

**DEPARTMENT OF DEFENSE
SENIOR PROFESSIONAL PAY AND PERFORMANCE APPRAISAL**

PART A - PERFORMANCE PLAN

1. NAME OF SENIOR PROFESSIONAL <i>(Last, First, Middle Initial)</i>		2. POSITION TITLE	
3. ORGANIZATION		4. PAY POOL MANAGER	
5. RATING PERIOD DATES (YYYYMMDD)		6. PERFORMANCE TYPE (X)	7. APPOINTMENT TYPE (X and circle)
a. BEGINNING	b. ENDING	<input type="checkbox"/> ANNUAL <input type="checkbox"/> INTERIM	<input type="checkbox"/> ST <input type="checkbox"/> SL <input type="checkbox"/> OTHER

PART B, SECTION I - PERFORMANCE ELEMENTS AND REQUIREMENTS (See Page 2, Part B, Section I.)
The signatures below acknowledge joint development and understanding of the performance elements and performance requirements.

8.a. SIGNATURE OF SENIOR PROFESSIONAL	b. TYPED NAME OF SENIOR PROFESSIONAL <i>(Last, First, Middle Initial)</i>	c. DATE (YYYYMMDD)
9.a. SIGNATURE OF RATING OFFICIAL	b. TYPED NAME OF RATING OFFICIAL <i>(Last, First, Middle Initial)</i>	c. DATE (YYYYMMDD)

PART B, SECTION II - ON-GOING FEEDBACK

10. RECORD OF PERFORMANCE FEEDBACK WITHIN THE RATING PERIOD		
a. DATE (YYYYMMDD)	b. SENIOR PROFESSIONAL	c. RATING OFFICIAL
d. DATE (YYYYMMDD)	e. SENIOR PROFESSIONAL	f. RATING OFFICIAL

PART C - PRELIMINARY PERFORMANCE SCORE
Preliminary Performance Score is based on the total scores of performance accomplishments on Page 2.

11.a. PRELIMINARY PERFORMANCE SCORE	b. PRELIMINARY PERFORMANCE RATING	
c. RECOMMENDED PERFORMANCE SHARES	d. RECOMMENDED DISCRETIONARY PAY INCREASE	
e. SIGNATURE OF RATING OFFICIAL		f. DATE (YYYYMMDD)
g. SIGNATURE OF SECOND LEVEL SUPERVISOR		h. DATE (YYYYMMDD)

PART D - SENIOR PROFESSIONAL ACKNOWLEDGEMENT OF APPRAISAL
Signature acknowledges that the senior professional is aware of and was provided a copy of this evaluation. It does not constitute agreement or disagreement with the evaluation.

12.a. SIGNATURE OF SENIOR PROFESSIONAL		b. DATE (YYYYMMDD)	
c. HIGHER LEVEL REVIEW <i>(X indicates the senior professional's request for a higher level review within 7 workdays after receipt of the preliminary rating.)</i>	d. SENIOR PROFESSIONAL'S INITIALS	e. DATE REQUEST SUBMITTED (YYYYMMDD)	

PART E - AUTHORIZING OFFICIAL: PERFORMANCE SCORE, PAY INCREASES AND PERFORMANCE BONUSES

13.a. PERFORMANCE		b. BASIC PAY INCREASE	c. PERFORMANCE BONUS	d. DISCRETIONARY PAY INCREASE
(1) SCORE	(2) SHARES	\$	\$	\$
e. SIGNATURE OF AUTHORIZING OFFICIAL				f. DATE (YYYYMMDD)

DEPARTMENT OF DEFENSE SENIOR PROFESSIONAL PAY AND PERFORMANCE APPRAISAL		NAME OF SENIOR PROFESSIONAL
PART B, SECTION I - PERFORMANCE ELEMENTS, PERFORMANCE REQUIREMENTS, AND PRELIMINARY SCORE <i>(Limited to no more than two pages)</i>		
a. PERFORMANCE SCORES	b. PERFORMANCE ELEMENTS AND REQUIREMENTS	
1. LEADERSHIP/SUPERVISION WEIGHT	Demonstrates effective and ethical individual and organization leadership to assess situations realistically; identifies and recommends or implements needed changes.	
2. CONTRIBUTION TO MISSION ACCOMPLISHMENT WEIGHT	MANDATORY. Executes the position's assigned duties in a manner that contributes to the successful outcome of strategic goals and objectives.	
3. RESOURCE MANAGEMENT WEIGHT	Demonstrates effective use/management of personal and organizational resources such as time, personnel, equipment and/or funds.	
4. COMMUNICATION WEIGHT	Demonstrates effective listening, writing and oral communications skills.	
5. COOPERATION/TEAMWORK WEIGHT	Demonstrates traits of flexibility, adaptability and decisiveness and the ability to exhibit and foster cooperation in team efforts and organizational settings.	
6. CUSTOMER CARE WEIGHT	MANDATORY. Demonstrates effective interactions with internal and external customers.	
7. TECHNICAL COMPETENCE/ PROBLEM SOLVING WEIGHT	MANDATORY. Demonstrates the knowledge and skills required to execute the position's assigned duties and responsibilities.	
PRELIMINARY PERFORMANCE SCORE: _____		

PART B, SECTION I - PERFORMANCE ELEMENTS, PERFORMANCE REQUIREMENTS, AND PRELIMINARY SCORE
(Continuation page)

PART C - ACCOMPLISHMENTS
(Components may add Component-specific instructions or requirements.)

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**DEPARTMENT OF DEFENSE SENIOR PROFESSIONAL PAY AND PERFORMANCE APPRAISAL
ADMINISTRATIVE INSTRUCTIONS**

Part A - Performance Plan (Page 1, Items 1 - 7)

Identify pertinent information about the senior professional being rated.
 Item 6. Annual Rating: Completed after the end of the appraisal period.
 Interim Rating: Appraisal of senior professional performance, other than the annual rating, completed during the rating period due to a reassignment or on the departure of a supervisor.

Part B.

Section I - Performance Elements, Performance Requirements and Preliminary Score (Page 2).

Identifies the seven standard performance elements for each senior professional, which include major areas of responsibilities. Each performance element must be supported by one or more performance requirements, which state what is expected at the achieved expectations performance level. Performance requirements must be specific, so that expectations are clear, i.e., level of quality, time frame, etc. Documents the Rating Official's preliminary performance score based on the senior professional's accomplishments toward meeting the performance requirements of each performance element. If the Rating Official is going to weight any of the performance elements, the weight must be documented on this page. Preliminary performance score total is documented here, as well as in Part C, Item 11.a.

Section I - Performance Elements and Performance Requirements (Page 1, Items 8 and 9).

The signatures of the senior professional and Rating Official are required in this part to acknowledge joint development and understanding of the performance elements and requirements.

Section II - On-Going Feedback (Page 1, Item 10).

Documents performance feedback sessions between the senior professional and the Rating Official. At least one entry is required during the rating period.

Part C (Pages 4 and 5 or no more than two pages on plain bond paper).

Document the senior professional's accomplishments on each performance requirement. The Rating Official, Performance Review Board, and Authorizing Official consider accomplishments in determining increases to basic pay and performance bonuses. Component-specific instructions may be added before accomplishments are addressed.

Document the Rating Official's determination of the preliminary performance score (Item 11.a., from Part B, Section I), the preliminary performance rating (Item 11.b.), the recommended performance shares (Item 11.c.) based on the preliminary performance score relative to the range of performance shares in the following table, and any recommended discretionary pay increase.

Performance Rating, Score Ranges and Shares for Payout Share Conversion Chart

Performance Rating	Score Range	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

Part D - Senior Professional Acknowledgement of Appraisal.

Item 12.a. Signature of senior professional. The signature of the senior professional acknowledges that the senior professional is aware of and has been provided a copy of this evaluation. Signature does not constitute agreement or disagreement with the appraisal. If the senior professional desires to provide a written response to the preliminary performance rating, and desires a higher-level review, the senior professional places an X in Item 12.c. and initials and dates the form.

Part E - Authorizing Official: Performance Score, Pay Increases and Performance Bonuses.

Items 13.a. through 13.f. document the Authorizing Official's decisions on: the performance score and performance shares (Item 13.a.); the dollar amount of the increase in basic pay (Item 13.b.); the dollar amount of the performance bonus (Item 13.c.); the discretionary pay increase (Item 13.d.); the signature of the Authorizing Official (Item 13.e.); and the date of the Authorizing Official's decisions (Item 13.f.).

**DEPARTMENT OF DEFENSE SENIOR PROFESSIONAL PAY AND PERFORMANCE APPRAISAL
PERFORMANCE ELEMENTS**

- 1. Leadership/Supervision:** Demonstrates effective and ethical individual and organization leadership to assess situations realistically; identifies and recommends or implements needed changes. Actively furthers the mission of the organization and assures that organization performance is aligned to the strategic plan. Works to improve the diversity of the organization, ensures that all employee rights are respected and is responsible for the effective management of employee performance. Builds leaders for the future through active engagement in and support for developmental programs.
- 2. Contribution to Mission Accomplishment (Mandatory):** Executes the position's assigned duties in a manner that contributes to the successful outcome of strategic goals and objectives. Ensures that the accomplishments of the organization or program managed can be directly tied to mission need. Specifies the results or commitments to be achieved during the rating period.
- 3. Resource Management:** Demonstrates effective use/management of personal and organizational resources such as time, personnel, equipment and/or funds. Meets schedules and deadlines, and accomplishes work in order of priority; generates and accepts new ideas and methods for increasing work efficiency; effectively utilizes and properly controls available resources; supports organization's resource development and conservation goals. Manages organization or program within the parameters established for the Department's Internal Control Program.
- 4. Communication:** Demonstrates effective listening, writing, and oral communications skills. Provides or exchanges oral/written ideas and information that are timely, accurate, and easily understood. Represents the organization in a manner appropriate for the level of communication. Understands and operates under the communication release requirements of the organization.
- 5. Cooperation/Teamwork:** Demonstrates traits of flexibility, adaptability and decisiveness and the ability to exhibit and foster cooperation in team efforts and organizational settings. Uses the appropriate cooperation and teamwork skills for the situation.
- 6. Customer Care (Mandatory):** Demonstrates effective interactions with internal and external customers. Demonstrates care for customers through respectful, courteous, reliable and conscientious actions. Seeks out, develops, and/or maintains solid working relationships with customers to identify their needs, quantifies those needs, and develops practical solutions. Keeps customer informed. Within the scope of job responsibility, seeks out and develops new programs and/or reimbursable customer work.
- 7. Technical Competence/Problem Solving (Mandatory):** Demonstrates the knowledge and skills required to execute the position's assigned duties and responsibilities. Ensures the technical accuracy of the work produced or provided by organization/program managed. Independently identifies issues and recognizes all sides in the resolution process.

DEPARTMENT OF DEFENSE SENIOR PROFESSIONAL PAY AND PERFORMANCE SYSTEM

The basis for determining the rating level of each performance element will be based on the relationship of the senior professional's accomplishments to the performance requirements. The table below identifies each of the seven benchmark performance elements: Leadership/Supervision; Contribution to Mission Accomplishment; Resource Management; Communication; Cooperation/Teamwork; Customer Care; and Technical Competence/Problem Solving, and illustrates accomplishments and contributions to be considered in reviewing the senior professional's performance.

Performance Element	Competencies/Performance Accomplishment
Leadership/Supervision	<p>Vision - Takes a long-term view and acts as a catalyst for organizational change; builds a shared vision with others. Influences others to translate vision into action. Engages in succession planning.</p> <p>Service Motivation - Creates and sustains an organizational culture which encourages others to provide the quality of service essential to high performance. Enables others to acquire the tools and support they need to perform well. Shows a commitment to public service. Influences others toward a spirit of service and meaningful contributions to mission accomplishment.</p> <p>Integrity/Honesty - Instills mutual trust and confidence; creates a culture that fosters high standards of ethics; behaves in a fair and ethical manner toward others, and demonstrates a sense of corporate responsibility and commitment to public service.</p> <p>Leveraging Human Capital - Recruits, develops, and retains a diverse high quality workforce in an equitable manner consistent with applicable law and merit systems principles. Leads and manages an inclusive workplace that maximizes the talents of each person to achieve sound business results. Respects, understands, values and seeks out individual differences to achieve the vision and mission of the organization. Develops and uses measures and rewards to hold self and others, including subordinate managers and supervisors, accountable for achieving results that embody the principles of diversity and achieve organizational results.</p> <p>Decisiveness - Exercises good judgment by making sound and well-informed decisions; perceives the impact and implications of decisions; makes effective and timely decisions, even when data is limited or solutions produce unpleasant consequences; is proactive and achievement oriented.</p>
Contribution to Mission Accomplishment (Mandatory element)	<p>Strategic Alignment - Achieves results that support and contribute to the accomplishment of the strategic goals of the organization, Component, and the Department.</p> <p>Strategic Thinking - Formulates effective strategies consistent with the business and competitive strategy of the Department and Component in a global economy. Examines policy issues and strategic planning with a long-term perspective. Determines objectives and sets priorities; anticipates potential threats or opportunities.</p> <p>Entrepreneurship - Identifies opportunities to develop and market new products and/or services within or outside of the organization. Is willing to take risks; initiates actions that involve a deliberate risk to achieve a recognized benefit or advantage.</p> <p>External Awareness - Identifies and keeps up to date on key national and international policies and economic, political, and social trends that affect the organization. Understands near-term and long-range plans and determines how best to be positioned to achieve a competitive business advantage in a global economy or to best achieve the goals of the Department and Component.</p>
Resource Management	<p>Financial Management - Demonstrates broad understanding of principles of financial management and marketing expertise necessary to ensure appropriate funding levels. Prepares, justifies, and/or administers the budget for the program area; uses cost-benefit thinking to set priorities; monitors expenditures in support of programs and policies. Identifies cost-effective approaches. Manages procurement and contracting.</p> <p>Human Resources Management - Assesses current and future staffing needs based on organizational goals and budget realities. Using merit principles, ensures staff is appropriately selected, developed, utilized, appraised, and rewarded; takes corrective action, as appropriate.</p> <p>Technology Management - Uses efficient and cost-effective approaches to integrate technology into the workplace and improve program effectiveness. Develops strategies using new technology to enhance decision-making. Understands the impact of technological changes on the organization.</p> <p>Accountability - Assures that effective controls are developed and maintained to ensure the integrity of the organization. Holds self and others accountable for rules and responsibilities. Can be relied upon to ensure that projects within areas of specific responsibility are completed in a timely manner and within budget. Monitors and evaluates plans; focuses on results and measuring attainment of outcomes. Complies with accountability systems requirements, and documents actions taken.</p>

DEPARTMENT OF DEFENSE SENIOR PROFESSIONAL PAY AND PERFORMANCE SYSTEM *(Continued)*

Performance Element	Competencies/Performance Accomplishment
<p>Communication</p>	<p>Influencing/Negotiating - Consistent with Department and Component policies, persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals; facilitates "win-win" situations.</p> <p>Interpersonal Skills - Considers and responds appropriately to the needs, feelings, and capabilities of different people in different situations; is tactful, compassionate and sensitive, and treats others with respect.</p> <p>Oral Communication - Makes clear and convincing oral presentations to individuals or groups; listens effectively and clarifies information as needed; facilitates an open exchange of ideas and fosters an atmosphere of open communication.</p> <p>Political Savvy - Identifies the internal and external politics that impact the work of the organization. Approaches each problem situation with a clear perception of organizational and political reality; recognizes the impact of alternate courses of action.</p> <p>Written Communication - Expresses facts and ideas in writing in a clear, convincing and organized manner.</p>
<p>Cooperation/ Teamwork</p>	<p>Flexibility - Is open to change and new information; adapts behavior and work methods in response to new information, changing conditions, or unexpected obstacles. Adjusts rapidly to new situations warranting attention and resolution.</p> <p>Resilience - Deals effectively with pressure; maintains focus and intensity and remains optimistic and persistent, even under adversity. Recovers quickly from setbacks. Effectively balances personal life and work.</p> <p>Conflict Management - Identifies and takes steps to prevent potential situations that could result in unpleasant confrontations. Manages and resolves conflicts and disagreements in a positive and constructive manner to minimize negative impact.</p> <p>Team Building - Inspires, motivates and guides others toward goal accomplishment. Consistently develops and sustains cooperative working relationships. Encourages and facilitates cooperation within the organization and with customer groups; fosters commitment, team spirit, pride, and trust. Develops leadership in others through coaching, mentoring, rewarding, and guiding employees.</p>
<p>Customer Care (Mandatory element)</p>	<p>Customer Service - Balancing interests of a variety of clients, readily readjusts priorities to respond to pressing and changing client demands. Anticipates and meets the needs of clients; achieves quality end products; is committed to continuous improvement of services.</p> <p>Partnering - Develops networks and builds alliances, engages in cross-functional activities; collaborates across boundaries, and finds common ground with a widening range of stakeholders. Utilizes contacts to build and strengthen internal support bases.</p>
<p>Problem Solving/ Technical Competence (Mandatory element)</p>	<p>Problem Solving - Identifies and analyzes problems; distinguishes between relevant and irrelevant information to make logical decisions; provides solutions to individual and organizational problems.</p> <p>Technical Credibility - Understands and appropriately applies procedures, requirements, regulations, and policies related to specialized expertise. Is able to make sound hiring and capital resource decisions and to address training and development needs. Understands linkages between administrative competencies and mission needs.</p> <p>Continual Learning - Grasps the essence of new information; masters new technical and business knowledge; recognizes own strengths and weaknesses; pursues self-development; seeks feedback from others and opportunities to master new knowledge.</p> <p>Creativity and Innovation - Develops new insights into situations and applies innovative solutions to make organizational improvements; creates a work environment that encourages creative thinking and innovation; designs and implements new or cutting-edge programs.</p>

**DEPARTMENT OF DEFENSE SENIOR PROFESSIONAL PAY AND PERFORMANCE SYSTEM
STEPS IN THE PERFORMANCE APPRAISAL PROCESS**

Rating Official.

1. Develop Performance Plan.
2. Determine which of the Standard Performance Elements relate to position.
3. Weight the Performance Elements.
4. Develop, with the senior professional, a narrative description of the performance requirements for each element.
5. Discuss Performance Elements and Requirements with senior professional.
6. Document Performance Elements and Requirements on the DoD Senior Professional Pay and Performance Appraisal form.
7. Provide on-going feedback.
8. Hold at least one Progress Review and document it.
9. Ask senior professional for a narrative input, if desired.
10. Appraise senior professional's performance at the end of the rating period.
11. Assess senior professional accomplishments against Performance Elements and Requirements.
12. Assign numeric score to Performance Elements as Preliminary Performance Score.
13. Use Share Conversion Chart, assign Preliminary Performance Payout Shares.
14. Discuss Performance Appraisal with senior professional.

Authorizing Official.

15. Determine Final Performance Rating, Performance Score and Performance Payout Share (including split between Bonus and Increase to Basic Pay).