

## *Driving Organizational Results*

Module **5**

### **Rating Your Performance**

Department of Defense  
Executive Performance Workshops

- You learn about how
  - Your performance and results are rated
  - The pay pool process is conducted
  - Rewards are distributed

## *About the Rating Process*

- Your performance must be
  - Appraised in writing
  - Include an Initial Summary Rating
  - Discussed with you
- Your appraisal must be based upon
  - Individual and organizational performance
  - The degree to which you accomplished your Performance Elements and Requirements
- Performance ratings and scores are not forced or artificially constrained

## Performance Rating Levels

- There are five rating levels

Performance Rating Level	Benchmark Definition
<b>Exceptional Results (5)</b>	Performance that far exceeds what is expected in the attainment of the Performance Requirement, as evidenced by exceptional accomplishments or contributions to the mission.
<b>Exceeds Expected Results (4)</b>	Performance that surpasses what is expected in the attainment of the Performance Requirements and/or results in the achievement of unexpected outcomes that contribute to the mission.
<b>Achieved Expectations (3)</b>	Performance that fully meets the attainment of the Performance Requirements as defined by the Performance Plan.
<b>Minimally Satisfactory (2)</b>	Performance that partially meets or demonstrates some progress toward the attainment of the Performance Requirements described in the Performance Plan.
<b>Unsatisfactory (1)</b>	Performance that fails to meet the Performance Requirements for any element in the Performance Plan.
<b>Not Rated</b>	Self explanatory

- In addition to using the rating levels, Rating Officials must use an organizational assessment to evaluate your performance
  - DoD Organizational Assessments
  - Component Organizational Assessments
  - External Assessments

*Have a question about Organizational Assessments, review the requirements in Module 1, slide 35.*

- Conducted at the end of the cycle
- Conducted between the executive and rating official
- Provides a preliminary assessment pending final review by the Authorizing Official
- Includes a discussion overall performance based upon individual and organizational results
- Includes a tentative rating
  - **Important Note:** *Does not* include information on shares or payout distribution.

*Take a look at how your rating is derived...*

## Appraisal Process Elements

Performance Elements	Competencies
<b>Leadership/Supervision</b> Employee Alignment Workforce Diversity	Vision, Service, Integrity/Honesty, Leveraging Human Capital, Decisiveness, Maintaining safe and productive work environments
<b>Contribution to Mission Accomplishment Objectives</b>	Strategic Alignment, Strategic Thinking, Entrepreneurship, Awareness
<b>Resource Management</b>	Financial, Human Resource, and Technology Management; Accountability
<b>Communication</b>	Influencing/Negotiation, Interpersonal Skills, Oral and Written Communication
<b>Cooperation/Teamwork</b>	Flexibility, Resilience, Conflict Management, Team Building
<b>Customer Care</b>	Customer Service, Partnering
<b>Technical Competence</b>	Problem-Solving, Creativity, Continuous Learning

- Your Rating Officials scores **each** Performance Element and Requirement
  - Each score is multiplied by the percentage weight assigned to the Element
  - All Elements are added to develop the Performance Score
  - Maximum Performance Score is 100.

*If your performance is unsatisfactory for any Performance Element, your Annual Summary Rating is Unsatisfactory.*

## Developing the Performance Score – An Example

Performance Element	Weight	Score	Performance Element Score
Contribution to Mission Accomplishment	<b>60%</b> (Mandatory Weight)	85	51
Leadership/Supervision (SES) Technical Competence (SP)	20%	80	16
Customer Care	20%	80	16
<b>Performance Score</b>	<b>100%</b>		<b>83</b>

## Performance Rating Levels

Performance Rating Level	Score	Benchmark
Exceptional Results	95-100	<b>Far</b> exceeds expected results
Exceeds Expected Results	86-94	<b>Surpasses</b> expected results
Achieved Expectations	70-85	<b>Fully</b> meets expected results
Minimally Satisfactory	51-69	<b>Partially</b> meets expected results
Unsatisfactory	0-50	<b>Fails</b> to meet expected results

- Rating Official recommends the number of Shares based on your Performance Score
- Shares are not given to executives who receive “Minimally Satisfactory” or “Unsatisfactory” ratings
- Shares are a portion of the Pay Pool Fund
- Performance Payout is a mathematical function of the number of Shares and Pay Pool size and consideration of other factors such as: length of service in position during the cycle (prorate), Tier limit, reassignment or new hire salary increases
- Receipt of a Presidential Rank Award (Distinguished Service and Meritorious Service) during the rating cycle is not a valid reason to reduce a performance payout.

## Conversion to Shares

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

- Your Rating Official recommends to the Pay Pool
  - Rating
  - Performance Score
  - Shares
- The Pay Pool process is designed to create consistency in the performance management system across the organization
- The Pay Pool functions to manage and equitably distribute performance-based pay increases and bonuses
- You are only in one Pay Pool at one time

- Executive
  - Documents results and communicates this information to the rating official
- Rating Official
  - Documents results and communicates this information to the pay pool panel
- Pay Pool Manager ensures
  - Recommendations are in alignment with your results and contributions to organizational success
  - Total Performance Payout does not exceed the fund balance in the Pay Pool Fund

- The Pay Pool Panel (typically comprised of executives and general offices from organizations represented in the pay pool)
  - Reconciles Performance Ratings across the pay pool based upon individual and organizational performance and may recommend total Performance Payout adjustments
  - Forwards recommendations to the Performance Review Board
- The Performance Review Board (PRB) (established by the Authorizing Official)
  - Reviews pay pool panel recommendations
  - Ensures equitable standards based upon individual and organizational performance
  - Verifies consistent application of Pay Pool processes across the organization

- The Authorizing Official completes and is accountable for the Annual Summary Rating
- Contributing factors include
  - Performance Score
  - Higher Level Reviewer Input
  - Performance Review Board input
  - Performance payout share recommendations
  - Individual and Organizational Performance

*In Module 6, you learn about how the performance payout is calculated.*

- SES Website (Includes SC 920)
  - [www.cpms.osd.mil/sespm](http://www.cpms.osd.mil/sespm)
- Executive Performance in the 21<sup>st</sup> Century: A Guide to Driving Organizational Results
- Workshop Resource Package
- Executive Management Development Office