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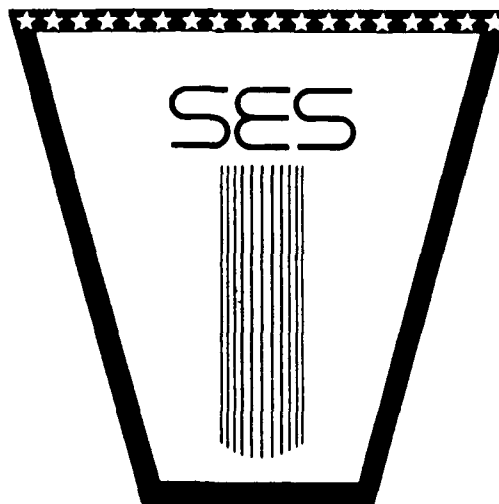


OFFICE OF THE
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SENIOR EXECUTIVE SERVICE OSD Performance Review Board

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SENIOR EXECUTIVE SERVICE
OSD PERFORMANCE REVIEW BOARD

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Senior Executive Service Handbook
Chapter 5



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OFFICE OF THE ASSISTANT SECRETARY OF DEFENSE

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DoD 1402.3-H
Chapter 5

(Administration)

FOREWORD

The Senior Executive Service Handbook is issued under the authority of DoD Directive 1402.3, "Administration of the Senior Executive Service Program in the Office of the Secretary of Defense and the Defense Agencies," August 16, 1984. Its purpose is to provide information to the members of the Senior Executive Service (SES) and to their supervisors on the responsibilities of the Office of the Secretary of Defense Performance Review Board (OSD PRB).

This chapter applies to the performance appraisals and related recommendations prepared for SES members assigned to the Office of the Secretary of Defense (OSD); DoD field activities; the Organization of the Joint Chiefs of Staff (OJCS); the Office of the Inspector General (OIG); the Defense Advanced Research Projects Agency (DARPA); the Defense Audiovisual Agency (DAVA); the Defense Investigative Service (DIS); the Defense Legal Services Agency (DLSA); the Defense Security Assistance Agency (DSAA); the U.S. Court of Military Appeals (USCOMA); and the U.S. Mission to the North Atlantic Treaty Organization (NATO). In this chapter, DARPA, DAVA, DIS, DLSA, and DSAA are considered OSD Components rather than Defense Agencies. The chapter also covers the performance appraisals and related recommendations prepared for the civilian Directors, Deputy Directors, and General Counsels (or equivalent) of the Defense Agencies and any other SES member whose performance rating is assigned by the Secretary of Defense.

This chapter is effective immediately, and its use is mandatory.

Send recommended changes to this chapter through channels to the following:

SES and Classification Division
Directorate for Personnel and Security
Washington Headquarters Services
Room 3B347, The Pentagon
Washington, D.C. 20301-1155

Copies may be obtained from OSD Publications, Room 3B960, The Pentagon.

D. O. Cooke
Deputy Assistant Secretary of Defense

REFERENCES

- (a) Public Law 95-454, "Civil Service Reform Act of 1978," October 13, 1978
- (b) Title 5, United States Code, Section 4314

CHAPTER 5

OSD PERFORMANCE REVIEW BOARDS

A. INTRODUCTION

1. Pub. L. 95-454 (reference (a)), which established the SES and the requirements for SES performance evaluation, also required the establishment of performance review boards (PRBs) within Federal agencies to review appraisals, to review responses by the SES members, to conduct further review as necessary, and to make recommendations to the deciding official relating to the performance of senior executives in the agency.

2. Under 5 U.S.C. 4314 (reference (b)):

a. The members of a PRB shall be appointed in such a manner as to assure consistency, stability, and objectivity in performance appraisal.

b. The names of all PRB members shall be published in the Federal Register.

c. More than one-half of the members of the PRB reviewing the performance appraisal of a career SES member shall be career members of the SES.

3. The OSD PRB, as explained in this chapter, meets the requirements of the law and the needs of the organization and the SES members it serves.

B. DEFINITIONS

1. OSD Component Heads. Includes the Secretary of Defense; Chairman, JCS; Under Secretaries of Defense; Assistant Secretaries of Defense; General Counsel, DoD; Inspector General, DoD; Assistants to the Secretary of Defense; Directors of Program Analysis and Evaluation, DARPA, DAVA, DIS, DLSA, and DSAA; Chief Judge of the U.S. Court of Military Appeals; and Director, Washington Headquarters Services (WHS). The Defense Advisor, U.S. Mission to NATO assumes this role for individuals assigned to the U.S. Mission. The international supervisors of SES members assigned to the NATO International Staff or to other NATO agencies assume this role for them.

2. Senior Executive. Includes all SES members within the PRB's jurisdiction and those Presidential Appointees who, due to their former SES Career status, are eligible for and entitled to receive a performance appraisal under the SES system.

C. PURPOSE

1. The purpose of the OSD PRB is to:

a. Fairly and impartially review initial performance appraisals, summary ratings, performance award recommendations, and other personnel

action recommendations prepared by immediate supervisors, reviewing officials, and OSD Component heads.

b. Consider any written comments by the SES member and any recommendations of higher-level officials who were asked to review the appraisal.

c. Conduct further review as necessary.

d. Determine the reasonableness, equity, and consistency of the appraisals and related recommendations reviewed.

e. Make written recommendations relating to the performance of the senior executives to the Secretary of Defense.

f. Make bonus recommendations in order of priority to the Secretary of Defense.

g. Make appropriate written recommendations to the Secretary of Defense concerning the transfer, reassignment, or removal from the SES of any appointee whose performance is considered to be less than fully successful.

2. The review function of the PRB shall be accomplished through its constituent panels.

D. ORGANIZATION AND MANAGEMENT

1. The PRB shall consist of:

a. A chair, who shall be designated biennially by the Secretary of Defense from among the civilian executives of the OSD; the DoD field activities; the OJCS; the OIG, DoD; DARPA, DAVA, DIS, DLSA, and DSAA; the USCOMA; and the U.S. Mission to NATO.

b. An Executive Committee, which shall consist of the PRB chair, the moderators of the Performance Evaluation Panels, and the PRB executive secretary. The PRB executive secretary, who shall have no vote, shall be the Director for Personnel and Security, WHS, or his or her designee.

c. Performance Evaluation Panels established by the chair from the membership of the PRB in order to review fairly and equitably the various levels and functional areas represented by the senior executives under review.

d. All SES members within the PRB's jurisdiction. Members shall be appointed in such a manner as to assure consistency, stability, and objectivity in performance appraisal. The names of PRB members shall be published annually in the Federal Register.

2. The Performance Evaluation Panels shall be appointed annually and shall consist of a recorder without vote and the following personnel, selected from the PRB membership by the chair of the PRB:

- a. A moderator, who shall be a voting member.
 - b. Four additional voting members. More than one-half of the total membership of any panel reviewing the performance appraisal of a career SES member shall be career members of the SES.
3. The Performance Evaluation Panel members and the chair of the PRB shall:
- a. Have current fully successful performance ratings.
 - b. Consistently have applied an appraisal program effectively in their own organizations.
 - c. Possess a thorough knowledge and understanding of this appraisal program, gained through experience or training or both.
4. Performance Evaluation Panel members and the chair of the PRB may not:
- a. Participate in the review of their own performance ratings or ones that they have written or reviewed as a supervisor; or
 - b. Be directly subordinate to senior executives whose performance ratings they consider.

E. RESPONSIBILITIES

1. Performance Evaluation Panels

a. The Moderator of each Performance Evaluation Panel, designated by the chair of the PRB, shall:

- (1) Lead the discussion of each appraisal and related recommendations to ensure adequate review and coverage.
- (2) Moderate discussions that involve differences of opinions among Panel members.
- (3) Review any response by the SES member and, as necessary, conduct further review as necessary for the consideration of appraisals and related recommendations.
- (4) Fulfill responsibilities as a Panel member.
- (5) Make appropriate recommendations to the chair of the PRB concerning each appraisal, summary rating, and performance award nomination.
- (6) Prepare written recommendations.
- (7) Ensure the timely completion of the Performance Evaluation Panel process.

(8) Present a list of SES members, in order of priority, who are recommended for bonuses.

(9) Serve as a member of the Executive Committee of the PRB, as needed.

b. Panel members, who shall be appointed by the chair of the PRB, shall:

(1) Review pertinent material, including critical elements of each position, performance standards, recommended appraisal and rating, recommendations for performance award and personnel action (if appropriate), the senior executive's response (if any), the written review by a higher-level executive (if appropriate), and any other supplemental information for all ratings and recommendations within the purview of the Panel.

(2) Note any questions or problems which they wish to raise for discussion with other members.

(3) Present cases to the Panel and participate in Panel discussions.

(4) Carry out assignments related to the review of appraisals and related recommendations that may be assigned by the moderator.

(5) Make fair and impartial review and determine the reasonableness, equity, and consistency of each appraisal and related recommendations (for reasonableness, considering whether the initial ratings are an accurate reflection of the performance of the senior executives as determined in the performance appraisal; for equity, considering whether the recommended actions are equitable with respect to related initial ratings; for consistency, considering whether the initial ratings given for similar performances are comparable in all important aspects).

(6) Cast a fair and impartial vote accordingly.

c. The Recorder, who shall be a member of the staff of the SES Division, WHS, shall:

(1) Provide a copy of the material specified in subparagraph E.1.b.(1), above, for each case to be considered to the moderator and each Panel member at least three days before the meeting.

(2) Prepare minutes of the Panel meeting.

(3) Assemble material used in the review of each appraisal and forward it to the chair of the PRB.

2. The Chair of the PRB, with the assistance of the Executive Committee or an ad hoc panel thereof, shall:

a. Conduct any further review deemed necessary.

b. Determine the reasonableness, equity, and consistency of panel recommendations on appraisals and related matters.

c. Develop a list of individuals, in order of priority, who are recommended by the PRB for bonuses.

d. Make a final written recommendation concerning each appraisal, summary rating, and recommendation for bonus to the Secretary of Defense.

e. Make final written recommendations to the Secretary of Defense concerning the transfer, reassignment, or removal from the SES of any senior executive whose performance is considered to be less than fully successful.

3. The Executive Secretary of the PRB shall provide regulatory guidance and administrative support to the PRB.

4. The Executive Committee shall:

a. Assist the chair of the PRB in exercising general program oversight, advising the Secretary of Defense on performance appraisal and award policies, plans, and programs, bearing in mind affirmative action.

b. Continually monitor the performance appraisal program and recommend improvements thereto.

c. Assist the Chair of the PRB, as requested, in developing a list of individuals, in order of priority, who are recommended by the PRB for bonuses.

5. The Secretary of Defense is responsible for the performance appraisal program and is the deciding official in performance matters.

F. CRITERIA FOR MAKING RATING AND BONUS RECOMMENDATIONS

1. In reviewing initial ratings and recommending final ratings, the PRB shall consider the following:

a. The narrative description of actual performance and the level of achievement of each critical element should relate logically to the critical elements and the performance standards.

b. The recommended overall rating should relate logically to the level of achievement of each critical element.

c. The rating should reflect both individual and organizational performance.

d. If performance was marginal or unsatisfactory, the appraisal should indicate the degree to which the senior executive was or was not able to control the situation.

2. In reviewing and recommending performance awards (bonuses), the PRB shall consider program accomplishments, managerial accomplishments, and

individual accomplishments. (The suggested criteria are neither all-inclusive nor common to all positions.)

a. Program accomplishments include:

- (1) Importance of the specific programs or projects.
- (2) Scope or degree of impact of the accomplishments.
- (3) Relative difficulty and complexity of objectives and accomplishments.
- (4) Significance of the contributions to the mission of the organization.
- (5) Effectiveness of organizational performance.
- (6) Effects on mission accomplishments.
- (7) Total contributions in relation to those of peers.

b. Managerial accomplishments include:

- (1) Improvements in quantity or quality of work or service; increases in productivity or improvements in timeliness or responsiveness; and significance of improvements.
- (2) Significance of group accomplishments (products or services) or improvements in group productivity.
- (3) Improved effectiveness of the people and organization for whom the SES member is responsible.
- (4) Success in human and financial management as evidenced by reduced costs, better utilization of resources, achievement of affirmative action goals, cooperation or collaboration, team building, cost efficiency, and improved efficiency.
- (5) Significance of other indicators of effectiveness or productivity.
- (6) Managerial contributions in relation to those of peers.
- (7) Level of responsibility.
- (8) Reduction in paperwork.
- (9) Development of staff and increasing staff managerial and technical competencies.
- (10) Successful implementation of the performance appraisal program.

c. Individual accomplishments include:

- (1) Significance of individual accomplishments.
- (2) Leadership, integrity, and industry as evidenced in material accomplishments.
- (3) Effectiveness in accomplishing the performance standards and critical elements.
- (4) Effectiveness of liaison activities and representation of the organization.
- (5) Quality of professional advice and products.
- (6) Responsiveness, communication, and collaboration.
- (7) Career development of self.
- (8) Individual accomplishments in relation to those of peers.