

DLA SENIOR EXECUTIVE SERVICE (SES) PERFORMANCE PLANNING AND EVALUATION

ADMINISTRATIVE INSTRUCTIONS

REFERENCES:

Title 5, Code of Federal Regulations (5 CFR); DoD 1402.3-H; DLA regulations, directives, instructions as appropriate.

PART A - IDENTIFICATION AND ADMINISTRATIVE DATA (Page 1, Blocks 1 through 7)

Pertinent information about the SES member being evaluated.

PART B:

SECTION I - CRITICAL ELEMENTS AND PERFORMANCE STANDARDS (Page 2 - 3)

This section encompasses a common set of Executive Critical Elements (ECEs) against which all DLA executives are rated, and Functional Critical Elements (FCEs) developed individually for each SES member. ECEs address the executive competencies, are corporately developed, and may not be altered.

FCEs are collaboratively developed by each executive and his or her rating official. These elements must be aligned with current business objectives, and may change with each rating cycle. FCEs must be supported by performance standards that state what is expected at the FULLY SUCCESSFUL performance level. Standards of FCEs should be as specific as possible so that expectations are clear, and should be outcome-oriented. No more than three(3) FCEs may be in place for each executive for the rating period.

SECTION I - RATING OF ELEMENTS (Page 2 - 3)

Following the end of the performance cycle (July 1 - June 30), the rating official will assign an initial rating for each element at one of three levels: Fully Successful (F); Minimally Satisfactory (M); or Unsuccessful (U). The rating will be based on the accomplishments of the executive against the established critical elements. Rating levels are defined as follows:

(F) Fully Successful: Consistently meets or exceeds the level of performance described in all of the supporting standards.

(M) Minimally Satisfactory: Performance for this element needs improvement to achieve the fully successful level described in all of the supporting standards. This may be evidenced by the need for closer supervision, frequent counseling, increased review of work products, etc.

(U) Unsuccessful: Fails to achieve even a minimally satisfactory level of performance in most or all of the standards established for this element.

SECTION II - EXECUTIVE/SUPERVISORY ACKNOWLEDGMENT OF ELEMENTS/STANDARDS (Page 1, Blocks 8a through 9b):

Critical elements and performance standards documented in **Part B - Section I** of this form must be reviewed by the executive and his/her rating official as soon as possible following the start of the performance cycle (July 1st), but no later than the mid-year review. The signatures in **Section II** acknowledge a mutual understanding of the critical elements and performance standards.

SECTION III - DOCUMENTATION OF THE MID-YEAR PERFORMANCE REVIEW (Page 4)

As specified in 5 C.F.R. 430.305, a progress review shall be conducted for each executive at least once during the appraisal period. For DLA Executives, this review will be conducted mid-way through the appraisal period (July 1 - June 30) during the month of January. Outcome of the review, to include resultant changes to the FCEs and identification of performance deficiencies and/or development needs, will be documented on Page 4 of this form. Both the executive and rating official will sign and date as indicated.

PART C:

SECTION I - ACCOMPLISHMENTS (Page 5 - 7)

In one paragraph for each critical element, the rating official will provide a synopsis of the executive's accomplishments relative to the performance standards for that element. Documentation of accomplishments for SES members receiving an initial rating of Fully Successful (F) is **limited to three pages**.

THERE IS NO PAGE LIMITATION FOR INITIAL RATINGS OF LESS THAN FULLY SUCCESSFUL.

SECTION II - RECOMMENDATION FOR PERFORMANCE AWARD (BONUS) OR PAY LEVEL ADJUSTMENT (Page 8 - 9)

If the SES member is recommended for a performance award (bonus) or pay level adjustment, the rating official must provide supporting narrative in this section. The narrative must distinguish between accomplishments worthy of recognition by performance award or pay level adjustment, and those expected for fully successful job performance. The narrative should highlight significant accomplishments pertaining to the functional and leadership aspects of the executive's position, and demonstrate clearly the basis for recognition. The recommendation for performance award or pay level adjustment is limited to **two pages**.

SECTION III - INITIAL ANNUAL RATING AND RECOMMENDATION FOR PERFORMANCE AWARD OR PAY LEVEL ADJUSTMENT (Page 1, Blocks 10a through 12c)

Initial rating and recommendation for performance award or pay level adjustment. The rating official should confer with the reviewing official prior to completion of this portion of the form. Should the reviewing official not concur with the initial rating and/or recommendation for performance award or pay level adjustment, he/she will annotate and initial desired changes adjacent to blocks 10a, 10b, and/or 10c.

PART D - SES MEMBER ACKNOWLEDGMENT OF EVALUATION (Page 1, Blocks 13a through 13c)

Signature acknowledges that the rating official has discussed and provided the SES member with a copy of the initial evaluation. Signature does not constitute agreement or disagreement with the evaluation. **In the event of a less than Fully Successful (F) initial rating, the SES member has the option to provide a written response to a higher level reviewing official within 7 calendar days of receipt of the initial rating.** Should the executive desire to do so, he/she must put an X in block 13c.

If block 13c is checked, the rating official should immediately contact the DLA SES program manager for further guidance.

PART E - PERFORMANCE REVIEW BOARD (PRB) RECOMMENDATION(S) (Page 1, Blocks 14a through 14b)

Indicates that the evaluation has been reviewed by the DLA PRB and that a written recommendation concerning each senior executive's rating of record has been made to the Director, DLA, as required by 5 CFR 430.307.

PART F - FINAL RATING AND APPROVALS FOR PERFORMANCE AWARD OR PAY LEVEL ADJUSTMENT (Page 1, Blocks 15a through 15e)

The final rating and approval(s) for performance award or pay level adjustment as determined by the Deciding Official (Director, DLA or his/her designee). The Deciding Official signs and dates as indicated.

DLA SENIOR EXECUTIVE SERVICE (SES) PERFORMANCE PLANNING AND EVALUATION

PART A - IDENTIFICATION AND ADMINISTRATIVE DATA

1. NAME OF MEMBER <i>(Last, First, Middle Initial)</i>		2. POSITION TITLE		3. ORGANIZATION	
4. PAY LEVEL	5. RATING PERIOD <i>(MM/DD/YYYY)</i>		6. APPRAISAL TYPE <i>(X one)</i>		7. SES APPOINTMENT TYPE <i>(X one)</i>
	a. FROM	b. TO			
			<input type="checkbox"/>	<input type="checkbox"/>	
			<input type="checkbox"/>	<input type="checkbox"/>	

PART B - SECTION II - CRITICAL ELEMENTS AND PERFORMANCE STANDARDS

8.a. SIGNATURE OF SES MEMBER	b. DATE
9.a. SIGNATURE OF RATING OFFICIAL	b. DATE

PART C - SECTION III - INITIAL RATING AND RECOMMENDATION FOR PERFORMANCE AWARD/PAY LEVEL ADJUSTMENT

<input type="checkbox"/> 10a. RATING <i>(Enter appropriate code)</i>	11a. TYPED NAME <i>(Last, First, Middle Initial)</i>	11c. DATE
	11b. SIGNATURE OF RATING OFFICIAL	
<input type="checkbox"/> 10b. PERFORMANCE AWARD <i>(X if Recommended)</i>	12a. TYPED NAME <i>(Last, First, Middle Initial)</i>	12c. DATE
	12b. SIGNATURE OF REVIEWING OFFICIAL	
<input type="checkbox"/> 10c. PAY LEVEL ADJUSTMENT <i>(X if Recommended)</i>		

PART D - SES MEMBER ACKNOWLEDGEMENT OF EVALUATION

13.a. SIGNATURE OF SES MEMBER	13b. DATE
13c. I WILL PROVIDE WRITTEN RESPONSE FOR REVIEW BY A HIGHER OFFICIAL WITHIN 7 DAYS OF INITIAL RATING. <i>(X if applicable)</i>	

PART E - PERFORMANCE REVIEW BOARD (PRB) RECOMMENDATIONS

14a. RATING <i>(Enter appropriate code)</i>		14b. PERFORMANCE AWARD <i>(X if recommended)</i>
<input type="checkbox"/> F - Fully Successful <input type="checkbox"/> M - Minimally Satisfactory <input type="checkbox"/> U - Unsatisfactory		14c. PAY LEVEL ADJUST <i>(X if recommended)</i>

PART F - FINAL RATING AND APPROVALS

15a. RATING <i>(Enter appropriate code)</i>	15b. PERFORMANCE AWARD APPROVED
<input type="checkbox"/> F - Fully Successful <input type="checkbox"/> M - Minimally Satisfactory <input type="checkbox"/> U - Unsatisfactory	15c. PAY LEVEL ADJUSTMENT APPROVED
	15d. SIGNATURE OF DECIDING OFFICIAL
	e. DATE

DLA SENIOR EXECUTIVE SERVICE (SES) PERFORMANCE PLANNING AND EVALUATION

PART B - SECTION I - CRITICAL ELEMENTS AND INITIAL RATING

All senior executives will be rated against the mandatory Executive Critical Elements (ECEs). In addition, each senior executive will be rated against a maximum of three (3) Functional Critical Elements (FCEs) aligned with yearly organizational goals and objectives.

Performance standards shown for each ECE describes performance at the FULLY SUCCESSFUL level. FCEs must also be supported by performance standards described at the FULLY SUCCESSFUL level. Standards should delineate the performance expectations in an outcome-oriented manner.

Following assessment of the executive's accomplishments, the rating official will enter a rating for each critical element using the following scale: (F) FULLY SUCCESSFUL; (M) MINIMALLY SATISFACTORY; OR (U) UNSATISFACTORY.

1. RESPONSIBILITY/ACCOUNTABILITY

Promotes accountability and continuous improvement. Makes timely and effective decisions and produces results through strategic planning, implementation, and evaluation of programs and policies. Sets program standards, holding self and others accountable. Acts decisively to modify standards and promote quality programs, policies, and customer service. Acquires and administers human, financial, material, and information resources in a manner which instills public trust and accomplishes the mission of the organization. Takes responsibility for personal errors, takes or proposes timely/adequate corrective measures. Establishes organizational and personal performance objectives that are challenging and reflect mission needs.

ELEMENT RATING
(Enter F, M, or U)

2. ORGANIZATIONAL MANAGEMENT AND LEADERSHIP

Provides vision and communicates mission and organizational goals to all subordinates. Sets standards and leads by example. Inspires, motivates, and guides others toward goal accomplishment; empowers others by sharing power, authority, and accountability. Secures/allocates/manages human, financial, material, and information resources for effectiveness and efficiency. Maximizes employee potential through effective use of the performance management system. Develops subordinates through mentoring, counseling, challenging training and work assignments, timely performance evaluation, and appropriate recognition. Recruits and retains a high quality, diverse workforce by creating a work environment characterized by challenge, opportunity, and growth. Takes immediate action if sexual harassment or other discriminatory/unfair treatment is observed, reported, or suspected.

ELEMENT RATING
(Enter F, M, or U)

3. INNOVATION/INITIATIVE.

Is open to change and to new information; manages ambiguity; adapts behavior and work methods in response to new information, changing conditions, or unexpected obstacles. Develops and implements or suggests better ways of doing business - methods, equipment, processes, resources. Displays a high level of initiative, effort, and commitment to public service. Seeks and accepts developmental opportunities. Serves on professional/technical committees and participates in professional societies to enhance personal knowledge and advance/contribute to the profession. Writes/publishes technical or professional papers.

ELEMENT RATING
(Enter F, M, or U)

4. WORKING RELATIONSHIPS.

Is an effective team player. Works well with others to get the mission accomplished. Able to manage both horizontally and vertically within the chain-of-command. Effectively represents and speaks for the organization. Deals effectively with pressure; maintains focus and intensity and recovers quickly from setbacks. Considers and responds appropriately to the needs, feelings, and capabilities of a diversity of personnel in a variety of settings. Contacts are characterized by tactfulness and respectful treatment of others.

ELEMENT RATING
(Enter F, M, or U)

DLA SENIOR EXECUTIVE SERVICE (SES) PERFORMANCE PLANNING AND EVALUATION

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5.

**ELEMENT
RATING**
(Enter F,
M, or U)

6.

**ELEMENT
RATING**
(Enter F,
M, or U)

7.

**ELEMENT
RATING**
(Enter F,
M, or U)

DLA SENIOR EXECUTIVE SERVICE (SES) PERFORMANCE PLANNING AND EVALUATION

PART B - SECTION III - DOCUMENTATION OF THE MID-YEAR PERFORMANCE REVIEW

Empty space for documentation of the mid-year performance review.

SIGNATURE AND DATE

SES MEMBER:

RATING OFFICIAL:

DLA SENIOR EXECUTIVE SERVICE (SES) PERFORMANCE PLANNING AND EVALUATION

PART C - SECTION I - ACCOMPLISHMENTS

DLA SENIOR EXECUTIVE SERVICE (SES) PERFORMANCE PLANNING AND EVALUATION

PART C - SECTION I - ACCOMPLISHMENTS

DLA SENIOR EXECUTIVE SERVICE (SES) PERFORMANCE PLANNING AND EVALUATION

PART C - SECTION I - ACCOMPLISHMENTS

DLA SENIOR EXECUTIVE SERVICE (SES) PERFORMANCE PLANNING AND EVALUATION

PART C - SECTION II - RECOMMENDATION FOR PERFORMANCE AWARD AND/OR PAY LEVEL ADJUSTMENT

DLA SENIOR EXECUTIVE SERVICE (SES) PERFORMANCE PLANNING AND EVALUATION

PART C - SECTION II - RECOMMENDATION FOR PERFORMANCE AWARD AND/OR PAY LEVEL ADJUSTMENT