality of work products ( assuming that such improvements are in fact measured and measurable).

At the fully successful level, executive demonstrates positive outcomes from efforts undertaken by the executive to actively engage the workforce within their organization to improve processes and to solicit and address issues of general concern.

Rating Official Narrative: (Optional)

<i>Critical Element 2. Leading People</i>	<input type="radio"/> Level 5	<input type="radio"/> Level 4	<input type="radio"/> Level 3	<input type="radio"/> Level 2	<input type="radio"/> Level 1
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**Critical Element 3. Business Acumen**

(Minimum Weight 5%) Weight 10

Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

Critical Element 3. Business Acumen	<input type="radio"/> Level 5	<input type="radio"/> Level 4	<input type="radio"/> Level 3	<input type="radio"/> Level 2	<input type="radio"/> Level 1
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Agency-Specific Performance Requirements

Rating Official Narrative: (Optional)



**Critical Element 4. Building Coalitions**

(Minimum Weight 5%) Weight 10

Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Critical Element 4. Building Coalitions	<input type="radio"/> Level 5	<input type="radio"/> Level 4	<input type="radio"/> Level 3	<input type="radio"/> Level 2	<input type="radio"/> Level 1
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Agency-Specific Performance Requirements

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Rating Official Narrative: (Optional)

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**Critical Element 5. Results Driven**

(Minimum Weight 20%) Weight 60

This critical element must have three to five performance requirements.

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable results from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance requirements must contain measurable results and their quality indicators describing the range of performance at Level 3 for each result specified. In addition to the quality indicators, applicable measures of quantity, timelines, and/or cost-effectiveness may be included as appropriate. It is recommended to also establish the threshold quality indicators and measures for Levels 5 and 2. Indicators must reflect the same level of performance as the respective performance standard contained in Part 5.

Strategic Alignment -identify clear, transparent alignment to agency strategic planning initiatives (e.g., relevant agency or organizational goals/objectives with cited page numbers from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document) in the designated section for each performance requirement.

**Note:** Performance requirements must contain results and quality indicators that are clearly and differentially identified (e.g., highlighted, bold, underlined) so that it is readily evident on what the senior executive will be rated and what is expected for success.

		Result #	Performance Requirement	Strategic Alignment
+	-	1.	Provide timely and expert advice to the Chief of Staff/Secretary to inform decision making around implementing strategic direction and policy aligned to the major goals in the Department's Strategic Plan and the Secretary's priorities.	6.3
+	-	2.	Lead the development and elevation of options and strategies for promoting the Administration's and Department's goals around increased educational attainment, equity and excellent in postsecondary education. Identify specific avenues and examples to successfully promote strong policy and scaling best practices.	4.1 1.3
+	-	3.	Engage with the field by representing the Department in articulating goals and policies to stakeholders, promoting partnerships to advance the equity and attainment agenda and seeking stakeholder input and support.	1.1 1.3 4.1

Rating Official Narrative: (Optional)

<i>Critical Element Rating - Results Driven</i>	<input type="radio"/> Level 5 <input type="radio"/> Level 4 <input type="radio"/> Level 3 <input type="radio"/> Level 2 <input type="radio"/> Level 1
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**PART 6: SUMMARY RATING NARRATIVE (MANDATORY)**

Summary Rating Narrative (max 5,000 characters)

**PART 7: EXECUTIVE'S ACCOMPLISHMENT NARRATIVE (OPTIONAL)**

Executive's Accomplishment Narrative (max 5,000 characters)

**PART 8: EXECUTIVE DEVELOPMENT (OPTIONAL)**

8a. List Executive Development Commitments (max. 2,500 characters).

8b. List Executive Development Accomplishments (max. 2,500 characters).



UNITED STATES DEPARTMENT OF EDUCATION  
OFFICE OF MANAGEMENT



SES Performance Management System  
Executive Performance Plan

PART 1: CONSULTATION

I have reviewed this plan and have been consulted on its development. Appraisal Period From 10/1/2017 To 09/30/18

Executive's Name (Last, First, MI) Manning, James Executive's Title Senior Advisor

Principal Office EE - Office of the Under Secretary (OUS) Appt. Type NC

Executive's Signature James Manning Date 12/15/2017  
Digitally signed by James Manning  
DN: cn=US, o=U.S. Government, ou=U.S. Department of Education, c=James Manning,  
0.9.2342.19200300.100.1.1+9258229659  
Date: 2017.12.15 16:45:38 -05'00'

Rating Official's Name (Last, First, MI) Venable, Joshua

Rating Official's Signature Joshua Venable Date 12/15/2017  
Digitally signed by Joshua Venable  
DN: cn=US, o=U.S. Government, ou=U.S. Department of Education, c=Joshua Venable,  
0.9.2342.19200300.100.1.1+9258229659  
Date: 2017.12.18 10:56:49 -05'00'

PART 2. PROGRESS REVIEW

Executive's Signature \_\_\_\_\_ Date \_\_\_\_\_

Rating Official's Signature \_\_\_\_\_ Date \_\_\_\_\_

Reviewing Official's Signature (Optional) \_\_\_\_\_ Date \_\_\_\_\_

PART 3. SUMMARY RATING

Initial Summary Rating  Level 5 Outstanding  Level 4 Exceeds Fully Successful  Level 3 Fully Successful  Level 2 Minimally Satisfactory  Level 1 Unsatisfactory

Rating Official's Name (Last, First, MI) Bailey, Nathan A

Rating Official's Signature Nathan Bailey Date \_\_\_\_\_  
Digitally signed by Nathan Bailey  
DN: cn=US, o=U.S. Government, ou=U.S. Department of Education, cn=DolED G4 PIV, cn=Nathan Bailey, email=nathan.bailey@dod.gov,  
Date: 2018.11.16 14:20:02 -05'00'

Executive's Signature \_\_\_\_\_ Date \_\_\_\_\_

Reviewing Official's Signature \_\_\_\_\_ Date \_\_\_\_\_

Higher Level Review (if applicable)

I request a higher level review. Executive's Initials \_\_\_\_\_ Date \_\_\_\_\_

Higher Level Review Completed. Higher Level Reviewer's Signature \_\_\_\_\_ Date \_\_\_\_\_

Performance Review Board Recommendation  Level 5  Level 4  Level 3  Level 2  Level 1

PRB Chair Signature \_\_\_\_\_ Date \_\_\_\_\_

Annual Summary Rating  Level 5  Level 4  Level 3  Level 2  Level 1

Appointing Authority's Signature Betsy DeVos Date MAR 20 2019

**PART 4. DERIVATION FORMULA AND CALCULATION OF ANNUAL SUMMARY RATING**

Critical Element	Element Rating		Weight	Score		Summary Level Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change	(b)(6)		10	(b)(6)		475-500 = Level 5
2. Leading People			10			400-474 = Level 4
3. Business Acumen			10			300-399 = Level 3
4. Building Coalitions			10			200-299 = Level 2
5. Results Driven			60			Any CE Rated Level 1 = Level 1
<b>TOTAL</b>			<b>100</b>			

**PART 5. PERFORMANCE STANDARDS AND CRITICAL ELEMENTS**

**Performance Standards for Critical Elements** (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

**Level 5:** The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.

**Level 4:** The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.

**Level 3:** The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and often exceeds challenging performance expectations established for the position.

**Level 2:** The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.

**Level 1:** In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive does not meet established performance expectations/timelines/targets and fails to produce - or produces unacceptable - work products, services, or outcomes.

**Element Rating Level Points**

- Level 5 = 5 points**
- Level 4 = 4 points**
- Level 3 = 3 points**
- Level 2 = 2 points**
- Level 1 = 0 points**

**Critical Element 1. Leading Change** (Minimum Weight 5%) Weight 10

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

Rating Official Narrative: (Optional)

<i>Critical Element 1. Leading Change</i>	(b)(6)
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**Critical Element 2. Leading People**

(Minimum Weight 5%) Weight 10

Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements

**Employee Engagement:** Executive develops, deploys, and promotes specific and effective policies and practices to have a positive influence on employee's commitment to their work and the Department's mission and goals.

Outcome measurements may include, but are not limited to:

- Direct measurements such as the Federal Employee Viewpoint Survey Employee Engagement Index results,
- Employee engagement or satisfaction pulse surveys,
- Employee focus groups, or other formal and informal feedback tools,
- Indirect measurements such as improved productivity improved quality of work products ( assuming that such improvements are in fact measured and measurable).

At the fully successful level, executive demonstrates positive outcomes from efforts undertaken by the executive to actively engage the workforce within their organization to improve processes and to solicit and address issues of general concern.

Rating Official Narrative: (Optional)

Critical Element 2. Leading People

(b)(6)

**Critical Element 3. Business Acumen**

(Minimum Weight 5%) Weight 10

Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages re

*Critical Element 3. Business Acumen*

(b)(6)

Agency-Specific Performance Requirements

Rating Official Narrative: (Optional)



**Critical Element 4. Building Coalitions**

(Minimum Weight 5%) Weight 10

Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

*Critical Element 4. Building Coalitions*

(b)(6)

Agency-Specific Performance Requirements

Rating Official Narrative: (Optional)

**Critical Element 5. Results Driven**

(Minimum Weight 20%) Weight 60

This critical element must have at least 1 performance requirement (there is no maximum number of requirements, agency should specify if it sets a maximum number).

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable results from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance requirements must contain measurable results and their quality indicators describing the range of performance at Level 3 for each result specified. In addition to the quality indicators, applicable measures of quantity, timelines, and/or cost-effectiveness may be included as appropriate. It is recommended to also establish the threshold quality indicators and measures for Levels 5 and 2. Indicators must reflect the same level of performance as the respective performance standard contained in Part 5.

Strategic Alignment -identify clear, transparent alignment to agency strategic planning initiatives (e.g., relevant agency or organizational goals/objectives with cited page numbers from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document) in the designated section for each performance requirement.

**Note:** Performance requirements must contain results and quality indicators that are clearly and differentially identified (e.g., highlighted, bold, underlined) so that it is readily evident on what the senior executive will be rated and what is expected for success.

		Result #	Performance Requirement	Strategic Alignment
+	-	1.	Provide timely and expert advice to the Under Secretary to inform decision making around implementing strategic direction and policy aligned to the major goals in the Department's Strategic plan and the Under Secretary's priorities.	6.3
+	-	2.	Lead the development and elevation of options and strategies for promoting the Administration's and Department's goals around increased educational attainment, equity and excellence in postsecondary education. Identify specific avenues and examples to successfully promote strong policy and scaling best practices.	4.1 1.3
+	-	3.	Engage with the field by representing the Department in articulating goals and policies to stakeholders, promoting partnerships to advance the equity and attainment agenda and seeking stakeholder input and support.	1.1 1.3 4.1

Rating Official Narrative: (Optional)

Critical Element Rating - Results Driven (b)(6)

Executive's Name (Last, First, MI) Manning, James Appraisal Period From 10/1/2017 To 09/30/18

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**PART 6: SUMMARY RATING NARRATIVE (MANDATORY)**

**Summary Rating Narrative** (max 5,000 characters)

(b)(6)

**PART 7: EXECUTIVE'S ACCOMPLISHMENT NARRATIVE (OPTIONAL)**

**Executive's Accomplishment Narrative (max 5,000 characters)**

(b)(6)

[Redacted area]

**8a. List Executive Development Commitments (max. 2,500 characters).**

[Redacted area]

**Executive's Name** (*Last, First, MI*) Manning, James      **Appraisal Period**    From 10/1/2017    To 09/30/18

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**8b. List Executive Development Accomplishments** (*max. 2,500 characters*).