



DCIPS 101 – Performance Management



What if you had worked days, weeks, or months creating a product only to later discover that the product you worked on was something that your organization didn't need, value, nor recognize? You might feel that you wasted your time and wonder, "What was I supposed to be doing?"



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Effective performance management occurs when everyone in an organization is on the same page regarding performance expectations and is communicating in a regular and timely manner about progress towards the desired results.

This regular communication provides a forum for making corrections, adjusting performance strategies, or seeking developmental opportunities as needed. And it helps to ensure individuals are working on the tasks that matter most to the success of the organization, and not just working hard.



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To enjoy the benefits of effective performance management within the Enterprise, DCIPS promotes key performance management activities and responsibilities such as regular communication between employees and supervisors, performance objectives that are tied to important mission results, and recognition and rewards for performance.





What this means for you is that there is a process in place to ensure that you're working on the right things to accomplish the mission, that you're getting the support you need to be successful, and that you're getting recognized for what you accomplish.







This briefing will focus on the DCIPS performance management process in detail. Specifically: the key concepts, the key players, and the four phases of the performance management process that DCIPS has in place to drive effective performance and produce mission-related results.

Throughout the presentation use of the performance management process graphic should help you know which phase of the process is being discussed.





We will review each key concept listed on this slide.



Performance Standards	gement Key Concepts General Standards		
	Performance	Objectives	Element
Performance Plan	Rating	Descriptors	Descriptors
 Performance Objectives Performance Elements Individual Development Plan (IDP) 	SUCCESSFUL (3)	The employee achieved expected results on the assigned objective. At the summary level, the employee achieved expected or higher results overall and on most assigned objectives with an average rating within the "Successful" range in Table 2.	The employee fully demonstrated effective, capable performance of key behaviors for the performance element. At the summary level, the employee demonstrated effective, capable performance or higher on key behaviors on most performance elements with an average rating within the "Successful" range in Table 2.
Performance Evaluation of Record	• Your Rating your perfor	s of performance expectations 3 Official will use the performa rmance during the evaluation 13: 3 of 55	nce standards to evaluate

Performance standards are descriptors of performance expectations. Your Rating Official will use the performance standards to evaluate your performance during the evaluation period.





At the beginning of the performance evaluation period, you'll meet with your Rating Official to create your performance plan. The performance plan documents your performance expectations for the evaluation period. It contains SMART performance objectives, which are specific descriptions of what you need to accomplish during the evaluation period. And, it contains six standard performance elements, which focus on behavioral expectations; they are how you performed throughout the performance evaluation period.

Helpful Hint: Not all performance elements tie directly to a performance objective.



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Performance objectives are specific descriptions of what you need to accomplish during the evaluation period. They are documented in your performance plan. They provide focus to your work and ensure that your actions are directed to achieving important mission related-outcomes.

In DCIPS, performance objectives are written at the Successful level and follow the SMART criteria. (Learn more about the Successful level and SMART criteria later in this presentation.)





Performance elements identify your behavioral expectations and how you are to perform throughout the performance evaluation period. They are documented in your performance plan. You will be evaluated on six performance elements that are standard across the Enterprise and Intelligence Community.

Performance elements are a standard set of behaviors necessary for successfully accomplishing your work.





The Individual Development Plan (IDP) is a document you and your Rating Official will create at the beginning of an evaluation period. The IDP outlines your development objectives and may include training, education, coaching, work assignments, or other activities designed to improve your capabilities and experience.

Each Component has a component-specific format.





The Performance Evaluation of Record is the final documentation of your performance against your performance plan for an established performance period. Performance Evaluation of Record will be covered later in the presentation.





Next, we will cover the key players and the individual roles in the DCIPS performance management process.



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A DCIPS employee is a person within the Defense Intelligence Enterprise who develops, or provides input to, his or her performance plan and Individual Development Plan (IDP), self-monitors his or her progress against his or her performance plan throughout the year, takes advantage of formal and informal communication opportunities throughout the performance period, provides input to the Midpoint Review, per his or her Component's direction, and writes a self-report of accomplishments for his or her annual Performance Evaluation of Record.





The Rating Official is an individual in an employee's chain of supervision, generally the supervisor, who is responsible for conducting performance planning, managing performance throughout the evaluation period, rating performance against the standards, and preparing the end-of-year Performance Evaluation of Record for each of his/her employees.





The Reviewing Official is an individual, generally, in the Rating Official's chain of supervision who is responsible for reviewing and approving Performance Evaluations of Record. The Reviewing Official reviews them for accuracy and equity across employees and compliance with DCIPS policy.





The Performance Management Performance Review Authority (PM PRA) is the Senior employee or board who is responsible for oversight of performance management processes. The PM PRA provides oversight of the evaluation process, verifies compliance with merit system principles, and completes a final review before Performance Evaluations of Record are final.

The PM PRA also resolves requests for formal reconsideration.







The wheel on the slide above maps the four phases of the performance management cycle. They are one, Plan; two, Develop and Monitor; three, Rate; and four, Reward.







The standard performance evaluation period for DCIPS runs from October 1st through September 30th each year. Some components may have an alternate schedule approved by the USD(I).





At the beginning of this process, you will meet with your Rating Official to agree on a performance plan and IDP.



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Throughout the evaluation period, you and your Rating Official will regularly communicate about your performance, both formally and informally. Approximately half way through the evaluation period, you will meet with your Rating Official for a mandatory Midpoint Review session.





Towards the end of the evaluation period, you will be asked to submit your self-report of accomplishments according to Component and/or your Rating Official's guidance. This is your opportunity to document your performance throughout the evaluation period.

Your Rating Official will evaluate your performance while considering your self-report as well as his or her observations as measured against your plan. He or she will then submit your evaluation for review to the Reviewing Official.

Once the Reviewing Official has approved it, it will be submitted to the PM PRA. Once the PM PRA approves it, your Rating Official will discuss your Performance Evaluation of Record with you in a formal feedback review session.

During this session, you will also begin your plans plans for next year as the performance evaluation cycle will begin again.



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After completion of the performance management process, the final Performance Evaluations of Record are provided to the pay pools for consideration in pay pool deliberations. Based on your Performance Evaluation of Record, the pay pool will determine your performance-based salary increase and bonus if you are an employee in the banded structure, or your performance-based bonus if you are an employee in the graded structure.



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Next, each phase of the overall process will be looked at in more detail.





The Plan phase begins on October 1st when the performance evaluation period officially begins. Within the first 30 days of a new performance evaluation period, you will meet with your Rating Official to establish clear performance expectations for the evaluation period.

These expectations will be documented in your performance plan through SMART performance objectives that align to the mission. You will also discuss your performance elements and collaborate with your Rating Official to create your Individual Development Plan (IDP).



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Performance objectives identify what you are to accomplish during the evaluation period and are documented in your performance plan. You will be rated on the impact and results of accomplishing your objectives at the end of the evaluation period.

Typically 3 to 6 objectives are used. You must have at least one performance objective.





To ensure your performance objectives are aligned with important mission-related outcomes, they should cascade from Enterprise mission goals. You should be able to clearly see how your efforts and contributions help accomplish the mission.



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Additionally, your objectives should be appropriate for your position, should be written at the Successful level, should be able to be accomplished within the evaluation period, and should be SMART.



Part Becor United Sate	SMART Performance Objectives
	Select each letter of the SMART acronym
Specific	Measurable Relevant Time-bound
	CC App 3: 18 of 55

SMART is an acronym that stands for Specific, Measurable, Achievable, Relevant, and Time-bound. The SMART criteria are designed to help you and your Rating Official write effective and clear performance objectives.



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You performance objectives should be more specific than general duty statements and remember, they are not task lists. They should focus on a specific accomplishment that you will achieve, or the specific impact that will result from your efforts. For example, it is not enough to say that the result is to have an updated policy manual. Specificity involves including details in your objective such as which manual, what "update" means, and how much of the manual will be updated.





The measurable criterion is the method or procedure used to assess and verify the behavior or action identified in your performance objectives and the quality of the outcome you achieved. There are a number of ways to measure performance such as quality, quantity, timeliness, creativity, innovation, leadership, impact, and costeffectiveness.

Regardless of the measurement type, it needs to address the "so what" factor, meaning what impact does accomplishment of your objective have on the mission?





(Read Helpful Hint on slide.)



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To make your performance objectives achievable, ensure that they can be accomplished within the evaluation period, that they are challenging and will cause you to stretch, but not so challenging that you are unable to achieve them, or so easy they don't add value to the mission, and, finally, that they are appropriate for your position, including your experience, skill, work level, and band or grade.





(Read Helpful Hint on slide.)



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You can ensure your performance objectives are relevant by aligning them with the Enterprise mission goals and your Component's mission. Doing this will ensure that you are not only working hard, but working on the things that matter most.




(Read Helpful Hint on slide.)





Time-bound means that there is a point in time in which your performance objective starts and when it ends. You can use relative or specific time designations. Examples of relative time designations include "throughout the evaluation period" or "end of the quarter." A specific time designation is a hard date such as July 15.



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Nelpful Hint Close
Potential Pitfall! Make sure you are in control of being able to accomplish your objective within the time specified. If someone else needs to sign, accept, or otherwise handle your deliverable in order for you to accomplish your objective then you are dependent on that person. To avoid this potential pitfall, keep your objective focused on what you will do. For example, rather than saying your report will be signed off by the customer on a specific date, say you will submit your report to the customer by a certain date. This way you are not at the mercy of the customer as to when he or she signs off on your report.
Return to the SMART acronym
App 3: 23 of 55 E I I

(Read Helpful Hint on slide.)





Now that you are familiar with the SMART criteria, let's apply what you know to a sample performance objective.

Read through the sample objective and see if you can identify each component of the SMART criteria. For the Aligned component, you can assume that this objective is appropriate for the job code listed at the bottom of the objective and is challenging, but achievable within the evaluation period.



Pan Rever Contrologi Anitor Rate	Select each letter of the SMART acronym SMART
-	0 0 0 0
Component A is cur pages are created, J links to current Cor When current and r appropriate Compo Jessica may be requ Intellipedia web pag used to determine p combination of supe on the timeliness, rel page. This objective	esign and implement an Intellipedia web page for each mission partner rently supporting, meeting the deadline established by HQ. Once the web essica will review and update each page at least once every two weeks with monent A products that are relevant to the mission partner's needs. elevant Component A products do not exist, Jessica will contact the ment A office or other IC entity and request its creation. In some cases, irred to create the product herself and post it to the mission partner's ge. Solicited and unsolicited feedback from mission partners will also be products to add to each web page. Success will be measured by a visor spot checks and solicited and unsolicited feedback from mission partners evance, ease of use, and impact on the mission of the products on each web supports [xyz] mission.
Job Code: 26AA84 (G	EDINT (Imagery Intel), Full Performance Work Level 2/Band 3)

Rather than just say Jessica should create a web page for each mission partner, can you see how Jessica's objective includes relevant and clarifying details as to how she is to accomplish her objective?

With this level of specificity, Jessica not only knows what she needs to accomplish, but has also been given guidance on how to do it.



Plan Revan uvslop andro	Select each letter of the SMART acronym
Rate	S M A R T
Component A is curr are created, Jessica v current Component relevant Component office or other IC en the product herself a unsolicited feedback web page. Success v and unsolicited fee impact on the miss	esign and implement an Intellipedia web page for each mission partner rently supporting, meeting the deadline established by HQ. Once the web pages will review and update each page at least once every two weeks with links to A products that are relevant to the mission partner's needs. When current and the products do not exist, Jessica will contact the appropriate Component A tity and request its creation. In some cases, Jessica may be required to create and post it to the mission partner's Intellipedia web page. Solicited and commission partners will also be used to determine products to add to each will be measured by a combination of supervisor spot checks and solicited abback from mission partners on the timeliness, relevance, ease of use, and ion of the products on each web page. This objective supports [xyz] mission. GEOINT (Imagery Intel), Full Performance Work Level 2/Band 3)

Jessica's objective avoids the potential pitfall we talked about earlier by including measurable criteria that shows impact to the mission rather than just the number of web pages she created.

As you write your own objectives, remember to ask yourself the, "So what?" question. "How will accomplishing my objective support the mission?"



Plan Rever undop and contor Rate	Select each letter of the SMART acronym	Performance Management
	0 0 0 0 0	
Component A are created, J current Com relevant Com office or othe the product F unsolicited fe web page. Su unsolicited fe the mission o	will design and implement an Intellipedia web page for each mission part is currently supporting, meeting the deadline established by HQ. Once the <u>Achievable Criteria</u> As we talked about earlier, you can assume that this objective is appropriate for Jessica's job code listed at the bottom of the objective and is challenging, but achievable within the evaluation period.	the web pages ith links to current and onent A d to create and idd to each icited and
	A84 (GEOINT (Imagery Intel), Full Performance Work Level 2/Band 3)	H

As we talked about earlier, you can assume that this objective is appropriate for Jessica's job code listed at the bottom of the objective and is challenging, but achievable within the evaluation period.



DCIPS HINTONIA FILLINA HINTONIA FILLINA HINTONIA FILLINA
Select each letter of the SMART acronym
Jessica Peters will design and implement an Intellipedia web page for each mission partner Component A is currently supporting, meeting the deadline established by HQ. Once the web pages are created, Jessica will review and update each page at least once every two weeks with links to current Component A products that are relevant to the mission partner's needs. When current and relevant Component A products do not exist, Jessica will contact the appropriate Component A office or other IC entity and request its creation. In some cases, Jessica may be required to create the product herself and post it to the mission partner's Intellipedia web page. Solicited and unsolicited feedback from mission partners will also be used to determine products to add to each web page. Success will be measured by a combination of supervisor spot checks and solicited and unsolicited feedback from mission partners on the timeliness, relevance, ease of use, and impact on the mission of the products on each web page. This objective supports [xyz] mission. Job Code: 26AA84 (GEOINT (Imagery Intel), Full Performance Work Level 2/Band 3)
App 3: 25 of 55

Jessica's objective is relevant as it is aligned with an Enterprise mission.

You can make your objectives relevant by ensuring they support an Enterprise or Component mission.



Pan Reve Independent	Select each	letter of t	he SMA	RT acronym		Performance
Rate	S N	A	R	Ι		Management
	0 0	0	0	0		
Component A is current pages are created, Jessi links to current Compo- current and relevant Co Component A office or required to create the p Solicited and unsolicited add to each web page. solicited and unsolicited and impact on the miss Job Code: 26AA84 (GEO	ca will review and up nent A products that mponent A products other IC entity and re- roduct herself and p d feedback from miss success will be meas d feedback from miss ion of the products of INT (Imagery Intel),	are relev are relev do not e equest its ost it to ti sion partn ured by a sion partn on each w	n page a ant to th xist, Jess creatior he missi ers will combin ers on th eb page. rmance	t least once ev ne mission partr sica will contact n. In some cases on partner's Intr also be used to ation of supervi he timeliness, re . This objective	ery two weeks with er's needs. When the appropriate , Jessica may be ellipedia web page. determine products to sor spot checks and levance, ease of use, supports [xyz] mission	

Did you notice that accomplishing the objective within the timeframes specified are not dependent on someone else, but rather are within Jessica's control?

Remember that if accomplishing your objective requires someone else to do something such as sign off on it or handle it in some way, that you are at the mercy of that person and could potentially put accomplishing your objective at risk.





There are a few final things to know about performance objectives. First, your performance objectives can be adjusted, if needed, during the evaluation period with the approval of your Reviewing Official. Second, you may be assigned new objectives during the evaluation period, and objectives you complete may be "closed out." Finally, any adjustments to your objectives or assignment of additional objectives must be made at least 90 days prior to the end of the evaluation period as objectives must be in place for a minimum of 90 days.



Ran	Performance Management
"WHAT" Performance Objectives	
"HOW" Performance Elements	
App 3: 27 of 55 Image: Content of the second s	>

Next, we will cover the "how" to accomplish the objectives and this is where the performance elements come into play.





Performance elements identify the set of behaviors necessary for successfully accomplishing your work. For example, an employee might accomplish the objective of writing a report, but does so without communicating appropriately with his or her team members.

Performance elements reinforce the notion that how you accomplish your work matters. Accomplishing your work at any cost is not acceptable. Your accomplishments must be within the framework of acceptable and desired work traits, such as good communication and collaboration, as defined in the performance elements standards (Volume 2011 and the IC Performance Standards guide).



we w	Formance element in the table to read its definition		
Employees	Managers/Supervisors		
Accountability for Results	Accountability for Results		
Communication	Communication		
Critical Thinking	Critical Thinking		
Engagement and Collaboration	Engagement and Collaboration		
Personal Leadership and Integrity	Leadership and Integrity		
Technical Expertise	Managerial Proficiency		
You can download a copy of	Volume 2011 from the Resources screen		

DCIPS uses the performance elements and standards for the elements used by the Intelligence Community as well as the standards outlined in DCIPS policy Volume 2011, Table 1. You can download a copy of the DCIPS policy Volume 2011 for more information.

You will be evaluated on six standard performance elements. The four elements inside the yellow box are the same for employees and Managers/supervisors. The remaining two elements are specific to whether you are an employee or manager/supervisor.



Pan wer weige index Rate	Perform Manage erformance element in the table to read its definition
Employees	Managers/Supervisors
Accountability for Results	Accountability for Results
Communication	Communication
Critical Thinking	Critical Thinking
Engagement and Collaboration	Engagement and Collaboration
Personal Leadership and Integrity	Leadership and Integrity
Technical Expertise	Managerial Proficiency
orities, and organizing and utilizing time and sistent with their organization's goals and object	expected to take responsibility for their work, setting and/or meet resources efficiently and effectively to achieve the desired resu tives. In addition, supervisors and managers are expected to use the e results through the actions and contributions of their subordina



Rear United France Select each pe	rformance element in the table to read its definition
Employees	Managers/Supervisors
Accountability for Results	Accountability for Results
Communication	Communication
Critical Thinking	Critical Thinking
Engagement and Collaboration	Engagement and Collaboration
Personal Leadership and Integrity	Leadership and Integrity
Technical Expertise	Managerial Proficiency
hers in writing, reading, listening, and verbal and communicating and making presentations approp	to effectively comprehend and convey information with and fr non-verbal action. Employees are expected to use a variety of me oriate to the audience. In addition, DoD IC supervisors and manag to build cohesive work teams, develop individual skills, and impro



Rate Select each pe	Perform Performance element in the table to read its definition
Employees	Managers/Supervisors
Accountability for Results	Accountability for Results
Communication	Communication
Critical Thinking	Critical Thinking
Engagement and Collaboration	Engagement and Collaboration
Personal Leadership and Integrity	Leadership and Integrity
Technical Expertise	Managerial Proficiency
proaches to gather, evaluate, and use multiple so	to use logic, analysis, synthesis, creativity, judgment, and systema ources of information to inform decisions and outcomes. In addition h a work environment where employees feel free to engage in ope s of view.



Rate Select each perform	ance element in the table to read its definition
Employees	Managers/Supervisors
Accountability for Results	Accountability for Results
Communication	Communication
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Engagement and Collaboration	Engagement and Collaboration
Personal Leadership and Integrity	Leadership and Integrity
Technical Expertise	Managerial Proficiency
hieve results. They are expected to recognize, valu llaborative networks of coworkers, peers, customers, sta D Components with DCIPS positions and the IC. In add	ve a responsibility to provide information and knowledge e, build, and leverage organizationally-appropriate, dive akeholders, and teams within an organization and/or across t lition, DCIPS supervisors and managers are expected to cre n, integration, and the sharing of information and knowledg



Rue Control Participe Control	Formance element in the table to read its definition	
Employees	Managers/Supervisors	
Accountability for Results	Accountability for Results	
Communication	Communication	
Critical Thinking	Critical Thinking	
Engagement and Collaboration	Engagement and Collaboration	
Personal Leadership and Integrity	Leadership and Integrity	
Technical Expertise	Managerial Proficiency	
well as integrity, honesty, openness, and respective holders, teams, and collaborative networks acr	ees are expected to demonstrate personal initiative and innovation of for diversity in their dealings with coworkers, peers, custome ors made. DCIPS employees are also expected to demonstrate co evolve, a commitment to excellence, and the courage and conviction	

This performance element was updated in February 2015. Review the updated definition below.

Personal Leadership and Integrity - Defense Intelligence employees are expected to demonstrate personal initiative and innovation, as well as integrity, honesty, openness, and respect for diversity in their dealings with coworkers, peers, customers, stakeholders, teams, and collaborative networks across the IC. Defense Intelligence employees are also expected to demonstrate core organizational, DoD and IC values, including selfless service, a commitment to excellence, and the courage and conviction to express their professional views and to constructively address or seek assistance to properly address concerns related to the protection of classified information in accordance with EO 13526.



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Rate Select each	Perform Manager performance element in the table to read its definition
Employees	Managers/Supervisors
Accountability for Results	Accountability for Results
Communication	Communication
Critical Thinking	Critical Thinking
Engagement and Collaboration	Engagement and Collaboration
Personal Leadership and Integrity	Leadership and Integrity
Technical Expertise	Managerial Proficiency
nnical Expertise - DCIPS employees are exp ecraft, and/or technical competence necessa	Managerial Proficiency ected to acquire and apply the knowledge, subject matter expert ry to achieve esults.

This performance element was updated in February 2015. Review the updated definition below.

Technical Expertise - Defense Intelligence employees are expected to acquire and apply knowledge, subject matter expertise, tradecraft, and/or technical competency necessary to achieve results. This includes the proper handling and protection of classified information in accordance with EO 13526.



Rate Select each perf	Formance element in the table to read its definition	
Employees	Managers/Supervisors	
Accountability for Results	Accountability for Results	
Communication	Communication	
Critical Thinking	Critical Thinking	
Engagement and Collaboration	Engagement and Collaboration	
Personal Leadership and Integrity	Leadership and Integrity	
Technical Expertise	Managerial Proficiency	
adership behaviors as all DCIPS employees. In their ganizational goals and objectives by creating share wironment that promotes diversity (of both pe	managers in expected to exhibit the same individual person supervision or managerial role, they are also expected to achie division and mission within their organizations; establishing a wo sous and points of view), critical thinking, collaboration, a lers, and networks in support of their objectives; and recognizi , innovation, and collaboration.	

This performance element was updated in February 2015. Review the updated definition below.

Leadership and Integrity - Defense Intelligence supervisors and managers are expected to exhibit the same individual personal leadership behaviors as all Defense Intelligence employees. In their supervisory or managerial role, they are also expected to achieve organizational goals and objectives by creating shared vision and mission within their organizations; establishing a work environment that promotes equal opportunity, integrity, diversity (of both persons and points of view), critical thinking, collaboration, protection of classified information in accordance with EO 13526, and information sharing; mobilizing employees, stakeholders, and networks in support of their objectives; and recognizing and rewarding individual and team excellence, enterprise focus, innovation, and



Rear wilder Rate Rate	Perform Manager nce element in the table to read its definition	
Employees	Managers/Supervisors	
Accountability for Results	Accountability for Results	
Communication	Communication	
Critical Thinking	Critical Thinking	
Engagement and Collaboration	Engagement and Collaboration	
Personal Leadership and Integrity	Leadership and Integrity	
Technical Expertise	Managerial Proficiency	
ssion area appropriate to their role as supervisors or ma an for, acquire, organize, integrate, develop, and prior sources to accomplish their organization's missions and pected to focus on the development and productivity of t	rs are expected to possess the technical proficiency in the pager. They are also expected to leverage that proficiency tize the human, financial, material, information, and oth objectives. In so doing, all supervisors and managers are al their subordinates by setting clear performance expectation partributions of individual employees to organizational resul possible provides to the provide the provides of the p	

This performance element was updated in February 2015. Review the updated definition below.

Managerial Proficiency - Defense Intelligence supervisors and managers are expected to possess the technical proficiency in their mission area appropriate to their role as supervisor or manager. They are also expected to leverage that proficiency to plan for, acquire, organize, integrate, develop, and prioritize human, financial, material, information (including classified), and other resources to accomplish their organization's mission and objectives. In so doing, all supervisors and managers are also expected to focus on the development and productivity of their subordinates by setting clear performance expectations, providing ongoing coaching and feedback, constructively addressing or seeking assistance to properly address concerns related to the protection of classified information in accordance with EO 13526, evaluating the contributions of individual employees to organizational results, and linking performance ratings and rewards to the accomplishment of those results.



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As we discussed earlier, in addition to creating your performance plan, you will also work with your Rating Official to document your developmental goals for the current evaluation period in the form of an IDP.





Your IDP may encompass three focus areas: Areas of development, strengths to leverage, and future career goals.





In summary, your IDP outlines the activities designed to improve your capabilities and experience and help you reach your career goals. The format for your IDP will be determined by your Component.



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Next, the Develop and Monitor phase will be covered.



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This phase occurs throughout the performance evaluation period. At the heart of this phase is regular and meaningful dialogue between you and your Rating Official regarding your performance. This can be both formal and informal.





Giving feedback is not just a manager/supervisor

responsibility. As an employee, you share the responsibility of identifying and communicating successes and difficulties related to your performance expectations.

Don't wait for your Rating Official to approach you. Rather, request periodic dialogue and feedback pertaining to your performance.





(Read the Helpful Hint.)



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In addition to regular, informal performance discussions, you will meet with your Rating Official for the mandatory and formal Midpoint Performance Review about half way through the evaluation period.

This is a good time for you to update your Rating Official on your progress towards achieving your performance goals, communicate any challenges you may be experiencing, and ask for any support you may need in terms of additional training, supplies, etc.

Your Component will determine the format for the Midpoint Review and documentation generated from the Midpoint Review will be sent to your Reviewing Official for approval.



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Next, we will review the Rate phase.





Under DCIPS, your performance is evaluated based on what you accomplish, your performance objectives, as well as how you accomplish it, your performance elements.





Using a mathematical formula we will discuss in a few minutes, the final rating for your performance objectives and performance elements comprise what is known as your Performance Evaluation of Record. It is during the Rate phase of the performance management process that your Rating Official will prepare your Performance Evaluation of Record.



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To begin the rating process, you will write a self-report of accomplishments at the end of the evaluation period. This is your opportunity to share with your Rating Official a summary of what you have accomplished.

Your Component has the flexibility to determine the format and timeframe of your self-report. In general though, you should submit your self-report no later than 15 calendar days after the last day of the evaluation period, and your self-report must address each of your performance objectives and provide examples for each performance element.





Your Rating Official will take your input in your self-report of accomplishments into consideration as well as his or her own observations throughout the year as he or she evaluates your performance.



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General Standards Scroll to see more content		
Performance Rating	Objectives Descriptors	Element Descriptors
OUTSTANDING (5)	The employee far exceeded expected results on the objective such that organizational goals were achieved that otherwise would not have been. At the summary level, the employee far exceeded expected results on all performance objectives such that organizational goals were achieved that otherwise would not have been. Such exemplary achievements serve as a role model for others.	The employee consistently performed all key behaviors at an exemplary level on the element. At the summary level, the employee consistently performed at an exemplary level on all performance elements. The employee served as a role model for others.

To rate your performance objectives, your Rating Official will review the objectives descriptors on the Performance Objectives and Elements Rating Descriptors table from DCIPS policy Volume 2011, Table 1, and will assign a single numerical score from 1 to 5 to each of your performance objectives.



General Standards Scroll to see more content		
Performance Rating	Objectives Descriptors	Element Descriptors
OUTSTANDING (5)	The employee far exceeded expected results on the objective such that organizational goals were achieved that otherwise would not have been. At the summary level, the employee far exceeded expected results on all performance objectives such that organizational goals were achieved that otherwise would not have been. Such exemplary achievements serve as a role model for others.	The employee consistently performed all key behaviors at an exemplary level on the element. At the summary level, the employee consistently performed at an exemplary level on all performance elements. The employee served as a role model for others.

Next, your Rating Official will evaluate how well you achieved the performance elements by again comparing your performance against the Performance Objectives and Elements Rating Descriptors table from DCIPS policy Volume 2011, Table 1.


Bate	mental Employees al Work Category
Accountabi	lity for Results
Successful	Outstanding
Accepts responsibility for own actions, whether or not they are successful.	Proactively takes responsibility for own actions, even when faced with challenges or criticism.
Adheres to schedules and, with guidance, organizes and prioritizes own tasks to complete assignments in a timely and effective manner, making adjustments as needed.	Puts forth effort to overcome obstacles and accomplish assignments; takes appropriate initiative to make adjustments to plans, goals, and priorities to meet deadlines.
With guidance, gains a basic understanding of available resources and the process for acquiring the resources needed to accomplish own work; uses time and resources in an efficient manner.	Takes initiative to expand knowledge of available resources and the process for acquiring them; makes meaningful suggestions for increasing efficiency in the use of resources.
Takes action to achieve meaningful results in support of organizational goals and objectives.	Consistently takes action to achieve outcomes and results that are superior in quality, quantity, and/or impact to what would ordinarily be expected at this level.
	ce elements are in the IC Performance y work category and work level

Your Rating Official will also utilize the IC Performance Standards guide's key behavior descriptors for your work category and work level. Descriptors are provided at the "Successful" and "Outstanding" performance levels for each element.



General Standards		Performa Managem
Performance	Objectives	Element
Rating	Descriptors	Descriptors
OUTSTANDING (5)	The employee far exceeded expected results on the objective such that organizational goals were achieved that otherwise would not have been. At the summary level, the employee far exceeded expected results on all performance objectives such that organizational goals were achieved that otherwise would not have been. Such exemplary achievements serve as a role model for others.	The employee consistently performed all key behaviors at an exemplary level on the element. At the summary level, the employee consistently performed at an exemplary level on all performance elements. The employee served as a role model for others.

Then, your Rating Official will assign a single numerical score from 1 to 5 to each of your performance elements and will input these numbers in the performance application tool. Both the DCIPS policy Volume 2011 standards and the IC standards document we've talked about are used as complementary guides for evaluating your performance and assigning standard ratings.





While the performance application tool will do all of the calculations, the following slides show the formula the tool will use to calculate your Performance Evaluation of Record.





First, the tool takes the average of the ratings for your performance objectives to one decimal place and multiples that average by 60%.





For your performance element ratings, the tool takes the average, again to one decimal place, and multiples that average by 40%.





The tool then adds your final performance objective rating and your final performance element rating to one decimal place to determine your final Performance Evaluation of Record.



Plan Rever Control Voltog Reter	Performance Management	
Overall Numeric Rating	Evaluation of Record	
4.6 to 5.0	5 - Outstanding Employee far exceeded expected results on the objective, such that organizational goals were achieved that otherwise would not have been.	
3.6 to 4.5	4 - Excellent Employee surpassed expected results in a substantial manner on the objective.	
2.6 to 3.5	3 - Successful Employee achieved the expected results.	
2.0 to 2.5	2- Minimally Successful Employee only partially achieved expected results.	
	1 - Unacceptable	
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Even though the tool generates a numerical number, when your Rating Official communicates your Performance Evaluation of Record, he or she will focus on your level of performance such as "Successful" or "Excellent."

The numerical rating is only used by your pay pool to determine your payouts.



DCIPS 101 – Performance Management



To bring this all together, let's look at the ratings shown above and given for the last evaluation period. Myla earned 3s on each of her three performance objectives. The average of these ratings is multiplied by 60% and the result is 1.8.

The average performance element ratings is 3.3. This average is multiplied by 40% and the result is 1.3. Adding 1.8 and 1.3 together we get 3.1 which is the Successful level of performance.





In addition to rating your performance objectives and performance elements, your Rating Official will write a narrative summary of your performance explaining why he or she feels you have earned the ratings he or she assigned. The format of your Rating Official's narrative will be determined by your Component.



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Once your Rating Official has submitted his or her ratings and narrative summary, your Reviewing Official will review them to ensure consistency, alignment between the ratings you were assigned and your Rating Official's supporting narrative, compliance with merit system principles, and adherence to other relevant policies.



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After the Reviewing Official approves your Performance Evaluation of Record it is forwarded to the Performance Management Performance Review Authority (PM PRA) for final review. The PM PRA will ensure compliance with merit system principles.





After the PM PRA has approved your final Performance Evaluation of Record, your Rating Official will meet with you to share it with you.





While there are a number of steps involved in the rating process, can you see how the rigor of the process helps to ensure equity through multiple checks and balances?



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The last phase in the performance management process is Reward.



DCIPS 101 – Performance Management



The DCIPS pay pool process governs the Reward phase. We will talk about the pay pool process in more detail later in this course. For now, know that during the Reward phase, the pay pool panel determines your performance-based salary increase and bonus if you are an employee in the banded structure, or your performance-based bonus if you are an employee in the graded structure based on your Performance Evaluation of Record.







In terms of the Reward phase timeline, before pay pools can begin deliberations, all of the performance evaluations must be completed and shared with employees. As such, pay pools generally don't begin their annual deliberations earlier than 45 days following the close of the performance evaluation period, which is generally around the 15th of November.

Next, the pay pool results must be approved by the PP PRA. Once pay pool results are approved, you will receive the payouts you have earned in early January, generally the first pay period of the new calendar year. Again, we will talk more about the pay pool process and the role of the PP PRA in the Pay Pool app later in this course.



DCIPS 101 – Performance Management



To further put the timeline in perspective, as the Reward phase is wrapping up, the Pay phase of the pay pool process is underway and the performance management process begins anew with the Plan phase.





We recommend reviewing all the DCIPS 101 files to gain a better understanding of the different components.