

SENIOR LEVEL (SL) AND SCIENTIFIC/ PROFESSIONAL (ST) PERFORMANCE MANAGEMENT SYSTEM

I. Purpose

This Directive assigns responsibilities and establishes the Department of Homeland Security (DHS) policy and procedures regarding the DHS Senior-Level (SL) and Scientific/Professional (ST) performance management system, also referred to as the Senior Professional Performance Management System.

II. Scope

- A. This Directive applies throughout DHS.
- B. The DHS SL and ST Performance Management System is applicable to all incumbents and all employees hired under Title 5, Code of Federal Regulations (CFR), Part 319, "Employment in Senior-Level and Scientific and Professional Positions."

III. Authorities

- A. Title 5, United States Code (U.S.C.), Chapter 43, "Performance Appraisal"
- B. Title 5, Code of Federal Regulations (CFR), Part 319, "Employment in Senior-Level and Scientific Professional Positions"
- C. Title 6, U.S.C. Section 341, "Under Secretary for Management"
- D. 5 CFR Part 430, Subpart C, "Managing Senior Executive Performance"
- E. 5 CFR Part 430, Subpart D, "Performance Appraisal Certification for Pay Purposes"

IV. Responsibilities

A. The **DHS Chief Human Capital Officer (CHCO)**:

1. Consistent with Title 5, CFR, develops and issues guidelines for implementation of the SL and ST Performance Management System.
2. Seeks Office of Personnel Management's (OPM) approval of the DHS SL and ST Performance Management System.
3. Monitors and evaluates the system's effectiveness.
4. Ensures that one or more Performance Review Boards are established to cover SL and ST positions, provides oversight to ensure balance, equity and fairness in the evaluation and scoring process under the performance appraisal system and ensures there are meaningful distinctions in relative performance reflected in performance requirements.

B. Heads of DHS Components implement the established DHS SL and ST Performance Management System, and ensure that appropriate training is provided to supervisors, rating officials, and SL and ST personnel on the DHS SL and ST Performance Management System, and on performance management in general, including planning and appraising performance.

V. Policy and Requirements

A. DHS holds its SL and ST personnel accountable for their individual and organizational performance. To accomplish this, DHS has a performance management system—a systematic process by which DHS involves its employees, as individuals and as members of a group, in improving organizational effectiveness in the accomplishment of the DHS mission and goals.

B. In order to promote and sustain a high-performance culture in DHS to help achieve organizational goals, the SL and ST performance management system:

1. Promotes a performance culture in which the performance and contributions of SL and ST personnel are accurately and fully recognized and rewarded.
2. Is transparent and applied in a consistent, equal, nondiscriminatory and non-political manner.

3. Links and assesses individual performance excellence with the results oriented goals of the DHS strategic plan, the Government Performance and Results Act, the President's Management Agenda, and other strategic initiatives.
4. Holds SL and ST personnel (where applicable for those with supervisory responsibilities) accountable for rigorous performance management of their subordinate employees and for aligning their subordinate employees' performance plans to organizational goals.
5. Contains performance appraisal guidelines based on an assessment of the Department's mission accomplishments and external standards, including the Government Performance Review Act and President's Management Agenda to Authorizing Officials, Rating Officials, and Performance Review Boards (as appropriate).
6. Uses performance results as a basis for making proper and meaningful distinctions in performance; and as a basis for determining pay, awards, development, retention, removal, and other performance - related personnel decisions which may apply to senior professionals.
7. Ensures that SL and ST personnel who demonstrate the highest level of performance, make the greatest contributions to organizational performance, or exemplify superior leadership and results generally receive the highest rates of basic pay or pay adjustments.
8. Appraises performance of SL and ST personnel using measures that balance organizational results with customer, employee, and other perspectives.

VI. Questions

Address any questions or concerns regarding this Directive to the Office of the Chief Human Capital Officer.



Rafael Borrás
Under Secretary for Management

12/29/11

Date