



OFFICE OF THE UNDER SECRETARY OF DEFENSE

4000 DEFENSE PENTAGON
WASHINGTON, DC 20301-4000

MAR 25 2010

PERSONNEL AND
READINESS

MEMORANDUM FOR SECRETARIES OF THE MILITARY DEPARTMENTS
CHAIRMAN OF THE JOINT CHIEFS OF STAFF
UNDER SECRETARIES OF DEFENSE
ASSISTANT SECRETARIES OF DEFENSE
GENERAL COUNSEL OF THE DEPARTMENT OF
DEFENSE
DIRECTOR, OPERATIONAL TEST AND EVALUATION
INSPECTOR GENERAL OF THE DEPARTMENT OF
DEFENSE
ASSISTANTS TO THE SECRETARY OF DEFENSE
DIRECTOR, PROGRAM ANALYSIS AND EVALUATION
DIRECTOR, NET ASSESSMENT
DIRECTOR, FORCE TRANSFORMATION
DIRECTORS OF THE DEFENSE AGENCIES
DIRECTORS OF THE DOD FIELD ACTIVITIES

Subject: Fiscal Year 2010 Executive and Senior Professional Performance Plans

The Department would like to remind executives and rating officials of its performance management requirements for FY 2010. Every Senior Executive and Senior Professional is required to have a new performance plan in place beginning October 1, 2009, or for at least 90 days before the end of the performance rating cycle, September 30, 2010.

The annual performance plan is a key component of the performance management process, and performance plans that incorporate the requirements established by U.S. Office of Personnel Management (OPM) are a critical factor in maintaining our program's OPM certification. It is expected that senior executive and senior professional performance plans include goals strongly linked to the agency mission, as identified in the strategic and annual performance plans. Senior employee goals must be results-focused or outcome-oriented. Attachment 1 provides guidance on developing the required elements of senior employee performance plans. Tips for writing goals that are aligned and outcome based are located in Attachment 2. Attachment 3 provides a summary recap of important information regarding the Performance Management cycle, as well as the Derivation Forms that should accompany each performance plan.



The Department would also like to take this opportunity to inform executives and rating officials that we will be seeking recertification of our performance appraisal system for senior executives from OPM this year. You may refer to Subchapter 920, "Executive and Senior Professional Pay and Performance System," which will be followed for the FY 2010-2011 performance management cycle. It can be found at the following link: <http://www.cpms.osd.mil/sespm/2008DoDPolicyarchives.aspx>. In addition, on February 4, 2010, OPM issued revised guidance for the Certification of Performance Appraisal Systems for Senior Employees, which can be found at the following link: http://www.cpms.osd.mil/sespm/opm_policy.aspx.

A separate memo is forthcoming regarding the recertification of the Department's Executive Pay and Performance Management System for Calendar Years 2011 and 2012. During the recertification process, OPM and the Office of Management and Budget (OMB) will be reviewing our system to ensure senior employee plans are strongly linked to the agency's mission, and employee goals are results and outcome oriented. In addition, OPM and OMB will be assessing our system to ensure our performance ratings make meaningful distinctions in performance outcomes, as evidenced by differentiations in pay and awards, and are clearly linked to senior employees' documented performance. We will be expected to demonstrate linkage between our senior employees' goals and overall organizational outcomes, and show a high level attainment of, or substantial progress toward, a few ambitious outcome-linked performance targets, and steady progress on other key performance indicators.

I encourage you to visit the SES webpage at <http://www.cpms.osd.mil/sespm>, which has posted resources and additional guidance for a meaningful performance appraisal process. For any questions, please contact Ms. Erin Moore at (703) 696-1720 or erin.moore@cpms.osd.mil.



Marilee Fitzgerald
Acting Deputy Under Secretary of Defense
(Civilian Personnel Policy)

Attachments:
As stated

Fiscal Year 2010 Executive and Senior Professional Performance Guidance

Executive and Senior Professional Performance Plans

A new appraisal period will begin October 1, 2009 through September 30, 2010. As a reminder, performance plans must:

- Involve employee input;
- Show clear linkage to agency/organization annual strategic plans;
- Describe the executive's work and the performance level required to achieve expectations;
- Reflect result-oriented performance standards that are observable, measurable, and/or demonstrable;
- Incorporate appropriate and balanced measures that provide for employee and/or customer/stakeholder feedback;
- Include a quality measure and other measures such as quantity, timeliness, and cost effectiveness;
- Include a requirement holding senior employees accountable for rigorous performance management and for aligning their subordinate employees' performance plans to organizational goals; and
- Be communicated to the executive on or before the beginning of the appraisal period, during the appraisal period, and following the final rating.

Performance Elements and Performance Requirements

These two important terms are used to describe and organize expected results in the annual performance plan. Each is described separately below. However, simply stated, a Performance Element is a major job category of responsibility, such as leadership/supervision. A Performance Requirement is a results-driven job expectation or outcome. Failure to meet the Performance Requirements for each Performance Element will result in an unsatisfactory performance appraisal.

Performance Elements

There are seven standard Performance Elements (categories of responsibilities). They are (1) Leadership/Supervision, (2) Contribution to Mission Accomplishment, (3) Resource Management, (4) Communication, (5) Cooperation/Teamwork, (6) Customer Care, and (7) Technical Competence/Problem Solving. The regulation provides a benchmark description for each of these Performance Elements to help describe characteristics of successful executives. Three of the Performance Elements are

mandatory for each executive and are different for SES and Senior Professionals (SLs and STs).

For SES, the three **mandatory** Performance Elements are:

- Leadership/Supervision
- Mission Accomplishment
- Customer Care

For SLs and STs, the three **mandatory** Performance Elements are:

- Technical Competence
- Mission Accomplishment
- Customer Care

Each of these three Performance Elements must be weighted, with Mission Accomplishment having a weight of 60 percent or higher. (Collectively, all elements must total 100%) For each Performance Element, there must be one or more (generally not more than four) results and mission-focused outcomes (Performance Requirements) an executive must accomplish.

Example:

| Performance Element | Performance Requirement |
|-------------------------------|--|
| Mission Accomplishment 60% | Eliminate redundancies and cost in human resources management NLT June 30, 2010 by implementing a single DoD web-based resources data system on-time and within budget. Garner Component cooperation, support, and satisfaction with the implementation as evidenced by a score of 3 or higher on the Project Evaluation Survey (Goal 1.1). |
| Leadership/Supervision 25% | Demonstrate progress in helping build a diverse workforce NLT June 30, 2010 by developing and obtaining Department support for recommendations to improve the diversity and "jointness" of the SES and adopting metrics to gauge progress and target improvements. Results demonstrate effective and ethical leadership, effective interactions with customers, and respectful and conscientious actions (Goal 2). |
| Customer Care 15% | Ensure a free flow of information and communication with customers (up, down, across and within the organization) encouraging the open expression of ideas and seeks opinions, responding appropriately Seek input from audience; check understanding; present message in different ways to enhance understanding (Goal 2.3). |

Performance Requirements

Performance Requirements specify what is expected of an executive at the “achieved expectations” performance level. The focus of an executive's performance plan is on Performance Requirements – well written, unambiguous mission-focused, measurable job expectations. They are not "task listings." Rather, they are the "big rocks" that must be performed during the performance period. All Performance Requirements must be written in SMART-Q language (i.e., Specific, Measurable, Aligned, Realistic, Timely – and contain a Quality measure). SMART-Q is a common framework for developing performance requirements (see Attachment 3). Further, it is mandatory at least one Performance Requirement incorporate appropriate and balanced measures that provide for employee and/or customer/stakeholder feedback.

Each requirement should demonstrate the complexity and scope of the work, be attainable, and yet represent challenge and stretch. Performance requirements outlined at the beginning of the performance cycle will be the basis for determining accomplishments and recognition. Each performance element should have at least one to four "smartly" written performance requirements for each of the three mandatory elements describing major responsibilities and level of performance (achieved results) associated with the individual. The Performance Requirement specifies outcomes and level of performance required to achieve expectations.

A Performance Requirement may specify behaviors required for results, as in the example above. The Performance Requirement takes significant, strategic organizational objectives and turns them into concrete, specific, and actionable expectations. A Performance Requirement may share "characteristics" from other Performance Elements (e.g., communication and customer care) to help specify the outcomes of a particular Performance Element. Executives concerned with redundancy and the length of performance plans may want to explore this approach. While there are times when the expectation is expressed as a behavior rather than as a measurable result, the preponderance of the Performance Requirements must be expressed as results-driven outcomes. That is, at least 60 percent of the executive's Performance Requirements must be results oriented and describe performance meeting SMART-Q performance framework.

For supervisory positions, there are two mandatory performance requirements as part of the leadership/supervision element. There must be a requirement stating employee performance plans were aligned with organizational goals and appraised realistically against clear, measurable standards of performance and another achieving equal employment opportunity and affirmative action results.

Feedback

Feedback to an executive during the performance rating period contributes to individual and organizational performance. Ongoing feedback is highly recommended, but at least one documented progress review must be held between a rating official and an executive during the rating period, typically at the mid-point of the performance period; however, feedback sessions can be conducted more frequently if needed. Feedback sessions help clarify expectations and gauge progress, diagnose strengths and weaknesses, reset requirements necessitated by a significant organizational change, and or determine professional development needs.

Training

Writing Performance Requirements. The Office of the Secretary of Defense (OSD) and each DoD Component is responsible for providing training periodically to authorizing officials, rating officials and performance review boards. ALL SES and Senior Professionals must receive training for writing SMART-Q Performance Requirements. One option is to go to the following website (<http://www.cpms.osd.mil/sespm/toolkit.aspx>) for a presentation and a SMART-Q instructional script. The website also includes other valuable performance management resources.

Performance Payout Methodology. Each SES and Senior Professional is to receive a copy of the formula used to determine performance management payouts and to understand the methodology behind calculating payouts at the beginning of the performance cycle. The Derivation Formula coversheet has been developed for this purpose and should be signed by the executive when their plan is created. (Attachment 4) This form is to be attached to each SES and Senior Professional performance plan.

"SMART-Q" Tips

Performance Requirements should be written using the SMART-Q framework. SMART-Q is an acronym that describes the six characteristics of a well-written performance requirement which are:

| SMART-Q Performance Requirements | |
|---|--|
| Acronym | Spelled out – provide a description |
| Specific | Precise and stated in performance terms of result to be achieved |
| Measurable | Easy to determine if the result has been met |
| Aligned | Aligned to organizational strategic goals and priorities |
| Realistic* | High, but is attainable |
| Timely | Establish a specific time frame for completion within the performance period |
| Quality | Addresses how well the executive or work unit performed the work and/or the accuracy or effectiveness of the final product and who will judge the quality. (Quality measures can include error rates and customer satisfaction rates.) |

Below are helpful tips and examples of well-written performance requirements for developing a smartly-written performance plan:

Performance Elements:

- ✓ Link and cascade individual performance with organizational goals
- ✓ Include those standard performance elements, including three mandatory elements, essential to the job
- ✓ Include performance requirement on achieving equal employment opportunity and affirmative action results
- ✓ Develop and include any additional performance elements (optional)
- ✓ Determine what to measure (the measure is the performance yardstick)

Performance Requirements:

- ✓ Develop SMART-Q result-oriented performance requirements that align with organization strategic plans or other guidance documents
- ✓ Identify objectives to reach the goal (result)
- ✓ Write no more than 3 or 4 performance requirements for each performance element
- ✓ Choose the type of measure (e.g., quality, quantity, cost)
- ✓ Start with an Action Verb (e.g., increase, complete, conduct, attain, achieve)

Examples of Well-Written Performance Requirements:

- ✓ Successfully defend Missile Defense Agency budget. Submit a balanced defensible out year budget with a goal of receiving consistent support from Congress by FY10.
- ✓ Protect and defend our Naval critical infrastructures, networks, and information to maximize mission assurance:
 - Implement digital signatures and strong authentication across the Department by September 30, 2010.
 - Deliver a means for Naval installations to self-assess Department of Navy (DON) Critical Infrastructure by September 30, 2010.
 - Complete Federal Information Security Management Act certification and accreditation for all systems by September 30, 2010.
- ✓ Implement the e-Business Marine Corps Contract Management Process System in at least two of the major Regional Contracting Offices by September 30, 2010.
- ✓ Facilitate Army transformation and readiness through the development and sustainment of programs and policies to "Man the Force" with the required numbers, mix, and quality soldiers and civilians:
 - 90% of overall retention goals achieved
 - Reduce the current civilian time-to-fill (days)
 - Reduce time-to-fill SES position vacancies
 - 90% of recruiter positions filled
 - 90% officer accessions achieved
 - 90% of recruiting quality goals met
- ✓ Implement a collaborative multi-Service weapon system safety review process in support of DoD Special Forces with a goal to shorten the review time of each weapon system by 8% by the end of FY10.
- ✓ Deliver civilian contingency contracting officer capability to AF and Joint warfighter. Develop and implement deployment plan for deliberate and measured deployment of civilians. Plan in place and civilians identified for deployment by September 30, 2010.

RECAP

Performance Plans

1. 3 Mandatory Performance Elements
 - SES: Leadership/Supervision, Mission Accomplishment, Customer Care
 - STs/SLs: Technical Competence, Mission Accomplishment, Customer Care
2. All Elements must be weighted – Mission Accomplishment must have a weight of 60% or more, total to 100 percent
3. Names, dates and signatures in Section B1 must be signed by both the Rating Official and the Senior Leader
4. Derivation Formulas must be signed by both the Rating Official and the Senior Leader
5. For alignment, it is imperative to show specific goals after *each* Performance Standard (e.g. Agency Goal #4) in the Performance Element “Contribution to Mission Accomplishment”
 - While the focus is on the “Mission Accomplishment” Element, it is extremely desirable to link as many Performance Standards as possible to specific strategic goals in the other Performance Elements
6. In the required Performance Element for supervisors, Leadership/Supervision,” please ensure the following statements (or a close variation) are included:
 - **Accountability:** Subordinate employee Performance Plans are aligned with organizational goals, appraised rigorously (or realistically) against clear, measurable standards of performance

-AND-

 - **Balance - Employee:** Proactively seeks and listens to employees and objectively considers other’s ideas and opinions, even when they conflict with one’s own

-OR-

- **Balance - Employee:** A statement that addresses two-way communication between the executive and employee; active solicitation of employee feedback; use of employee feedback to inform decisions
7. In the Performance Element “Customer Care,” please ensure the following statement (or a close variation) is included:
- **Balance - Customer:** Ensures a free flow of information and communication with customers (up, down, across and within the organization) encouraging the open expression of ideas and seeks opinions, responding appropriately Seek input from audience; checks understanding; presents message in different ways to enhance understanding
- OR-**
- **Balance - Customer:** A statement that addresses two-way communication between the executive and customer; active solicitation
8. Typically, 1-4 SMART-Q Performance Requirements – Each Performance Requirement must meet SMART-Q framework

Payout Methodology

1. Recognizes a common tier structure to make meaningful distinctions in executive and senior professional position and compensation management.
2. New requirement to provide proof of training regarding writing performance requirements and understanding the formula and methodology used for performance payouts.

Payout Decision Flexibilities

1. Prorate when less than a full year under the system
2. Adjustment to total payout (basic pay and or bonus) based upon documented reasons. Provided some considerations:
 - Recognize team accomplishment (upward increase)
 - Extraordinary accomplishment beyond what the formula calculated (upward increase to either basic pay or bonus)
 - Recent significant in-hire basic pay increase (e.g. last 12-15 months) (downward)
 - Must be documented and approved by the authorizing official.
3. Each tier has its own pay pool value, with the lowest pay pool value at Tier 1 and the greatest pay pool value at Tier 3.

4. A sample of a potential payout split between pay increases and bonus during is as follow:

| | | |
|---|-------------------------------|-----------|
| Level 5 | Exceptional Results | PAEP +3% |
| Level 4 | Exceeded Expectations | PAEP +1% |
| Level 3 | Achieved Expectations | PAEP only |
| Level 2 and below | Not eligible for pay increase | |
| Executives with < 1 year of service | | PAEP only |
| Authorizing Official maintains discretion to make adjustments for meritorious and documented reasons (Reviewed by USD(P&R) for annual performance validation. | | |

SENIOR EXECUTIVE SERVICE (SES) PERFORMANCE PLAN COVERSHEET

There are seven standard Performance Elements that may be used to evaluate a member of the Senior Executive Service (SES). They are: (1) Leadership and Supervision; (2) Contribution to Mission Accomplishment; (3) Resource Management; (4) Communication; (5) Operation/Teamwork; (6) Customer Care; and (7) Technical Competence/Problem Solving.

Of these seven, three are **mandatory Performance Elements for all Senior Executives**. They are: **Contribution to Mission Accomplishment, Leadership/Supervision, and Customer Care**.

The remaining Performance Elements may be used as stand alone Elements or embedded into one or all of the mandatory Elements. All Performance Elements included in the Performance Plan are considered to be critical. Each Performance Element will have at least one written Performance Requirement describing measurable results expected to be achieved during the performance appraisal period. The Performance Requirement(s) describe the "what is expected" and "how it is to be accomplished" for each Performance Element.

Contribution to Mission Accomplishment must be weighted at least 60%. The sum of the weights for all Performance Elements used will equal 100%.

The Rating Official will score each Performance Element & Performance Requirement individually using a 100-point scale. The overall Performance Score is determined by multiplying each Element's numeric score by the assigned weight, then totaling all Elements as illustrated in the table below. The maximum Performance Score is 100 points.

The following example illustrates a Performance Plan with four mandatory Elements. Element #1 features two Performance Requirements which are scored individually, added together, and divided by the number of requirements to arrive at the raw score for the Element. Note: The Leadership/Supervision Element has two mandatory Performance Requirements not included in this example.

Notional scores, discretionary percentage weights, and the resulting total points (scores) are highlighted in yellow.

| Example Summary Rating Derivation Table | | | | | | |
|---|-------|---|--------|-------|---|--------------------------|
| Performance Elements | Score | | Weight | Total | Performance Score Point Range (0-100), Rating (1-5) and Rating Descriptor | |
| #1 Mission Accomplishments | 86 | x | 60% | 51.6 | 95 – 100 (5) | Exceptional Results |
| #1.a. Directs Operations, Strategic.... | ▲ | | | | 86 – 94 (4) | Exceeds Expected Results |
| #1.b. Develops Joint Training and.... | | | | | 70 – 85 (3) | Achieved Expectations |
| 1.a. (88) + 1.b. (84) = 172/2 = 86 | — | | | | 51 – 69 (2) | Minimally Satisfactory |
| #2 Leadership/Supervision | 83 | x | 15% | 12.45 | 0 – 50 (1) | Unsatisfactory |
| #3 Customer Care | 84 | x | 15% | 12.6 | | |
| #4 Resource Management | 86 | x | 10% | 8.6 | | |
| Total Weight: | | | 100% | | | |
| Total Performance Score (range 0-100): | | | | 85.25 | | |
| Summary Rating | | | | | | |
| <input type="checkbox"/> Unsatisfactory <input type="checkbox"/> Minimally Satisfactory <input checked="" type="checkbox"/> Achieved Expectations <input type="checkbox"/> Exceeds Expected Results <input type="checkbox"/> Exceptional Results | | | | | | |

| Performance Rating Level | Score | Performance Payout Shares |
|--------------------------|----------|---------------------------------|
| Exceptional Results | 95 – 100 | 11, 12, 13, 14, 15 or 16 Shares |
| Exceeds Expected Results | 86 – 94 | 7, 8, 9 or 10 Shares |
| Achieved Expectations | 70 – 85 | 1, 2, 3, 4, 5 or 6 Shares |
| Minimally Satisfactory | 51 – 69 | 0 Shares |
| Unsatisfactory | 0 – 50 | 0 Shares |

The signatures below acknowledge the Rater has explained the methodology (derivation formula) by which the tentative Performance Appraisal Score and Summary Rating will be determined, the coinciding range of Performance Payout Shares possible, and that the Ratee understands the methodology used and has received a copy of this explanation.

Ratee Signature

Date

Rater Signature

Date

SENIOR PROFESSIONAL (SL - SENIOR LEVEL) PERFORMANCE PLAN COVERSHEET

There are seven standard Performance Elements that may be used to evaluate a Senior Level Professional (SL). They are: (1) Leadership/Supervision; (2) Contribution to Mission Accomplishment; (3) Resource Management; (4) Communication; (5) Operation/Teamwork; (6) Customer Care; and (7) Technical Competence/Problem Solving.

Of these seven, three are **mandatory Performance Elements for all Senior Level Professionals**. They are: **Contribution to Mission Accomplishment, Technical Competence/Problem Solving, and Customer Care**. A fourth, **Leadership/Supervision**, is also mandatory for senior professionals with supervisory responsibilities.

The remaining Performance Elements may be used as stand alone Elements or embedded into one or all of the mandatory Elements. All Performance Elements included in the Performance Plan are considered to be critical. Each Performance Element will have at least one written Performance Requirement describing measurable results expected to be achieved during the performance appraisal period. The Performance Requirement(s) describe the "what is expected" and "how it is to be accomplished" for each Performance Element.

Contribution to Mission Accomplishment must be weighted at least 60%. The sum of the weights for all Performance Elements used will equal 100%.

The Rating Official will score each Performance Element & Performance Requirement individually using a 100-point scale. The overall Performance Score is determined by multiplying each Element's numeric score by the assigned weight, then totaling all Elements as illustrated in the table below. The maximum Performance Score is 100 points.

The following example illustrates a Performance Plan with four mandatory Elements. Element #1 features two Performance Requirements which are scored individually, added together, and divided by the number of requirements to arrive at the raw score for the Element. Note: The Leadership/Supervision Element has two mandatory Performance Requirements not included in this example.

Notional scores, discretionary percentage weights, and the resulting total points (scores) are highlighted in yellow.

| Example Summary Rating Derivation Table | | | | | | |
|---|-------|---|--------|-------|---|------------------------------|
| Performance Elements | Score | | Weight | Total | Performance Score Point Range (0-100), Rating (1-5) and Rating Descriptor | |
| #1 Mission Accomplishments | 86 | x | 60% | 51.6 | 95 – 100 (5) | Exceptional Results |
| #1.a. Directs Technical, Financial.... | ↑ | | | | 86 – 94 (4) | Exceeds Expected Results |
| #1.b. Develops Joint Training and.... | | | | | 70 – 85 (3) | Achieved Expectations |
| 1.a. (88) + 1.b. (84) = 172/2 = 86 | | | | | 51 – 69 (2) | Minimally Satisfactory |
| #2 Leadership/Supervision | 83 | x | 15% | 12.45 | 0 – 50 (1) | Unacceptable |
| #3 Technical Comp/Problem Solving | 84 | x | 15% | 12.6 | | |
| #4 Customer Care | 86 | x | 10% | 8.6 | | |
| Total Weight: | | | 100% | | | |
| Total Performance Score (range 0-100): | | | | 85.25 | | |
| Summary Rating | | | | | | |
| <input type="checkbox"/> Unacceptable <input type="checkbox"/> Minimally Satisfactory <input checked="" type="checkbox"/> Achieved Expectations <input type="checkbox"/> Exceeds Expected Results <input type="checkbox"/> Exceptional Results | | | | | | |

| Performance Rating Level | Score | Performance Payout Shares |
|--------------------------|----------|---------------------------------|
| Exceptional Results | 95 – 100 | 11, 12, 13, 14, 15 or 16 Shares |
| Exceeds Expected Results | 86 – 94 | 7, 8, 9 or 10 Shares |
| Achieved Expectations | 70 – 85 | 1, 2, 3, 4, 5 or 6 Shares |
| Minimally Satisfactory | 51 – 69 | 0 Shares |
| Unsatisfactory | 0 – 50 | 0 Shares |

The signatures below acknowledge the Rater has explained the methodology (derivation formula) by which the tentative Performance Appraisal Score and Summary Rating will be determined, the coinciding range of Performance Payout Shares possible, and that the Ratee understands the methodology used and has received a copy of this explanation.

Ratee Signature

Date

Rater Signature

Date

SENIOR PROFESSIONAL (ST – SCIENTIFIC) PERFORMANCE PLAN COVERSHEET

There are seven standard Performance Elements that may be used to evaluate a Senior Scientific Professional (ST). They are: (1) Leadership; (2) Contribution to Mission Accomplishment; (3) Resource Management; (4) Communication; (5) Operation/Teamwork; (6) Customer Care; and (7) Technical Competence/Problem Solving.

Of these seven, three are **mandatory Performance Elements for all Senior Scientific Professionals**. They are: **Contribution to Mission Accomplishment, Technical Competence/Problem Solving, and Customer Care.**

The remaining Performance Elements may be used as stand alone Elements or embedded into one or all of the mandatory Elements. All Performance Elements included in the Performance Plan are considered to be critical. Each Performance Element will have at least one written Performance Requirement describing measurable results expected to be achieved during the performance appraisal period. The Performance Requirement(s) describe the “what is expected” and “how it is to be accomplished” for each Performance Element.

Contribution to Mission Accomplishment must be weighted at least 60%. The sum of the weights for all Performance Elements used will equal 100%.

The Rating Official will score each Performance Element & Performance Requirement individually using a 100-point scale. The overall Performance Score is determined by multiplying each Element’s numeric score by the assigned weight, then totaling all Elements as illustrated in the table below. The maximum Performance Score is 100 points.

The following example illustrates a Performance Plan with three mandatory Elements. Element #1 features two Performance Requirements which are scored individually, added together, and divided by the number of requirements to arrive at the raw score for the Element. Note: The Leadership and Supervision Element has two mandatory Performance Requirements not included in this example.

Notional scores, discretionary percentage weights, and the resulting total points (scores) are highlighted in yellow.

| Example Summary Rating Derivation Table | | | | | | |
|---|-------|---|--------|-------|---|--------------------------|
| Performance Elements | Score | | Weight | Total | Performance Score Point Range (0-100), Rating (1-5) and Rating Descriptor | |
| #1 Mission Accomplishments | 86 | x | 60% | 51.6 | 95 – 100 (5) | Exceptional Results |
| #1.a. Directs Technical, Financial... | ↑ | | | | 86 – 94 (4) | Exceeds Expected Results |
| #1.b. Develops Joint Training and... | | | | | 70 – 85 (3) | Achieved Expectations |
| 1.a. (88) + 1.b. (84) = 172/2 = 86 | ↓ | | | | 51 – 69 (2) | Minimally Satisfactory |
| #2 Tech Comp/Problem Solving | 83 | x | 20% | 16.6 | 0 – 50 (1) | Unacceptable |
| #3 Customer Care | 84 | x | 20% | 16.8 | | |
| Total Weight: | | | 100% | | | |
| Total Performance Score (range 0-100): | | | | 85 | | |
| Summary Rating | | | | | | |
| <input type="checkbox"/> Unacceptable <input type="checkbox"/> Minimally Satisfactory <input checked="" type="checkbox"/> Achieved Expectations <input type="checkbox"/> Exceeds Expected Results <input type="checkbox"/> Exceptional Results | | | | | | |

| Performance Rating Level | Score | Performance Payout Shares |
|--------------------------|----------|---------------------------------|
| Exceptional Results | 95 – 100 | 11, 12, 13, 14, 15 or 16 Shares |
| Exceeds Expected Results | 86 – 94 | 7, 8, 9 or 10 Shares |
| Achieved Expectations | 70 – 85 | 1, 2, 3, 4, 5 or 6 Shares |
| Minimally Satisfactory | 51 – 69 | 0 Shares |
| Unsatisfactory | 0 – 50 | 0 Shares |

The signatures below acknowledge the Rater has explained the methodology (derivation formula) by which the tentative Performance Appraisal Score and Summary Rating will be determined, the coinciding range of Performance Payout Shares possible, and that the Ratee understands the methodology used and has received a copy of this explanation.

_____ Ratee Signature

_____ Date

_____ Rater Signature

_____ Date