Title Page

Narration: N/A

Slide 1 - Purpose

Narration:

Welcome to the Defense Civilian Intelligence Personnel System - or DCIPS - for Military Supervisors course. As a military supervisor, you may supervise both un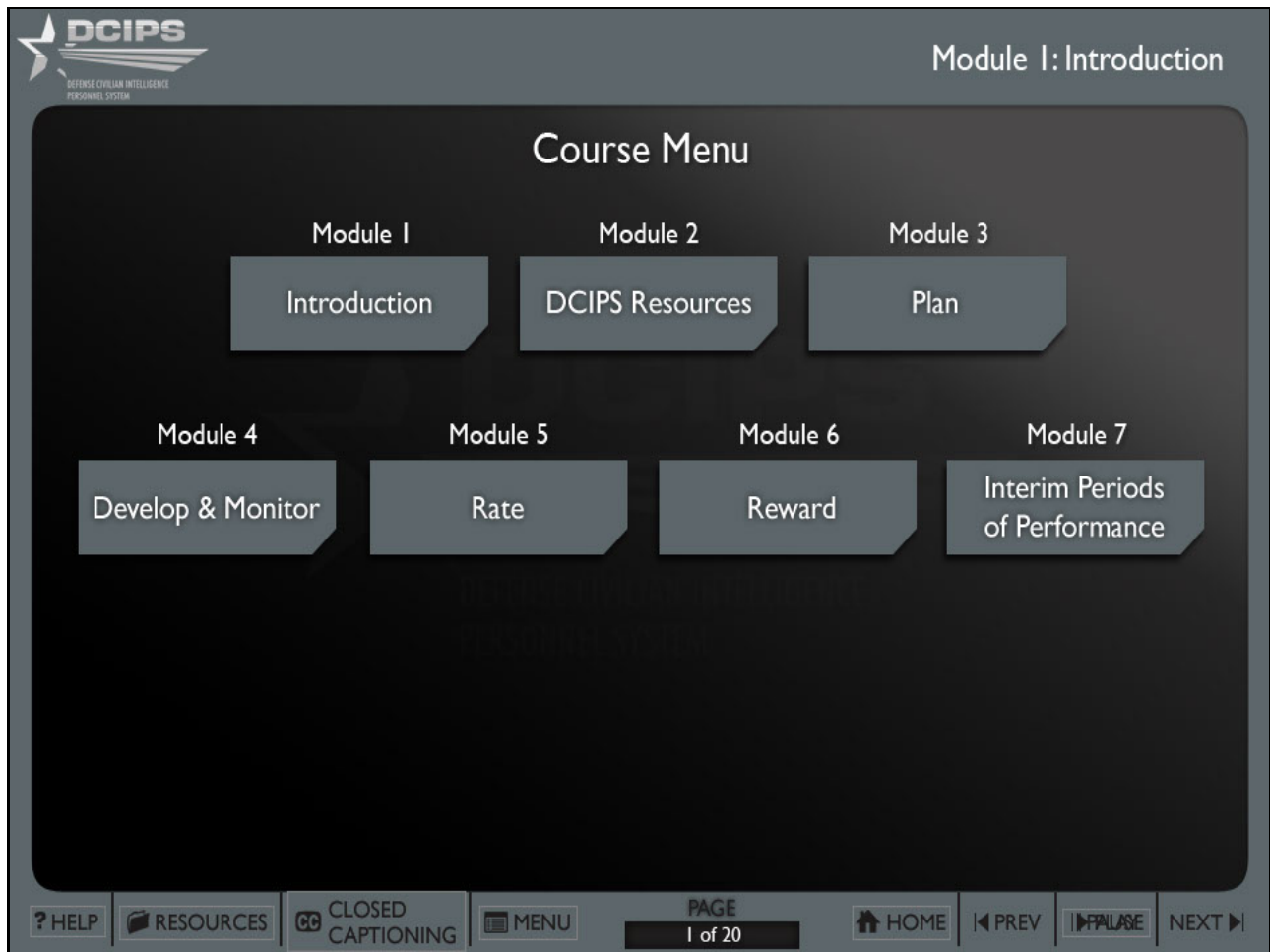iformed and civilian intelligence personnel. The purpose of this course is to help you successfully manage your civilian intelligence personnel under DCIPS by understanding your specific responsibilities and how they differ from supervising military personnel.

Slide 1a - Course Menu Intro

Narration:

There are a total of seven short modules in this course. You are currently in Module 1, the Introduction. In the remaining six modules, you'll learn about the DCIPS resources available to assist you and your responsibilities in the four phases – Plan, Develop and Monitor, Rate, and Reward. In addition, this course covers how to treat Interim Periods of Performance in DCIPS.

Slide 1b - Prerequisite

Narration:

DCIPS 101 is a prerequisite for this course. It provides an in-depth description of the DCIPS process and is an important foundation for the material we will cover today. You will set yourself up for failure if you haven't taken that course.

Slide 2 - DCIPS Volumes

Narration:

One last point before we jump in, this training is based upon policy described in Volume 2011, DCIPS Performance Management. The DCIPS Volumes are the 2000 series volumes under DoD Instruction 1400.25. A copy of Volume 2011 can be found in the Resources section of this course.

Slide 3 - Military Systems vs. DCIPS

Narration:

You may already be familiar with managing personnel using military performance evaluation systems, such as Fit Reps or OERs. There are several differences between these systems and DCIPS. Let's look at some.

Military systems tend to be an end-of-year activity, while the emphasis in DCIPS is on-going performance feedback and discussion throughout the performance evaluation period.

In military systems, personnel generally do not have individualized performance objectives aligned to current mission goals and objectives, whereas personnel in DCIPS do. In DCIPS, Rating Officials and employees meet at the beginning of the performance evaluation period to establish performance objectives and discuss performance expectations. Performance objectives are relevant and appropriate for an employee's work level and pay band or grade; everyone in DCIPS does not have the same performance objectives.

In military systems, ratings take into account the rater profiles in which an individual's performance is compared against what is generally perceived as acceptable, rather than against defined rating standards. There is less measurable distinction between "how" and "what" personnel accomplish. In DCIPS, quotas are forbidden. There are meaningful distinctions between levels of performance based on rating standards defined in DoDI 1400.25, Volume 2011. Employees are rated on both performance elements, the "how," and performance objectives, the "what." All DCIPS Rating Officials rate employees against the defined standards in Volume 2011.

Ratings in military systems provide major input to promotion boards and can significantly impact a person's entire career. Whereas, DCIPS ratings are reflective of a single performance evaluation period and are used to inform that cycle's pay pool for potential payouts for that performance evaluation period only. They can also act as a tool for performance improvement.
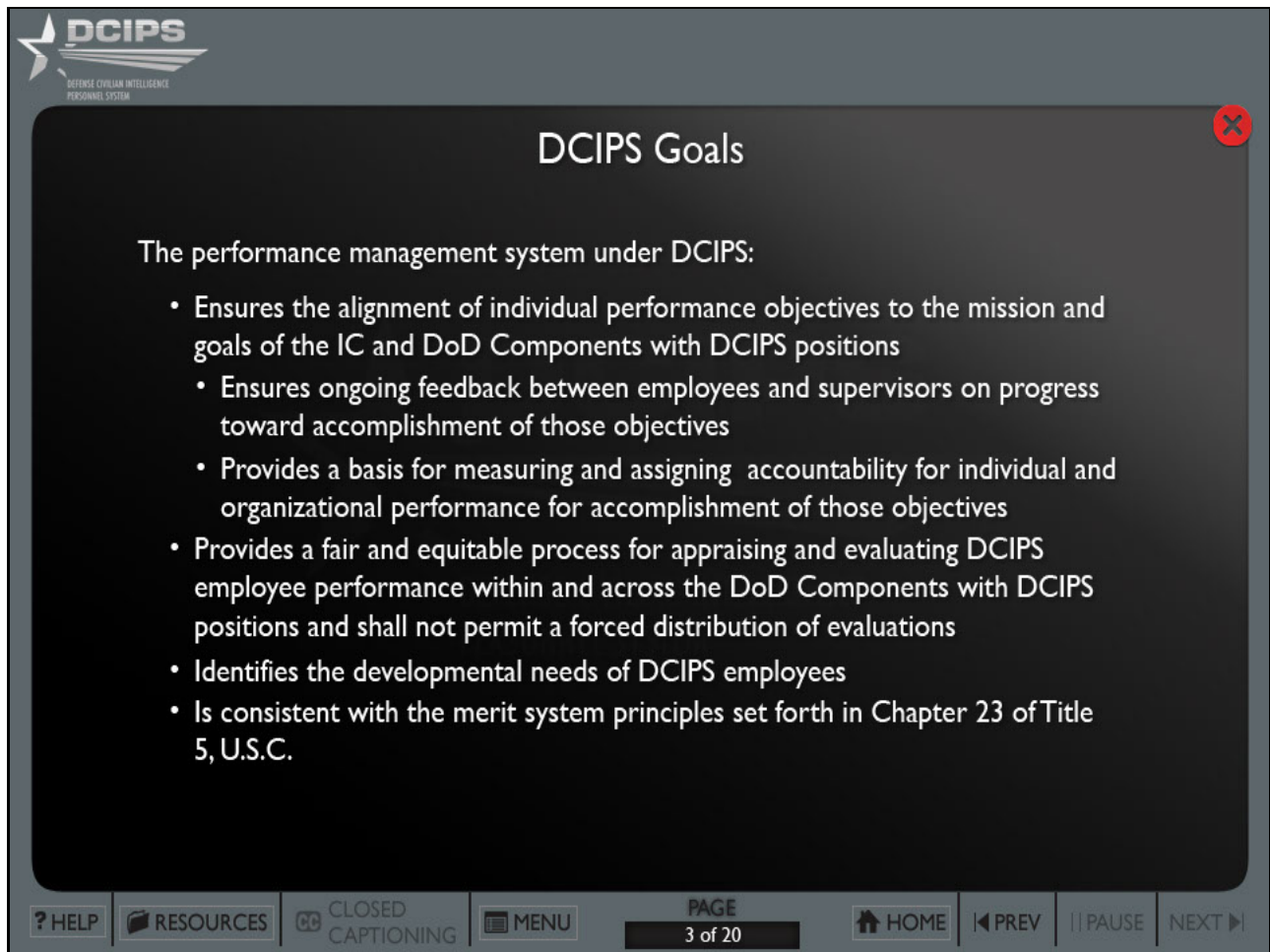
Military performance evaluations are rater focused, whereas in DCIPS, employees write a Self-Report of Accomplishments at the Midpoint, if their Component requires it, and a mandatory self-report at the end of the performance evaluation period.

Another primary difference is that DCIPS provides a reconsideration process in which DCIPS employees can challenge their Performance Evaluation of Record. Reconsiderations generally do not exist in military systems, or are much more difficult to defend.

Finally, military systems are mission focused and tend to use more non-monetary forms of motivation and rewards. Whereas DCIPS uses performance-based compensation in which employee performance is used as input in the payout process. DCIPS still has non-monetary forms of motivation and rewards, but performance plays a big role in the total rewards strategy.

Use the scroll bar to review any of the primary differences between military performance evaluation systems and DCIPS that we have discussed. To familiarize yourself with the goals of DCIPS as defined in Volume 2011, select the document icon.

Slide 3a - DCIPS Goals Pop-up

DCIPS Goals

The performance management system under DCIPS:

- Ensures the alignment of individual performance objectives to the mission and goals of the IC and DoD Components with DCIPS positions
  - Ensures ongoing feedback between employees and supervisors on progress toward accomplishment of those objectives
  - Provides a basis for measuring and assigning accountability for individual and organizational performance for accomplishment of those objectives
- Provides a fair and equitable process for appraising and evaluating DCIPS employee performance within and across the DoD Components with DCIPS positions and shall not permit a forced distribution of evaluations
- Identifies the developmental needs of DCIPS employees
- Is consistent with the merit system principles set forth in Chapter 23 of Title 5, U.S.C.

| ? HELP | RESOURCES | CLOSED CAPTIONING | MENU | PAGE 3 of 20 | HOME | PREV | PAUSE | NEXT |

Narration: N/A

Slide 4 – DCIPS at a Glance

Narration:

With a better understanding of the primary differences between military performance evaluation systems and DCIPS, let's briefly review what DCIPS is. Bottom line, DCIPS is about performance and results. It is a performance management process designed to create a performance culture in which the performance and contributions of the workforce are linked to the mission and where there is a shared vision of what needs to be accomplished. It includes on-going, performance feedback conversations between employees and Supervisors or Rating Officials, it rates employees using an equitable, consistent evaluation process based on rating standards, and it recognizes and rewards employees for their contribution to mission accomplishment.

Slide 5 – DCIPS at a Glance - 4 Phases
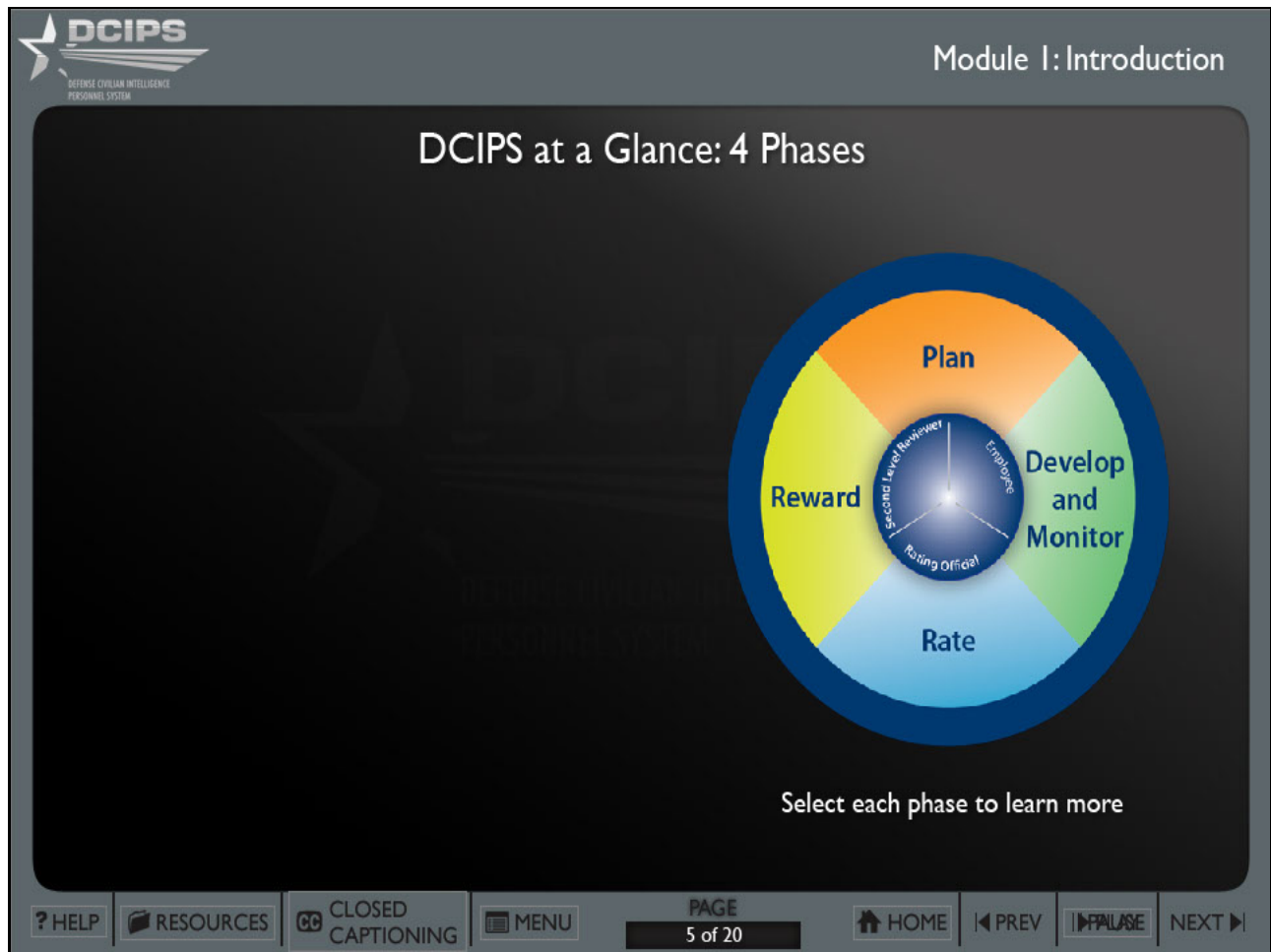
Narration:

DCIPS is not just a once-a-year performance evaluation of your employees. It consists of four phases – Plan, Develop and Monitor, Rate, Reward. These phases encompass the entire performance period. Later in this course we will go into detail pertaining to your specific responsibilities for each phase of the process, but for now, let's briefly look at the overall focus of each phase. Select each phase on the performance wheel.

Plan

- Supervisor/Rating Official and employee work together to create the performance plan and IDP.

- The performance plan consists of performance objectives and six standard performance elements.

- Performance objectives are "what" an employee is expected to accomplish during the performance evaluation period. Performance elements focus on the "how."

- The IDP outlines the employee's development goals.

Develop and Monitor

- Supervisor/Rating Official and employee engage in continuing dialog, both formal and informal, throughout performance evaluation period to manage performance.

- Conduct and document the mandatory Midpoint Performance Review.

- Dialog focuses on progress towards performance objectives and elements and events or obstacles that could prevent successful achievement of them.

Rate

- Employee completes the self-report of accomplishments.

- Rating Official rates employee's performance on the performance objectives and elements against the standards.

- Reviewing Official and PM PRA review performance evaluations to ensure consistency.

- Supervisor/Rating Official share Performance Evaluations of Record with employees once given approval to do so.

- Performance Evaluations of Record are submitted to Pay Pool for consideration for rewards.

Reward

- The final Performance Evaluations of Record are used as primary performance input during the pay pool process.

- Rating Officials communicate pay pool payout decisions to DCIPS employees once given approval to do so

Slide 6 - Reward Phase Note

Narration:

A quick note about the Reward Phase. Pay pools govern the Reward Phase of DCIPS and commence once the performance evaluation period is finished. For the purpose of making annual performance-based payout decisions, the pay pool process is separate from the performance management process. Ratings cannot be changed once Performance Evaluations of Record are sent to the Pay Pool Panel. There is a separate course on Pay Pools on the DCIPS training website if you'd like more information on this process.

Slide 7 – DCIPS at a Glance - Roles

Narration:

Next, let's talk about DCIPS roles and responsibilities. There are five primary roles within DCIPS with which you should be familiar. If you are taking this course, you will probably be filling one of these roles as part of the DCIPS process. Let's take a look at the responsibilities for these roles. Select each role to learn more.

Slide 8 – DCIPS Roles - Rating Official

Narration:

Lieutenant Colonel Lewis, an O-5, supervises a staff of ten, five of whom are civilian intelligence employees. This means that Colonel Lewis is a Rating Official in the DCIPS process for her civilian intelligence employees.

As the Rating Official, Colonel Lewis is responsible for development and discussion of the performance plan and IDP, managing performance throughout the performance period, providing meaningful feedback regarding employee performance, rating performance against the standards, and preparing the end-of-year performance evaluation for each of her employees.

To see a complete list of Colonel Lewis' Rating Official responsibilities, select the folder. Then, select the "Return" button to learn about another role.

Slide 9 – DCIPS Roles - Supervisor

Narration:

John Lee manages 2 DCIPS employees who have been temporarily assigned to his unit, but still report to other DCIPS Rating Officials. In this situation, John is not the Rating Official for these employees. In a situation like this, John, is responsible and accountable for collaborating with the Rating Officials in their performance management responsibilities for the two employees.

To see a complete list of John's Supervisor when not Rating Official responsibilities, select the folder. Then, select the "Return" button to learn about another role.

Slide 10 - DCIPS Roles - Reviewing Official

Narration:

Colonel King, an O-6, leads several managers who function as Rating Officials within DCIPS. In addition to serving as the Rating Official for the civilian intelligence managers who report to her, she lso serves as the Reviewing Official for all civilian intelligence employees who report to the Rating Officials that she leads. As the Reviewing Official, Colonel King is responsible for reviewing and approving performance evaluations. She reviews them for accuracy and equity across employees and compliance with DCIPS policy.

To ensure that managers are rating their employees equitably and consistently, Colonel King initiates rater consistency meetings with her Rating Officials to ensure that they have a common understanding of performance against the standards for each work level.

To see a complete list of Colonel King's Reviewing Official responsibilities, select the folder. Then, select the "Return" button to learn about another role.

Slide 11 - DCIPS Roles - Pay Pool Panel Member

Narration:

The pay pool panel member is appointed to a board that determines the pay pool payouts. Pay pool responsibilities go beyond the scope of this course. If you have been appointed to a pay pool, you will need to take additional training on pay pools. Contact your local HR administrator or visit the DCIPS training website.

Select the "Return" button to learn about another role.

Slide 12 - DCIPS Roles - PM PRA

Narration:

Mark Jensen is the PM PRA in his Component. He is responsible for oversight of the performance evaluation process, verifies compliance with merit system principles and completes a final review before performance evaluations are final. He also resolves requests for formal reconsideration.

To see a complete list of Mark's PM PRA responsibilities, select the folder. Then, select the "Return" button to learn about another role.

Slide 13 - Overview of Resources
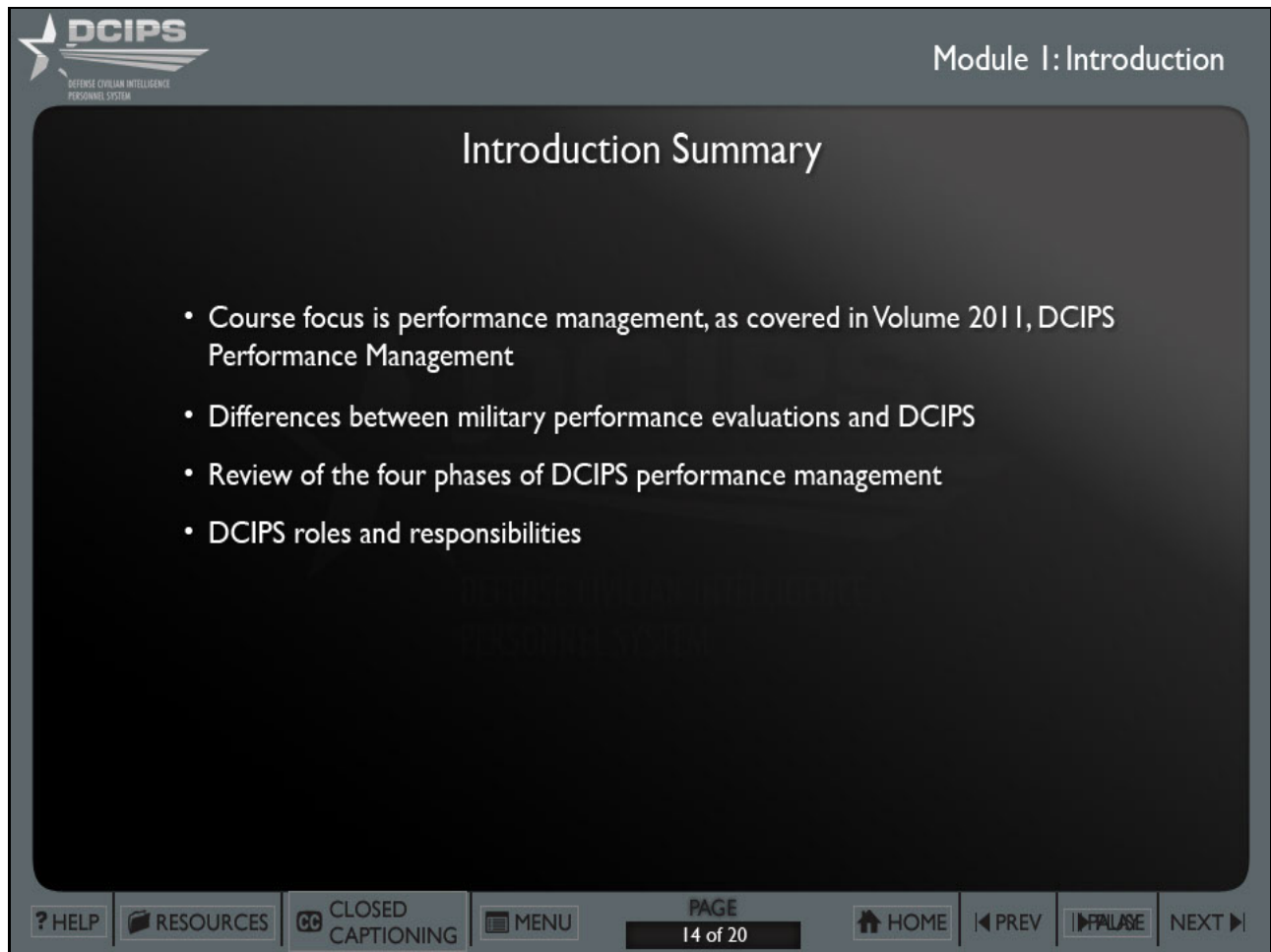
Narration:

One more quick note before we wrap up this module. It's important to know, especially if you are new to DCIPS, that there are many resources available to assist you with your responsibilities. Before beginning to undertake DCIPS performance management activities with your employees, it's a good idea to collect these valuable resources for references. In Module 2, you will learn about many of these resources, such as Volume 2011 and the IC Performance Standards.

Slide 14 - Summary

Narration:

We've reached the end of the Introduction module. Let's review what we discussed.

We identified that the focus of this course is performance management as covered in Volume 2011, DCIPS Performance Management, we discussed the differences between military performance evaluations and DCIPS, and we reviewed the four phases of DCIPS performance management and the DCIPS roles and responsibilities.

Slide 15 - Knowledge Check

Narration:

Before we conclude this module, let's take moment to review a few key points. Answer each question on the corresponding screens.

Slide 16 - Knowledge Check 1 of 4

Narration: N/A

Answer: True. In addition, the performance management system provides a basis for measuring and assigning accountability for individual and organizational performance for accomplishment of performance objectives.

Slide 17 - Knowledge Check 2 of 4

Narration: N/A

Answer: B and C.

Slide 18 - Knowledge Check 3 of 4

Narration: N/A

Answer: A and C.

Slide 19 - Knowledge Check 4 of 4

Narration: N/A

Answer: A and B.

Slide 20 - End

Narration:

Congratulations on completing Module 1: Introduction. Select another module of your choice from the menu to continue the course. Once you have reviewed all seven modules, select the "Conclusion" button to end the course.

Slide 1 - Performance Management Phases

Narration:

Each phase of the DCIPS performance management process has certain requirements that must be met. In this module, we are going to identify the policy documents and resources that will help you complete your responsibilities pertaining to these requirements. Modules 3-6 will go into more detail pertaining to what your responsibilities are and how to complete them.

Select each phase on the performance management wheel to learn about the resources available to assist you for that phase.

Slide 2 - Plan Phase

Narration:

During the Plan Phase, your responsibilities are to attend a rater consistency meeting to arrive at a common expectation of performance with other raters and create, if you are a Rating Official, or approve if you are a Reviewing Official, a performance plan and Individual Development Plan for each of your civilian intelligence employees. If you are a Supervisor, who is not the Rating Official, you will collaborate with the Rating Official. There are a number of resources to assist you with the Plan Phase responsibilities. Select each resource item to learn more about it, as well as how you can access it. After you have reviewed the resource items, select the button to review another phase.

Volume 2011- DCIPS Performance Management
This policy document explains the DCIPS performance management system. It:
- Establishes performance management policies
- Outlines responsibilities for each performance management role
- Prescribes procedures for the DCIPS performance management system
- Defines the performance elements
- Contains standards for rating performance objectives and elements

The DCIPS Volumes are the 2000 series volumes that are under DoD Instruction (DoDI) 1400.25. Refer to the DoD issuances website for policy updates: http://www.dtic.mil/whs/directives/corres/html/CPM_table2.html

Select the document icon to download a PDF.

Volume 2010 – DCIPS Professional Development
This policy document provides specific guidance on the IDP process. Included in it are the five mandatory sections a civilian employee's IDP must include.

Refer to the DoD issuances website for policy updates:
http://www.dtic.mil/whs/directives/corres/html/CPM_table2.html

Volume 2007- DCIPS Occupational Structure
Included in this policy document is a definition of the DCIPS work levels. Knowing the work levels will help when establishing rater consistency and will help to ensure your civilian employees have performance objectives that are appropriate for their work level in their performance plan.

Refer to the DoD issuances website for policy updates:
http://www.dtic.mil/whs/directives/corres/html/CPM_table2.html

Position Descriptions
Position descriptions are narrative descriptions of work that outline the duties and responsibilities assigned to a specific position and are essential tools when writing performance objectives for an employee's performance plan. They should provide information on the mission category, work category, work level, pay band or grade, and the occupational series and title. Before writing performance objectives, you should review the position descriptions for your civilian intelligence employees.

Contact your HR Professional or Supervisor if you do not have copies of the position descriptions applicable to your work unit.

Mission Statement(s)
Mission statements identify the objectives and goals of your Component. You may also have a mission statement for your work unit. As performance objectives should align to mission goals, it is important that you are familiar with the goals for your Component before writing performance objectives for an civilian intelligence employee's performance plan.

Contact your HR Professional or Supervisor for a copy of any applicable mission statements.

IC Performance Standards
The IC performance standards document can assist in rating performance elements. It defines the performance elements by work category and work level. While the document lists the standards for banded employees, you can use the DCIPS Occupational Structure diagram to "cross-walk" the band to the equivalent grade. The document also describes performance elements that are considered "Successful" and "Outstanding" in each pay band for each work category and work level within the category. It is only intended to assist you in understanding performance elements; DoDI 1400.25 V2011 Tables 1 and 2 remain the standards against which you will evaluate objectives and elements.

Select the document icon to download a PDF.

DCIPS Occupational Structure Diagram
This diagram visually depicts the DCIPS Occupational Structure outlined in Volume 2007. The DCIPS Occupational Structure is the means by which all positions within the Defense Intelligence Enterprise are organized. Mission categories, work categories, and work levels comprise the occupational structure for all DCIPS Components. Its purpose is to establish common, core policies and processes for structuring, categorizing, and aligning civilian work in order to most effectively and efficiently accomplish the mission.

Being familiar with the DCIPS Occupational Structure will help you understand how DCIPS positions are organized throughout the Enterprise and will help you "cross-walk" pay band positions in the IC Performance Standards document.

Select the document icon to download a PDF.

Rater Consistency Handbook
This handbook is intended to assist management teams (Rating Officials, Reviewing Officials, Performance Management Performance Review Authority (PM PRA), and Senior Leaders) in understanding and implementing rater consistency. The handbook includes a brief explanation of what rater consistency is, the value of rater consistency discussions, a rater consistency activity timeline, rater consistency roles and responsibilities, and checklists for rater consistency discussions held at the beginning, midpoint, and end of the performance evaluation period.

You can access the handbook at http://dcips.dtic.mil/training.html

Setting Performance Expectations WBT
This web-based training course explains how to translate the standards into meaningful performance expectations when you meet with your civilian intelligence employees to discuss their performance plan.

You can access the course at http://dcips.dtic.mil/training.html

Overcoming Challenges in Writing Performance Objectives WBT
This web-based training course explores possible solutions to common challenges you may encounter when writing performance objectives for your civilian intelligence employee's performance plan.

You can access the course at http://dcips.dtic.mil/training.html

Slide 3 - Develop and Monitor Phase

Narration:

During the Develop and Monitor Phase, Rating Officials and Supervisors are responsible for managing the performance of their civilian intelligence employees to achieve the goals and objectives of the mission. This includes providing ongoing meaningful performance feedback to their civilian intelligence employees and conducting at least one documented Midpoint Performance Review. Reviewing Officials are responsible for ensuring these activities happen. There are resources to assist with these responsibilities. Select each resource item to learn more about it, as well as how you can access it. After you have reviewed the resource items, select the button to review another phase.

Volume 2011- DCIPS Performance Management
This policy document explains the DCIPS performance management system. It:
- Establishes performance management policies
- Outlines responsibilities for each performance management role
- Prescribes procedures for the DCIPS performance management system
- Defines the performance elements
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Select the document icon to download a PDF.

COACH for Success WBT
This web-based training course provides a model and process for effective coaching and is particularly helpful in giving difficult performance feedback to your employees.

You can access the course at http://dcips.dtic.mil/training.html

Putting Yourself in the Other Person's Shoes WBT
This web-based training course provides strategies to improve communication with your employees.

You can access the course at http://dcips.dtic.mil/training.html

Slide 4 - Rate Phase

Narration:

During the Rate Phase, your responsibilities are to meet with other raters to ensure your ratings are consistent with expected levels of performance against the standards for your employees, and then depending on the responsibilities for your role, participate in the end-of-year performance evaluation process. There are a number of resources to assist with these responsibilities. Select each resource item to learn more about it, as well as how you can access it. After you have reviewed the resource items, select the button to review another phase.

Volume 2011- DCIPS Performance Management
This policy document explains the DCIPS performance management system. It:
- Establishes performance management policies
- Outlines responsibilities for each performance management role
- Prescribes procedures for the DCIPS performance management system
- Defines the performance elements
- Contains standards for rating performance objectives and elements

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Select the document icon to download a PDF.

General Standards for Rating Performance Objectives and Elements
This document includes Tables 1 and 2 from Volume 2011, the general standards for rating performance objectives and elements and how to convert the average rating to the Performance Evaluation of Record.

Select the document icon to download a PDF.

PAA Tool Guide
The PAA Tool is the Performance Appraisal Application (PAA) tool. It is used by the Services, DSS, and USDI to record the Performance Evaluation of Record. Contact your HR Professional or Supervisor to obtain access.

You can access a guide on how to use the tool at http://dcips.dtic.mil/training.html

Rater Consistency Handbook
This handbook is intended to assist management teams (Rating Officials, Reviewing Officials, Performance Management Performance Review Authority (PM PRA), and Senior Leaders) in understanding and implementing rater consistency. The handbook includes a brief explanation of what rater consistency is, the value of rater consistency discussions, a rater consistency activity timeline, rater consistency roles and responsibilities, and checklists for rater consistency discussions held at the beginning, midpoint, and end of the performance evaluation period.

You can access the handbook at http://dcips.dtic.mil/training.html

IC Performance Standards
The IC performance standards document can assist in rating performance elements. It defines the performance elements by work category and work level. While the document lists the standards for banded employees, you can use the DCIPS Occupational Structure diagram to "cross-walk" the band to the equivalent grade. The document also describes performance elements that are considered "Successful" and "Outstanding" in each pay band for each work category and work level within the category. It is only intended to assist you in understanding performance elements; DoDI 1400.25 V2011 Tables 1 and 2 remain the standards against which you will evaluate objectives and elements.

Select the document icon to download a PDF.

Evaluating Performance and Preparing Performance Narratives WBT
This web-based training course describes how to rate your civilian intelligence employees' performance objectives and elements consistently and fairly.

You can access the course at http://dcips.dtic.mil/training.html

How to Hold a Formal Feedback Review WBT
This web-based training course outlines the steps to take when preparing for the feedback review, during the feedback review, and after.

You can access the course at http://dcips.dtic.mil/training.html

Slide 5 - Reward Phase

Narration:

The pay pool process step of "Pay" governs the Reward Phase. The Performance Evaluations of Record completed during the Rate Phase are used as primary performance input during the pay pool process. While the Pay Phase of the pay pool process is ongoing, the Plan Phase of the performance management process begins again. The two processes are separate, but interdependent.

During the Pay Phase of the pay pool process, as a Rating Official you will communicate pay pool payout decisions to your DCIPS employees. Check with your supervisor or HR Professional for any Component-specific guidance.

Select the button to review another phase.

Slide 6 - End

Narration:

Congratulations on completing Module 2: DCIPS Resources. In this module, we discussed your primary responsibilities for each phase and the resources available to assist you.

Select another module of your choice from the menu to continue the course. Once you have reviewed all seven modules, select the "Conclusion" button to end the course.

Slide 1 - Timeline
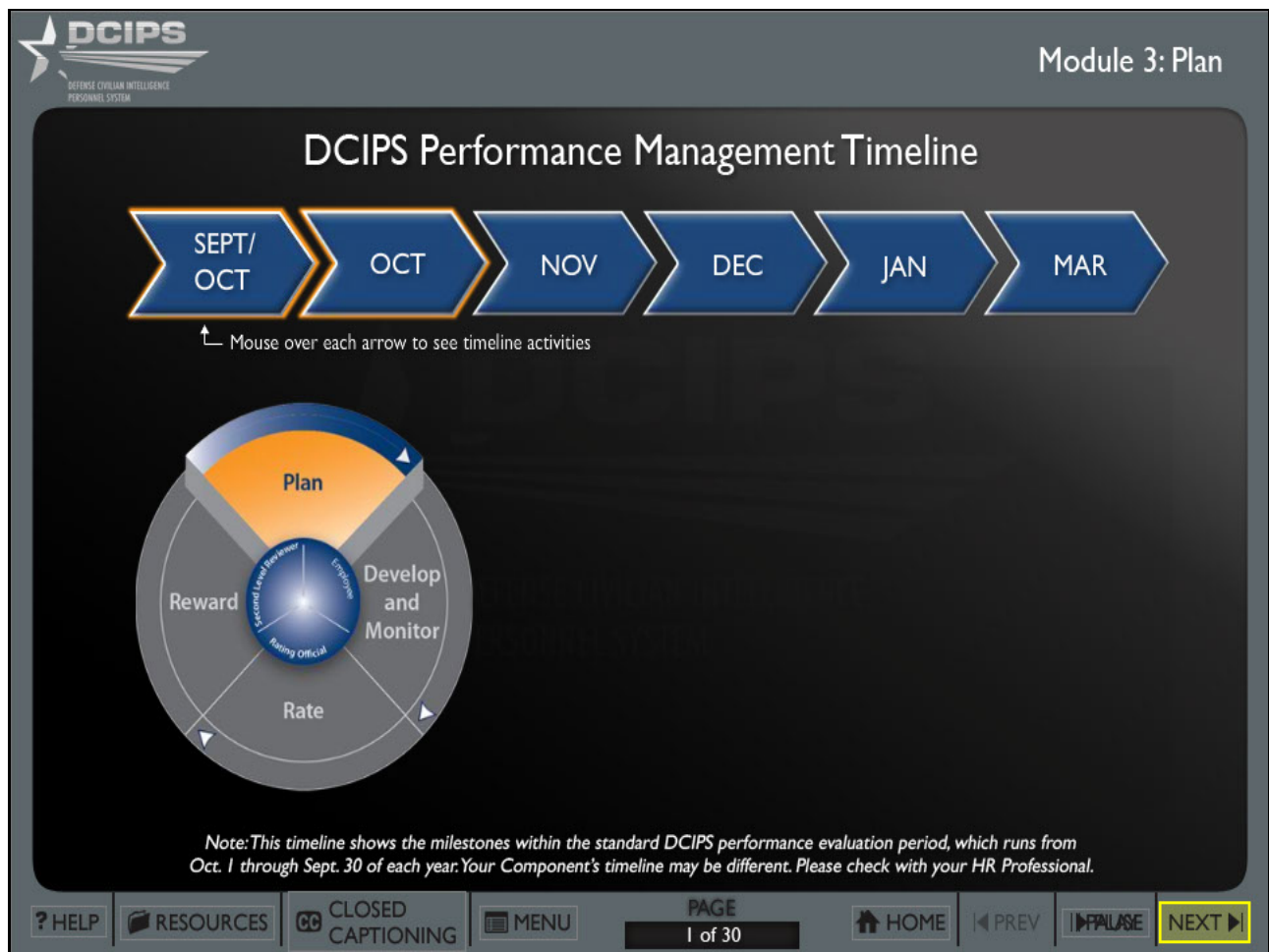
Narration:

In this module, we will discuss what happens at the beginning of the performance management process during the Plan Phase. If you haven't done so already, take a few moments to roll over each arrow on the DCIPS performance management timeline, paying particular attention to the sections highlighted in orange as they pertain to the Plan Phase.

Timeline Content:

Sept/Oct –
- Performance planning for next performance period begins
- Rating Officials, Reviewing Officials and PM PRA meet to establish performance expectations for the next performance evaluation period
- Current period ends on Sept. 30

Oct –
- New performance period begins on Oct. 1
- Employee performance plans and IDPs are in place within 30 days after the beginning of performance evaluation period
- Assess performance from the prior performance evaluation period (Oct/Nov timeframe):
    - Employees submit self-report of accomplishments

- Rating Official assigns ratings and writes narrative(s)
- Rating Officials, Reviewing Officials and PM PRA meet to discuss rater consistency
- Reviewing Official and PM PRA approve performance evaluations

Nov –
- Rating Official shares final Performance Evaluation of Record with employees, once given approval to do so
- Final Performance Evaluation of Record submitted to Pay Pool for pay pool payout considerations

Dec –
- Notice of pay pool results
- Rating Officials communicate pay pool payout decisions to DCIPS employees, once given approval to do so

Jan - Pay pool payouts are generally effective the first pay period in January

Mar –
- Rating Officials, Reviewing Officials and PM PRA meet to ensure rater consistency
- Mandatory Midpoint Review

Slide 2 – Plan Phase Activities: October

Narration:

As we saw on the timeline, the new performance evaluation period starts on October 1, if your Component follows the standard DCIPS performance evaluation period. If your Component follows another timeline, your start date will be different.

Slide 3 - Plan Phase Activities

Narration:

Regardless of the actual start date, within 30 days of the beginning of a performance evaluation period, all civilian intelligence employees must have an approved performance plan and Individual Development Plan, referred to as an IDP. Accomplishing this requirement is the primary focus of the Plan Phase and as a Rating Official, Supervisor or Reviewing Official you have specific duties to ensure it happens

Slide 4 - Plan Phase Activities

Narration:

It's also important for you to know that civilian intelligence employees newly-appointed or newly-assigned to a position under your supervision must also have an approved performance plan and IDP within thirty days from the date of the appointment to the position. Thus, whether it's a new position appointment or assignment or the beginning of a new performance evaluation period, all DCIPS employees must have an approved performance plan and IDP in place within a thirty day window.

Slide 5 - Plan Phase Activities: Sept/Oct

Narration:

Now, let's look at your Plan Phase responsibilities. While the standard DCIPS performance evaluation period starts on Oct. 1, you may have also noticed on the timeline that performance planning begins prior to that. Particularly, as a Rating Official, Reviewing Official or PM PRA it is your responsibility to meet as a management team to establish expected standards for performance for the next performance evaluation period prior to meeting with your employees to create the performance plan and IDP.

Slide 6 - Plan Phase Activities

Narration:

As we discussed in Module 1, DCIPS civilian intelligence employees are rated against performance standards outlined in Volume 2011. During rater consistency meetings, your management team will prepare for success by ensuring that you are applying the standards consistently and appropriately, that performance objectives are appropriate for the work levels in your work unit and are aligned with your Component's mission, and that you have a shared understanding of the performance expectations for the work levels in your work group.

Having the rater consistency discussion prior to when Rating Officials meet with their employees helps to ensure that the employees and the management team start the performance evaluation period on the same page when it comes to performance expectations and helps to build trust in the system to produce equitable performance ratings.

Slide 7 - Plan Phase Activities

Narration:

After attending a rater consistency meeting, the next two activities of the Plan Phase are to establish a performance plan and IDP for each of your civilian intelligence employees. These are both mandatory activities. Let's talk specifically about your responsibilities for each one. We'll start with the performance plan.
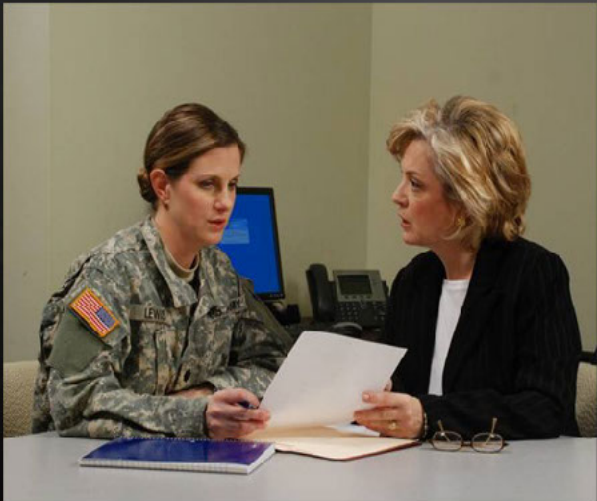
Slide 8 - Performance Plan

Narration:

A performance plan is a document that outlines your civilian intelligence employee's performance expectations for the evaluation period. It includes SMART performance objectives, which are specific descriptions of "what" your employee needs to accomplish during the performance evaluation period. And, it contains performance elements, which focus on behavioral expectations; they are "how" your employee should perform.

Slide 9 - Performance Plan
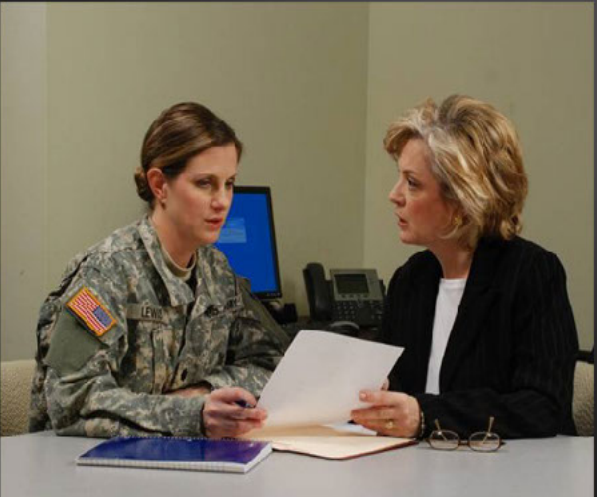
Narration:

As a Rating Official, you will create the performance plan in consultation with your employee. If you are a Supervisor, who is not the Rating Official, you will collaborate with the Rating Official and the employee during the process.

Slide 10 - Performance Plan

Narration:

As a Reviewing Official you will review and approve each performance plan to ensure:

- Consistency with organizational goals and objectives;
- Appropriateness to employee experience, developmental needs and work level; and
- Equity with other plans within your purview.

As ratings are based on performance measured against the performance objectives, you'll save yourself time and potential headaches by ensuring performance objectives are clear, aligned and appropriate rather than just signing off on them. You are also more likely to have consistent, accurate ratings as well.

Slide 11 - Branch Menu

Narration:

As we discussed a moment ago, performance plans consist of performance objectives and elements. Select either the performance objective or performance element button and let's briefly review these items.

Slide 12 – Performance Objectives

Narration:

Typically, a performance plan includes three to six performance objectives, and must include at least one objective.

Slide 13 – Performance Objectives

Narration:

Performance objectives should be SMART that is specific, measurable, achievable, relevant and time-bound. You learned about SMART objectives in DCIPS 101. As a reminder, SMART performance objectives are specific descriptions of what the employee needs to accomplish during the evaluation and are written at the Successful level.

Slide 14 – Performance Objectives

Narration:

Performance objectives should also be aligned. To ensure your employees' performance objectives are aligned with important mission-related outcomes, they should cascade from Enterprise mission goals.

Slide 15 – Performance Objectives

Narration:

Finally, there are two types of performance objectives: non-supervisory and supervisory and/or managerial. Take a moment to review the primary differences listed in the table. Then, select the "Performance Elements" button to review this item of the performance plan. If you have already reviewed the performance elements section, select the "Next" button to continue with the course.

Slide 16 – Performance Elements

Narration:

Performance elements are a standard set of behaviors necessary for accomplishing work. They identify "how" an employee is to achieve his/her performance objectives. As you learned in DCIPS 101, DCIPS employees are evaluated on performance objectives and performance elements during the end-of-year performance evaluation process.

When you meet with your employees to discuss their performance plan, it is important that you establish a shared understanding of performance expectations for each of the elements based on your employees' work levels. Otherwise, your employees and you may interpret the performance element definitions differently.

Slide 17 – Performance Elements

Narration:

DCIPS employees are evaluated on six performance elements that are standard across the Enterprise and Intelligence Community. The four elements inside the yellow box are the same for employees and managers and supervisors. The remaining two elements are specific to employees or managers and supervisors. Select each performance element to read its definition. After you have reviewed the definition, select the "Performance Objectives" button to learn about this item of the performance plan. If you have already reviewed the performance objective section, select the "Next" button to continue with the course.

Accountability for Results - DCIPS employees are expected to take responsibility for their work, setting and/or meeting priorities, and organizing and utilizing time and resources efficiently and effectively to achieve the desired results consistent with their organization's goals and objectives. In addition, supervisors and managers are expected to use these same skills to accept responsibility for and achieve results through the actions and contributions of their subordinates and their organization as a whole.

Communication - DCIPS employees are expected to effectively comprehend and convey information with and from others in writing, reading, listening, and verbal and non-verbal action. Employees are expected to use a variety of media in communicating and making presentations appropriate to the audience. In addition, DoD IC supervisors and managers are expected to use effective communication skills to build cohesive work teams, develop individual skills, and improve performance.

Critical Thinking - DCIPS employees are expected to use logic, analysis, synthesis, creativity, judgment, and systematic approaches to gather, evaluate, and use multiple sources of information to inform decisions and outcomes. In addition, supervisors and managers are expected to establish a work environment where employees feel free to engage in open, candid exchanges of information and diverse points of view.

Engagement and Collaboration - DCIPS employees have a responsibility to provide information and knowledge to achieve results. They are expected to recognize, value, build, and leverage organizationally-appropriate, diverse collaborative networks of coworkers, peers, customers, stakeholders, and teams within an organization and/or across the DoD Components with DCIPS positions and the IC. In addition, DCIPS supervisors and managers are expected to create an environment that promotes engagement, collaboration, integration, and the sharing of information and knowledge.

Personal Leadership and Integrity - DCIPS 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. DCIPS 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.

Technical Expertise - DCIPS employees are expected to acquire and apply the knowledge, subject matter expertise, tradecraft, and/or technical competence necessary to achieve results.

Leadership and Integrity - DCIPS supervisors and managers are expected to exhibit the same individual personal leadership behaviors as all DCIPS 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 diversity (of both persons and points of view), critical thinking, collaboration, and information sharing; mobilizing employees, stakeholders, and networks in support of their objectives; and recognizing and rewarding individual excellence, enterprise focus, innovation, and collaboration.

Managerial Proficiency - DCIPS supervisors and managers are expected to possess the technical proficiency in their mission area appropriate to their role as supervisors or managers. They are also expected to leverage that proficiency to plan for, acquire, organize, integrate, develop, and prioritize the human, financial, material, information, and other resources to accomplish their organization's missions 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, evaluating the contributions of individual employees to organizational results, and linking performance ratings and rewards to the accomplishment of those results.

Slide 18 - Performance Plan

Narration:

Before we wrap up our discussion on the performance plan, there are three important discussion points you are responsible for including in the conversation with each of your civilian intelligence employees pertaining to their performance plans.

First, you should discuss the relationship between the employee's performance objectives, the goals and objectives of your work unit, and the broader strategic objectives for the current and future years. Essentially, employees should know how their work contributes to the mission.

Second, you should provide examples of how you will assess the employee's accomplishments against performance objectives. The examples should include both quantitative and qualitative examples.

Finally, you should discuss the relationship between the performance elements and standards against which the employee shall be assessed and the accomplishment of performance objectives.

Including these points in your conversation helps set the stage for effective, on-going performance conversations throughout the performance evaluation period.

Slide 19 - IDP

Narration:

With a better understanding of your responsibilities pertaining to the performance plan, let's now discuss your responsibilities pertaining to the IDP. The IDP outlines your employee's development objectives and includes five mandatory elements:

One, a statement of the employee's career goals.

Two, a statement of the employee's immediate and long-range developmental needs.

Three, a specific statement of the training, education, individual coaching, work assignments, or other activities designed to improve the employee's capability within his or her career field.

Four, an action plan for the individual to develop the specific competencies, knowledge, and skills needed to improve performance in the employee's present position and to prepare the employee for new responsibilities; and

Five, a written plan, approved by immediate management, for scheduling and managing the employee's developmental activities. The specific design, format, level of detail, and software to support the IDP may vary from Component to Component. However, the five sections we just discussed should always be included.

Slide 20 – IDP

Narration:

As a Rating Official, just as you did for the performance plan, you will create the IDP in consultation with your employee. If you are a Supervisor, who is not the Rating Official, you will collaborate with the Rating Official and the employee during the process.

Unlike performance objectives and performance elements, IDPs are not rated. However, you should check with your HR Professional for Component specific guidance on creating and evaluating IDPs

Slide 21 - IDP

Narration:

As a Reviewing Official, your responsibilities pertaining to the IDP are essentially the same to that of the performance plan. You will review and approve each IDP to ensure:

- Consistency with organizational goals and objectives and
- Appropriateness to employee experience, developmental needs and work level.

Slide 22 - Approval

Narration:

Now that you are familiar with your IDP responsibilities, there are a couple more things to know before we conclude this module. First, the performance plan and IDP are considered approved when the Rating Official – in collaboration with the Supervisor when the Supervisor is not the Rating Official -- has communicated the plan to the employee in writing following approval by the Reviewing Official. The Rating Official shall record the employee's receipt of performance plan and IDP and the manner in which it was communicated.

Slide 23 - Communication
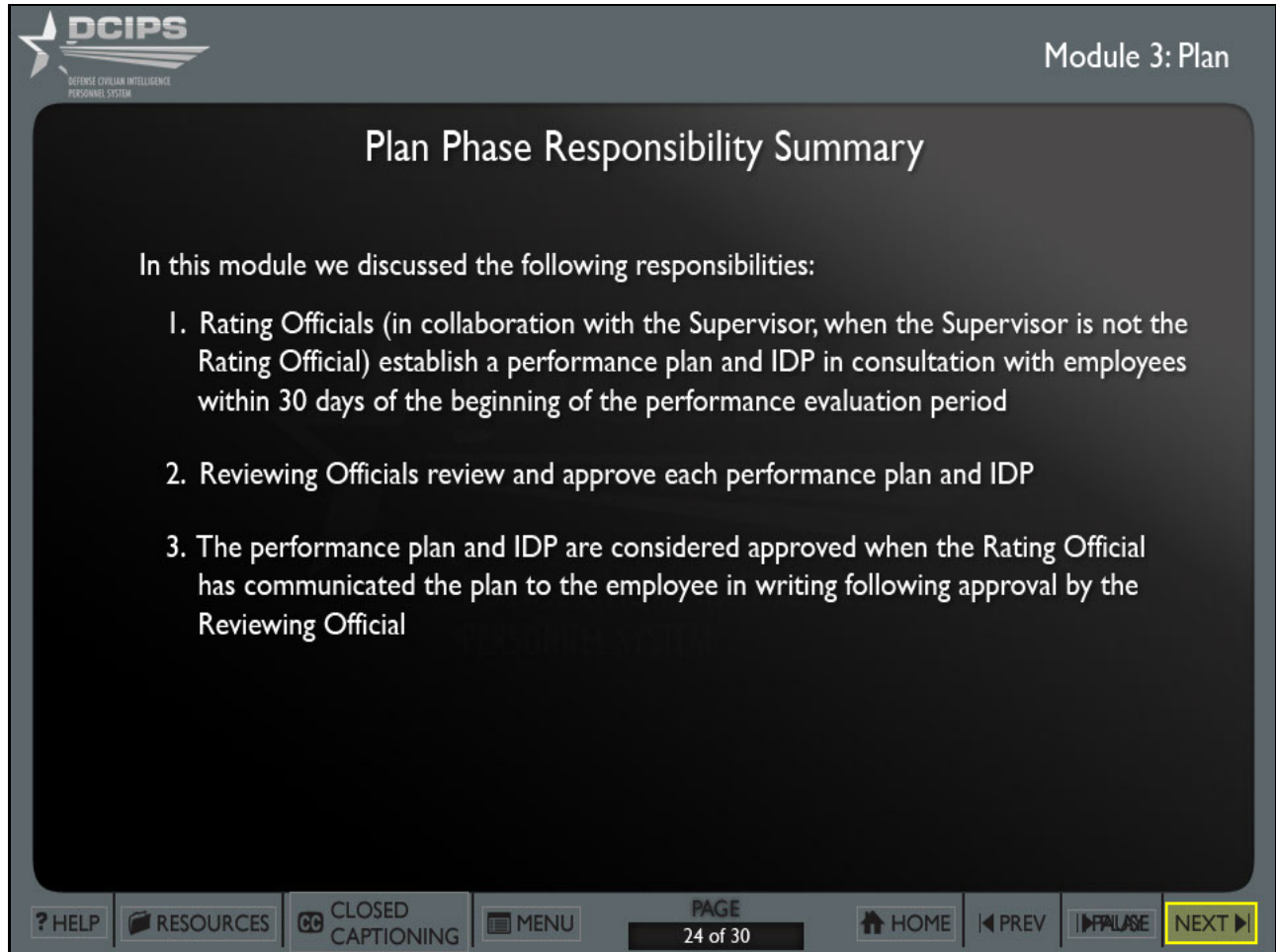
Narration:

Second, communication between Rating Officials and employees is critical to the success of the performance management process. Therefore, the time you spend discussing and clarifying the performance expectations contained in your employee's performance plan, and the developmental objectives outlined in his/her IDP at the beginning of the performance period, sets the stage for effective follow-up midpoint and evaluation reviews throughout the rest of performance evaluation period. It also helps to establish a relationship of trust with your employees.

Slide 24 - Summary

Narration:

We've reached the end of the Plan Phase module. Let's review your responsibilities within this phase.

Rating Officials (in collaboration with the Supervisor, when the Supervisor is not the Rating Official) establish a performance plan and IDP in consultation with employees within thirty days of the beginning of the performance evaluation period.

Reviewing Officials review and approve each performance plan and IDP.

The performance plan and IDP are considered approved when the Rating Official has communicated the plan to the employee in writing following approval by the Reviewing Official.

Slide 25 – Knowledge Check

Narration:

Before we conclude this application, let's take moment to review a few key points. Answer each question on the corresponding screens.

Slide 26 – Knowledge Check 1 of 4

Narration: N/A

Answer: D

Slide 27 - Knowledge Check 2 of 4

Narration: N/A

Answer: False. Newly-assigned or newly-appointed employees must have an approved performance plan and IDP no later than **30** days after the date of the appointment to the position.

Slide 28 - Knowledge Check 3 of 4

Narration: N/A
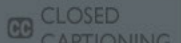
Answer: A. The Reviewing Official reviews and approves each performance plan and IDP while the Rating Official works with the employee to establish a performance plan and IDP.

Slide 29 - Knowledge Check 4 of 4

Narration: N/A

Answer: D. The performance plan and IDP are approved by the Reviewing Official and communicated in writing to the employee by the Rating Official.

Slide 30 - End

Narration:

Congratulations on completing Module 3: Plan. Select another module of your choice from the menu to continue the course. Once you have reviewed all seven modules, select the "Conclusion" button to end the course.

Slide 1 - Timeline
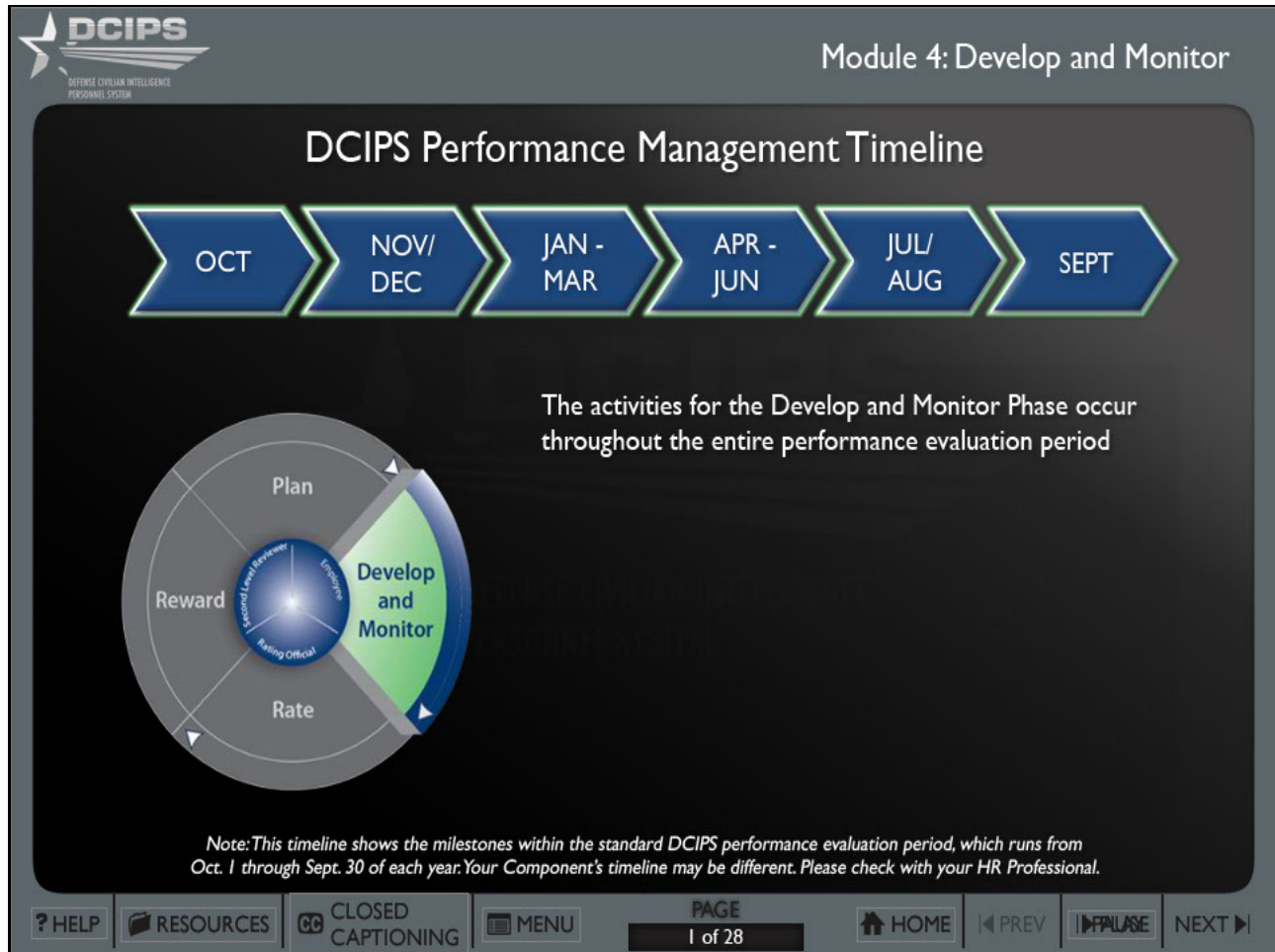
Narration:

In this module, we will discuss the Develop and Monitor Phase of the performance management process. Unlike the other phases in the process which have a specific period of time in which phase activities occur, the activities for the Develop and Monitor Phase occur throughout the entire performance evaluation period.

Slide 2 - Phase Activities

Narration:

The primary activities for this phase include:
- One, observe and record employee accomplishments;
- Two, engage in ongoing performance dialog;
- Three, conduct the Midpoint Performance Review; and
- Four, discuss the performance plan and IDP and modify them as needed.

As a Rating Official, you are responsible for all of these activities. Your role is to manage the performance of your civilian intelligence employees in an effort to achieve the goals and objectives of your Component.

If you are a Supervisor, who is not the Rating Official, you are responsible for maintaining ongoing dialog with the Rating Official pertaining to the civilian intelligence employee's performance. As the Reviewing Official, you are responsible for ensuring all of the activities for this phase are conducted accurately, consistently, and on time.

Lieutenant Colonel Lewis, whom you see in the photos, is a Rating Official. We'll learn about your responsibilities as a Rating Official in more detail by seeing how Colonel Lewis carries them out.

Slide 3 - Record Employee Accomplishments

Narration:

Colonel Lewis has set up a system to keep track of her employee's accomplishments. She takes a few minutes each Friday afternoon to jot down notes regarding performance she has observed during the week.

As a Rating Official, you are responsible for maintaining performance and development information on your civilian intelligence employees. This information will be extremely helpful when providing specific performance feedback to your employees throughout the performance evaluation period, when writing your narratives for employee performance evaluations, and when conducting the end-of-year performance evaluation.

Slide 4 - Record Employee Accomplishments

Narration:

How you keep your notes is up to you, but you should keep them. You may think you'll remember the important things your employees do, but the reality is there is a lot going on and it is highly likely that things will fall through the cracks if they aren't recorded. Additionally, you'll save yourself a lot of time when it comes time to write your employees' performance narratives since you won't need to spend time trying to remember specific details. As a best practice, the more consistent you are in setting aside a day and time to record your notes, the more likely it is that it will get done.

One way to keep notes is to use an Excel file. Select the document icon to download a template you can use to track employee accomplishments. Again, how you keep your notes is up to you. This is simply one tool you can use.

Slide 5 - Engage in Ongoing Dialog

Narration:

In addition to keeping notes on employee accomplishments, Colonel Lewis has found that the time she takes to engage in performance dialog with her employees has big payoffs. She is able to identify performance issues or challenges before they become big problems, she enjoys a better relationship of trust and open communication with her employees and team morale and productivity is higher.

As a Rating Official, you are responsible for engaging in both formal and informal performance dialog with your employees throughout the performance evaluation period. Face-to-face is the preferred method of dialog, but telephone or email exchanges can be used.

Let's look at two effective ways you can dialog with your employees.

Slide 6 - Teachable Moments

Narration:

A common opportunity to discuss performance with your employees is called a "teachable moment." This is a discrete event when an employee either demonstrated outstanding performance or performance that may not have been as effective as it could have been. In either case, there's an opportunity for the employee to learn from the event.

Using an example of a poorly handled situation, as soon as possible after the situation occurs, you should ask the employee in private how he/she thought things went and how the situation might have been handled differently to produce a better result. Having the employee think about different approaches and possible outcomes helps the person learn new strategies he/she can use in the future.

As a Rating Official, you should look for and take advantage of opportunities for teachable moments such as a quick chat in the elevator or when walking to a meeting.

Slide 7 - Contrasting

Narration:

Another effective dialog tool that is particularly helpful when explaining your expectations to your employees is to provide concrete examples that contrast what you **don't** want with what you **do** want instead of giving general explanations. The more clear you are in explaining your expectations, the more likely your employees will be in achieving them.

Slide 8 – Early Identification

Narration:

As we discussed earlier, a benefit of dialoging with your employees is that you can detect performance issues before they escalate into bigger problems. As a Rating Official, you are responsible for the early identification of employee performance issues that may lead to an annual rating of less than "Successful" as well as employees who are not on track to meet their performance expectations.

Slide 9 – Early Identification

Narration:

At the first indication that your employee is not on track to meet his or her performance expectations, as the Rating Official, you should schedule a feedback session with the employee to explore the performance issues and document a course of action for improving performance during the remainder of the performance evaluation period. Select the "Feedback" button to see what you should cover during the feedback session.

Slide 9a – Feedback Pop-up

Narration: N/A

Slide 10 – Addressing Performance Needs

Narration:

In the event your employee's performance is such that failure to improve could result in a performance evaluation of "Unacceptable" at the end of the performance evaluation period, as the Rating Official, you should document feedback sessions with the employee through the remainder of the performance period. Documentation should also be provided to your employee and, at a minimum, must include a statement of the performance requiring improvement, the performance improvement actions that the employee and you have agreed to implement as well as the consequences of failure to demonstrate acceptable performance improvement.

Slide 11 – Addressing Performance Needs

Narration:

In the event you believe your employee's performance may warrant performance-based action, you should seek advice from your Reviewing Official and HR Professional and follow the procedures in Volume 2009.
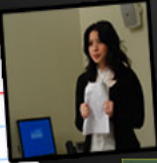
Slide 12 – Addressing Performance Needs

Narration:

As an example of how a performance issue could be addressed, let's talk a look at how Chester, a civilian Rating Official, addressed a performance issue with his DCIPS employee, Lacy. Read the background information and then select "Play" to watch a video.

Slide 12a - video

Video Script:

Chester: (*smiles*) "Thanks for meeting with me today, Lacy. I want to begin by telling you how much I value the contributions you made in the past and how much I have enjoyed working with you. I know you've often gone the extra mile to help other team members and they have expressed how much they have appreciated your efforts."

Lacy: (*softly smiles*) "Thank you."

Chester: "I know that delivering briefs is a new performance objective for you this rating cycle and something that can be challenging to master. And while I know you are trying, the briefs you have delivered thus far this rating cycle have not met the department performance standard. As such, you have dropped below a Successful rating for this performance objective."

Lacy: (*quietly*) "Oh."

Chester: "Now, please do not misunderstand. You are not failing across the board. There is simply a standard in place that needs to be met to earn a Successful rating. What I'd like to do is discuss ways we can work together to help you meet the standard and continue to foster a positive

working relationship."

Lacy: (*quiet and withdrawn; sinks into her chair*) "Okay."

Chester: (*empathetically*) "Is something wrong?"

Lacy: (*still quiet and withdrawn*) "No. No, I'm fine."

Chester: (*empathetically*) "I know you say you are fine, but your body language leads me to think that something is bothering you. Would you mind sharing with me what you are thinking?"

Lacy: (*tentatively*) "Well, this feedback comes as sort of a surprise."

Chester: "Ahh. I'm sure. Is there more?" (*pauses*)

Lacy: (*silent for a moment and then sighs*) "I guess I've been a little distracted lately and didn't realize my performance was slipping. I'm sorry and will try harder."

Chester: (*empathetically*) "Knowing you I'm sure you will try harder, but I'm concerned about what's distracting you. Is there some way I can help?

Lacy: (*quietly*) "No, not really. There's a lot going on at home right now. My grandpa moved in with us a month ago. He has heart disease and didn't want to stay in the nursing home any longer. We have two nurses who help take care of him, but it's still a lot of work and I'm worried about him.

Chester: (*empathetically*) "Thank you for sharing this with me. I can see you are worried and can certainly understand why you've been distracted and not quite yourself lately. Would it help if we adjusted your responsibilities a little?"

Lacy: (*sincerely*) "Thank you, but no, it would actually be more helpful if we kept things as they are. It's better to have one area of my life that's not changing right now. (*sighs*) But, I will admit giving briefs is not something that comes easy for me. I want to improve, but I'm not quite sure how to go about it."

Chester: "Thanks for sharing your concern about giving briefs. There are a couple of other people in our department who also want to improve their briefing skills and have expressed an interesting in attending a training course. Is this something in which you'd be willing to participate?"

Lacy: "Yes, absolutely."

Chester: "Good. The training is being held next Thursday. I'll send you an email with the details. Additionally, I'd like to assign you a mentor to whom you could give your brief before you give it to the management team. Your mentor will help you make any changes and give you additional practice time. Are you willing to work with a mentor?

Lacy: "Yes, I'd appreciate the extra help."

Chester: (*smiles*) "Great. I appreciate your willingness and desire to improve. An added benefit to your efforts is that not only will attending the training course and working with a mentor help you meet your performance objective, but they will also help you meet the expectations for the communication element. (*Lacy nods her head in agreement.)*

I am going to include a summary of what we discussed and our plans to help you get back on track in your personnel file. I am confident that with your desire to succeed that you will have no

problem meeting the Successful rating by the end of the cycle."

Lacy: (*gratefully*) "Thanks."

Scene fades out.

Slide 13 - Employee Responsibility: Ongoing Dialog

Narration:
Before we conclude our discussion on engaging in ongoing dialog, you should know that while you, as the Rating Official, are primarily responsible for ensuring that dialog regarding employee performance takes place, employees also have a responsibility to ensure that they receive continuing feedback on their performance. Employees may and should request periodic feedback from you to ensure you are both on the same page pertaining to performance expectations and progress towards accomplishing their performance objectives.

Slide 14 - Conduct Midpoint Review

Narration:

In addition to ongoing performance dialog with her employees, Colonel Lewis meets with her civilian intelligence employees for the mandatory Midpoint Performance Review, generally in March. This is a formal review in which Colonel Lewis and her employees discuss achievements to date against performance objectives and any areas for improvement, examine current performance objectives to determine whether adjustments are necessary, address progress against the IDP and its relationship to accomplishment of the performance objectives and improving competence in areas related to the performance elements, and document any required changes to objectives for the remainder of the year.

As a Rating Official, you are also responsible for conducting a Midpoint Performance Review with your civilian intelligence employees. Check with your Component pertaining to any specific requirements of which you should be aware.

Slide 15 - Midpoint Review FAQs

Narration:

Before we conclude our discussion on the Midpoint Performance Review, take a moment to review the list of frequently asked questions. Select each question to see the corresponding answer.

Question1: I met with my employees and they are on track to meet or exceed expectations for their performance objectives. What do I need to do?

Answer: As the Rating Official, you should document and retain for the record the outcome of the Midpoint Review including the date on which the session took place and any changes in objectives or other summary information regarding the conversation. This will be maintained as a part of your employee's official performance record.

Question 2: I met with my employees and I have an employee who is having difficulties in achieving her performance objectives and is at the risk of receiving a rating lower than "Successful." What should I do?

Answer: As the Rating Official, you should document and retain for the record all performance deficiencies and all actions that the employee and you will take during the period leading to the Performance Evaluation of Record to improve performance to the "Successful" level. This will be maintained as a part of your employee's official performance record.

Question 3: I will be on TDY for three months and will not be able to conduct the Midpoint Performance Review. What should I do?

Answer: The Reviewing Official or other more senior management official in your employees' direct chain of supervision with knowledge of the employees' performance will conduct the review.

Question 4: I've conducted all my Midpoint Performance Reviews. What do I do next?

Answer: Give your employees a copy of the Midpoint Review documentation. Then, record in the performance evaluation system your employee's receipt of the Midpoint Review and the manner in which the review was communicated.

Slide 16 – Discuss Performance Plan and IDP

Narration:

As part of ongoing dialog with her civilian intelligence employees, Colonel Lewis, makes a point to ensure she frequently checks in with her employees to see how they are progressing against the performance and development objectives outlined in their performance plan and IDP. When Colonel Lewis meets with her employees they discuss what is going well, how performance may be improved, and whether performance objectives require adjustment.

As a Rating Official, you should discuss the same things with your employees.

Slide 17 – Discuss Performance Plan and IDP

Narration:

Additionally, as a Rating Official, you are responsible for ensuring your employees have access to resources including:

- Internal and external training, mentoring, and assignments throughout the IC;

- Individual coaching by you as the Rating Official, in collaboration with the Supervisor when the Supervisor is not the Rating Official; and

- Other resources that contribute to their success when measured against their performance plans and IDPs and to improved productivity of the organization.

Slide18 – Adjust Performance Objectives

Narration:

As you discuss performance plans with your employees, there may be times when it is necessary to adjust an employee's performance objectives, such as when organizational priorities change or when unanticipated events beyond your control or that of your employee make the performance objective unachievable.

Slide 19 - Adjust Performance Objectives

Narration:

When this happens, there are a few things you should know.

First, an employee must be assigned a modified or new objective for at least ninety days to be rated on that objective.

Second, you should follow the same process you did during the Plan Phase when the objective was originally established.

Finally, all adjustments or changes to performance objectives must be approved by the Reviewing Official prior to effecting any change.

Slide 20 – Assigning New Performance Objectives

Narration:

There may also be times when it is necessary to assign new performance objectives to an employee during the performance evaluation period. For example, this could come as a result of a job change, additional duties, or promotion.

When this happens, the new objectives must be structured such that they can be accomplished during the remaining portion of the performance evaluation period. Additionally, there must be at least ninety days left in the performance period.

Slide 21 - Minimum Period of Performance

Narration:

Finally, the last thing to know about monitoring performance against the performance plan and IDP is that there may be times when you receive a new DCIPS employee on your team part way through a performance evaluation period. This employee must be under a performance plan for at least ninety days within the *current* performance evaluation period, in order to meet the minimum period of performance requirement. Periods of less than ninety days left in the current performance evaluation period, will be covered in the next performance evaluation period.

Slide 22 - Summary

Narration:

We've reached the end of the Develop and Monitor Phase module. Throughout this module we have learned how Lieutenant Colonel Lewis, a Rating Official, carries out the primary activities for this phase including:

One, observe and record employee accomplishments;
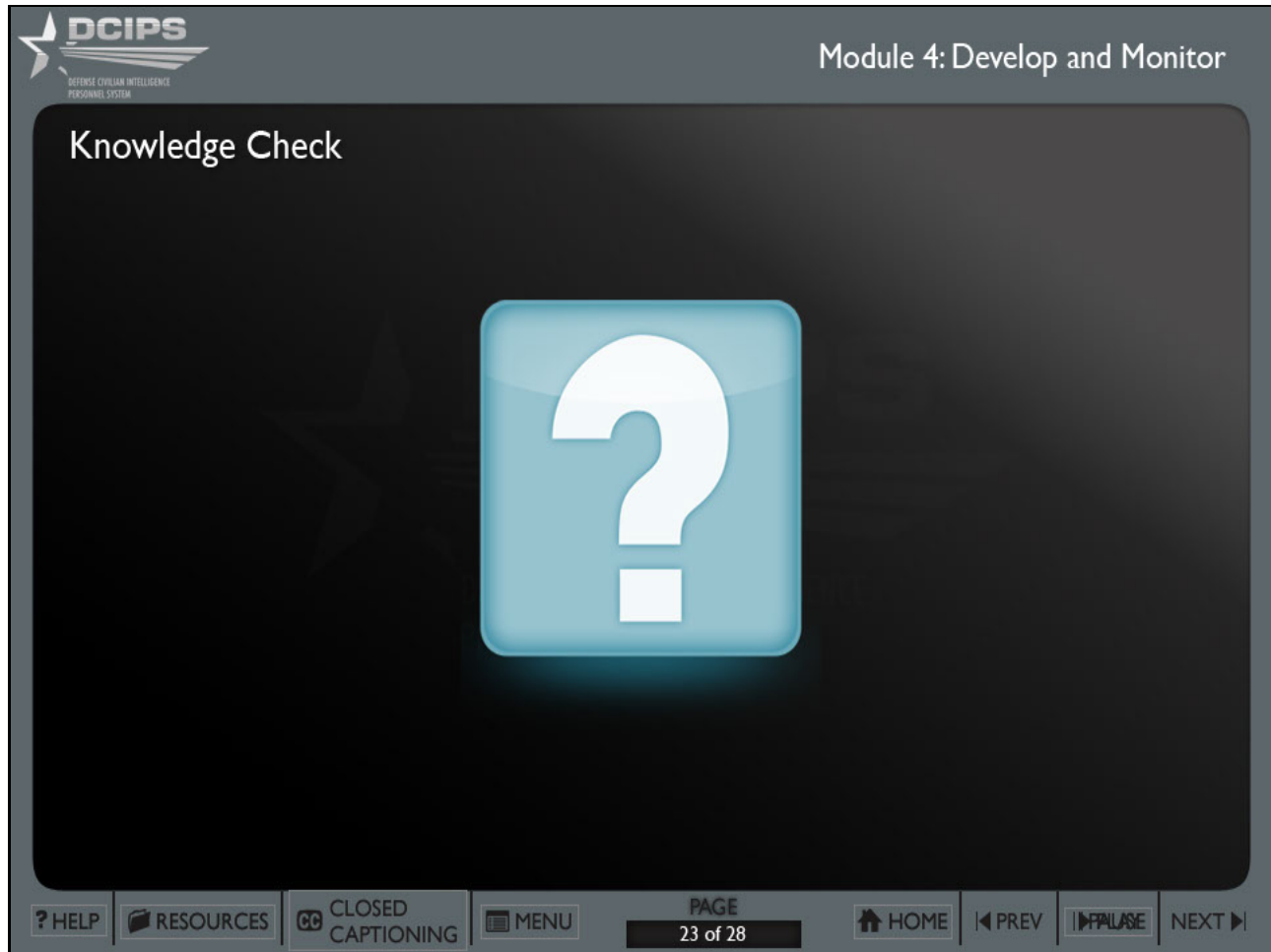
Two, engage in ongoing performance dialog;

Three, conduct the Midpoint Performance Review; and

Four, discuss the performance plan and IDP and modify them as needed.

In terms of individual roles, as the Rating Official, you are responsible for carrying out all of the activities. As the Supervisor when not the Rating Official, you are responsible for ongoing dialog with the Rating Official. And finally, as the Reviewing Official, you are responsible for ensuring all of the activities are conducted accurately, consistently, and on time.

Slide 23 – Knowledge Check

Narration:

Before we conclude this module, let's take moment to review a few key points as they relate to the four primary activities we have been discussing. Answer each question on the corresponding screens.

Slide 24 - Knowledge Check 1 of 4

Narration: N/A

Answer: False. The minimum period of performance requirement states that an employee must be under an approved performance plan for at least 90 days to be evaluated in the current performance period.

Slide 25 - Knowledge Check 2 of 4

Narration: N/A

Answer: C. You should schedule a feedback session with your employee at the first indication his/her performance is not on track to meet performance expectations.

Slide 26 - Knowledge Check 3 of 4

Narration: N/A

Answer: B and D. As the Rating Official, you should consult with both the Reviewing Official and your HR Professional before taking any actions deemed necessary for performance improvement.

Slide 27 - Knowledge Check 4 of 4

Narration: N/A

Answer: False. In the event you, as the Rating Official, are unable to conduct the mandatory Midpoint Performance Review, the Reviewing Official or other more senior management official in your employees' direct chain of supervision with knowledge of the employees' performance will conduct the review. Be sure to stay in communication with your Reviewing Official.

Slide 28 - End

Narration:

Congratulations on completing Module 4: Develop and Monitor. Select another module of your choice from the menu to continue the course. Once you have reviewed all seven modules, select the "Conclusion" button to end the course.

Slide 1 - Timeline
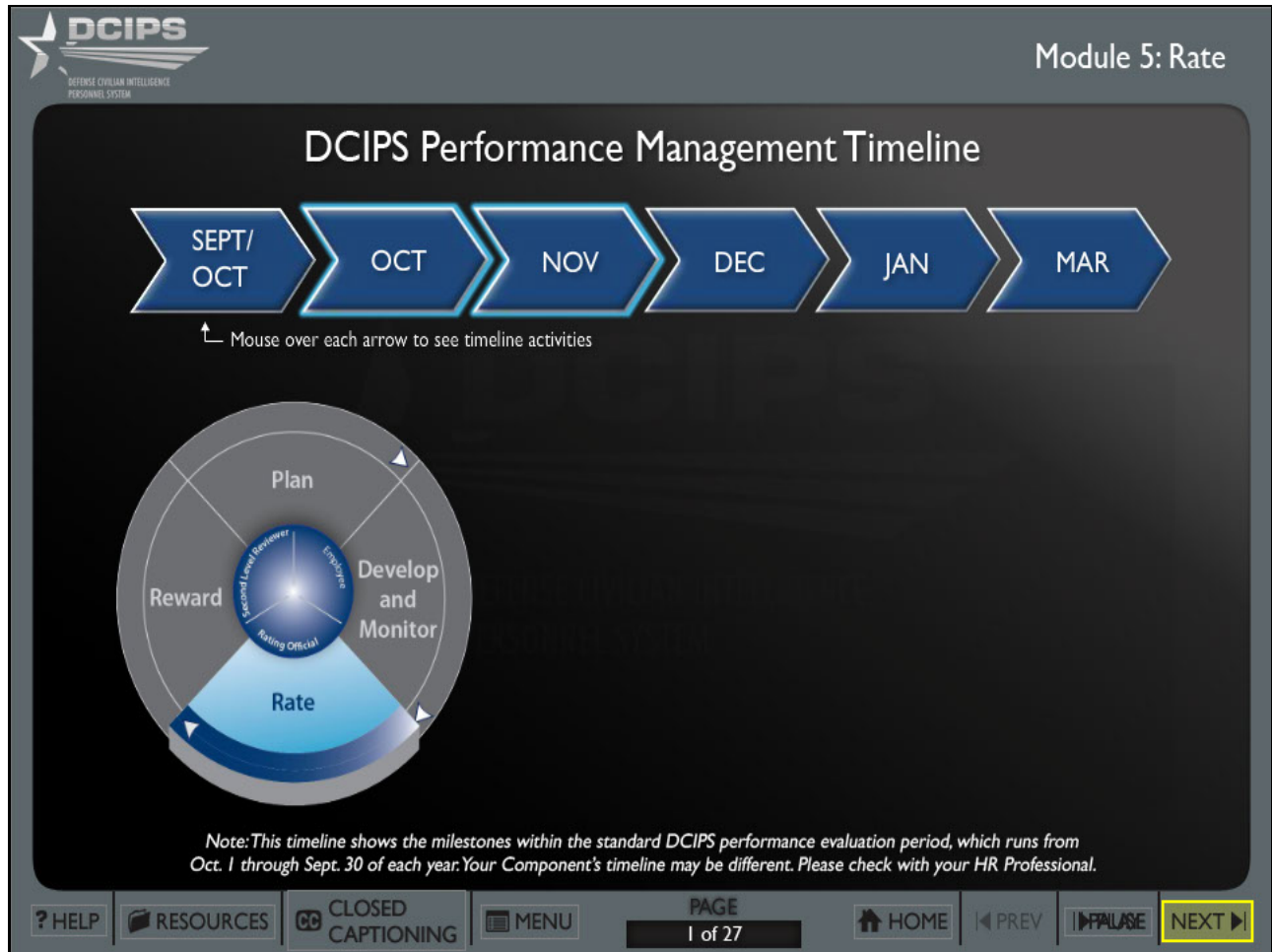
Narration:

In this module, we'll discuss the Rate Phase. If you haven't done so already, take a few moments to roll over each arrow on the DCIPS performance management timeline, paying particular attention to the sections highlighted in blue as they pertain to the Rate Phase.

Timeline Content:

Sept/Oct –
- Performance planning for next performance period begins
- Rating Officials, Reviewing Officials and PM PRA meet to establish performance expectations for the next performance evaluation period
- Current period ends on Sept. 30

Oct –
- New performance period begins on Oct. 1
- Employee performance plans and IDPs are in place within 30 days after the beginning of performance evaluation period
- Assess performance from the prior performance evaluation period (Oct/Nov timeframe):
    - Employees submit self-report of accomplishments
    - Rating Official assigns ratings and writes narrative(s)
    - Rating Officials, Reviewing Officials and PM PRA meet to discuss rater consistency

- Reviewing Official and PM PRA approve performance evaluations

Nov –
- Rating Official shares final Performance Evaluation of Record with employees, once given approval to do so
- Final Performance Evaluation of Record submitted to Pay Pool for pay pool payout considerations

Dec –
- Notice of pay pool results
- Rating Officials communicate pay pool payout decisions to DCIPS employees, once given approval to do so

Jan - Pay pool payouts are generally effective the first pay period in January

Mar –
- Rating Officials, Reviewing Officials and PM PRA meet to ensure rater consistency
- Mandatory Midpoint Review

Slide 2 - Rate Activities

Narration:

The focus of the Rate Phase is assessing employee performance performed during the prior performance evaluation period. This includes a number of activities that we will discuss. The Rate Phase begins with the end of the performance evaluation period. Since the end of the performance evaluation period is usually September 30th, the Rate Phase typically begins October 1st. If your Component uses a different timeline, the start date may be different.

Slide 3 - DCIPS Office 01
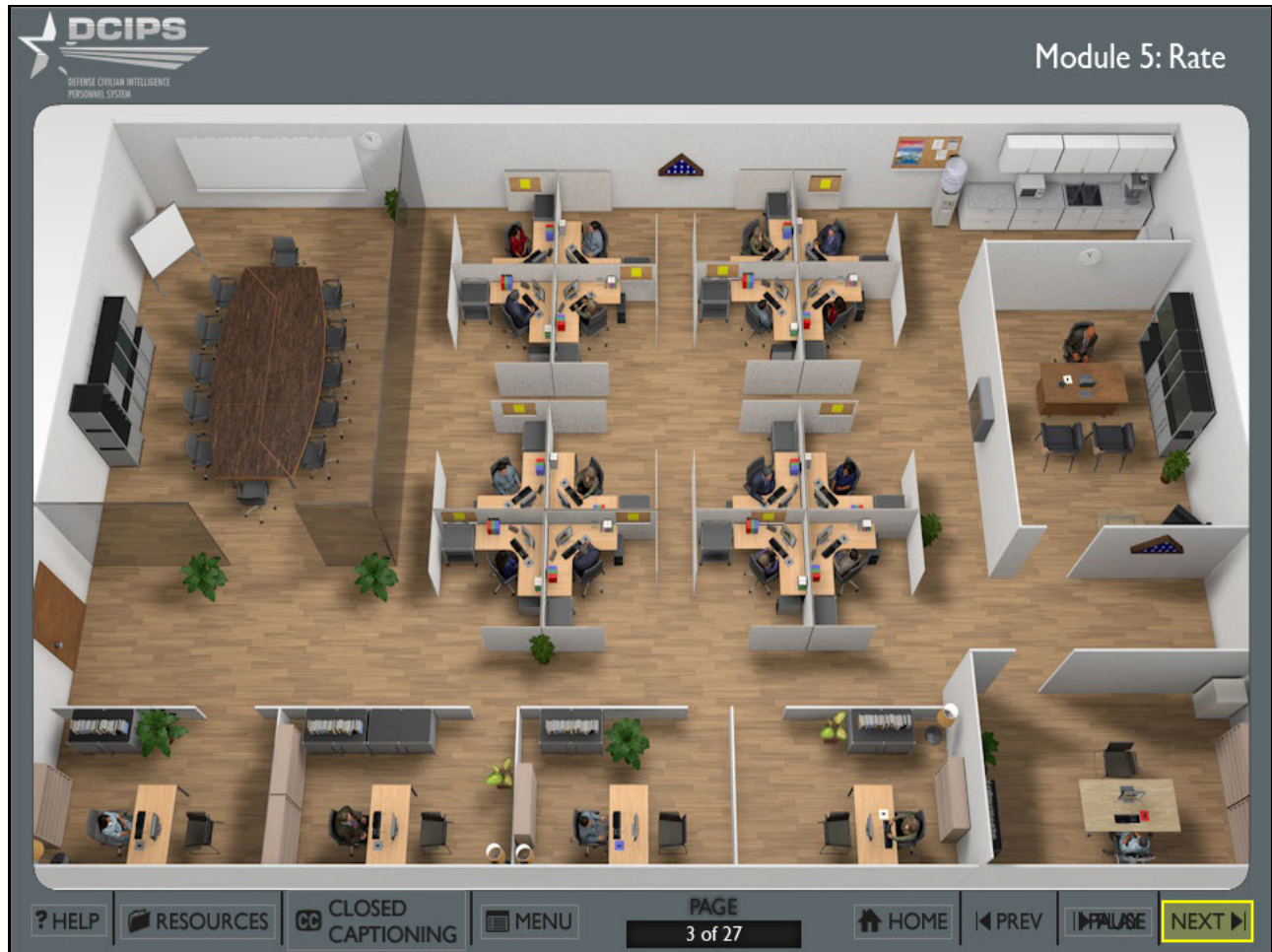
Narration:

To help you better understand the activities of the Rate Phase, we are going to look at how they are carried out within the DCIPS Component you see here.

Slide 4 - DCIPS Office 02
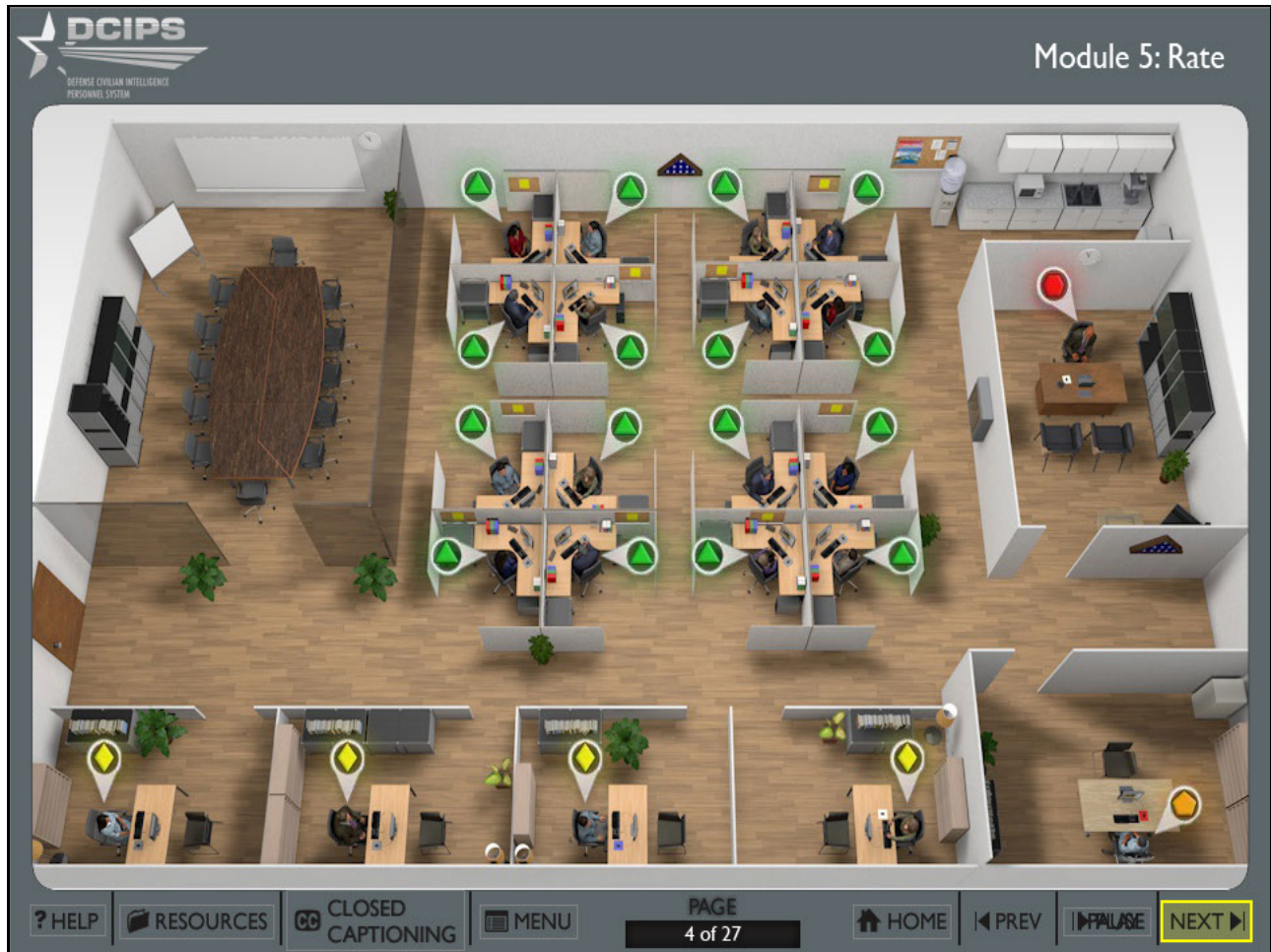
Narration:

The players of the Rate Phase activities include employees, Rating Officials, Reviewing Officials, and the PM PRA.

Legend:

Employees – Green Triangles

Rating Officials – Yellow Diamonds

Reviewing Official – Orange Pentagon

PM PRA – Red Hexagon

Slide 5 - DCIPS Office 03
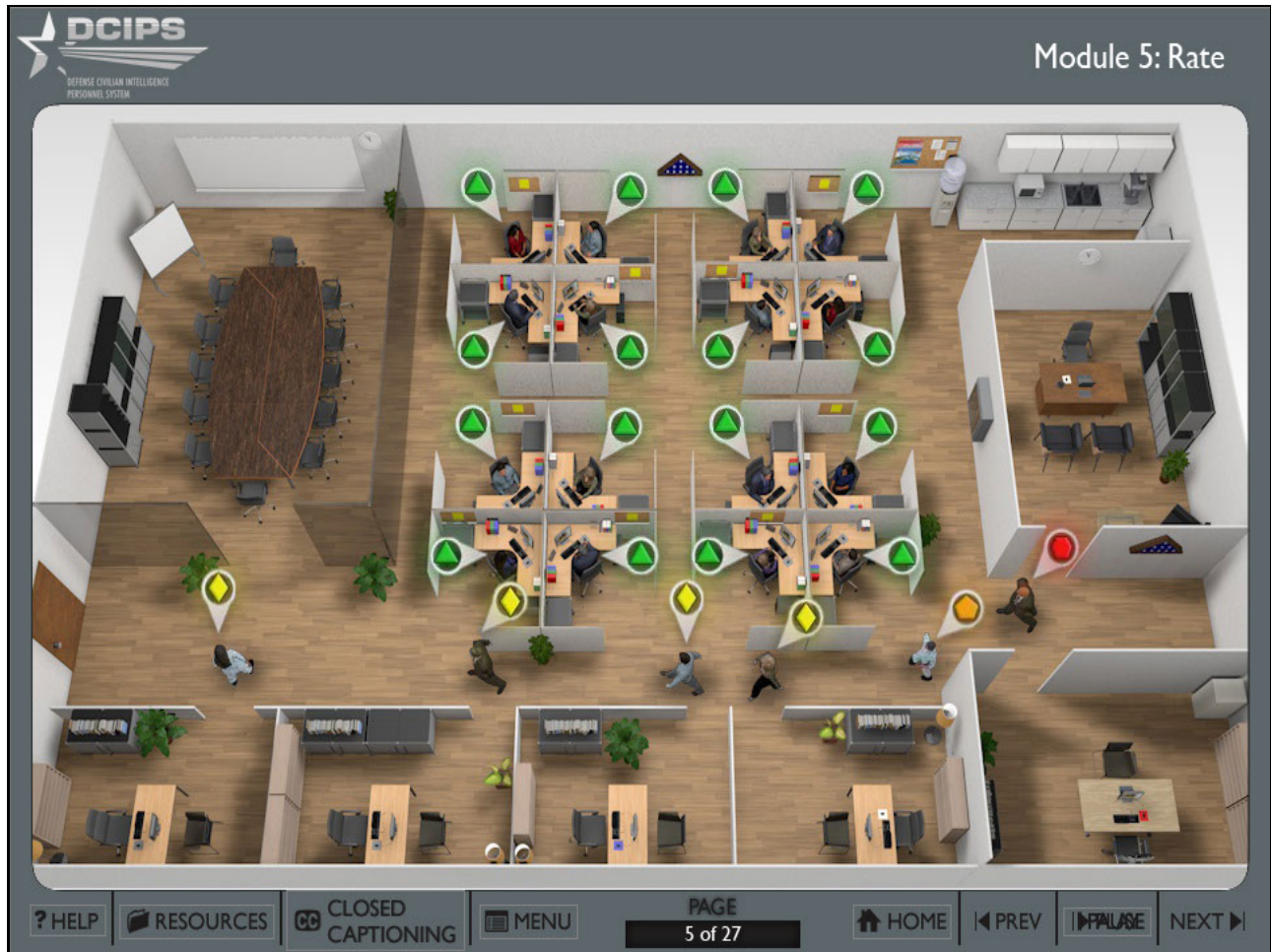
Narration:

Before Rating Officials rate employee performance, they along with Reviewing Officials and the PM PRA meet to discuss performance standards to ensure consistent understanding and application. This is commonly referred to as a rater consistency meeting. This shouldn't be the first rater consistency meeting. Rater consistency is something that is discussed at the beginning of the performance evaluation period, in the middle of the performance period, and at the end. The USD(I) DCIPS Training Aid "Rater Consistency Handbook" can help with these rater consistency meetings throughout the year.

Slide 6 - DCIPS Office 04
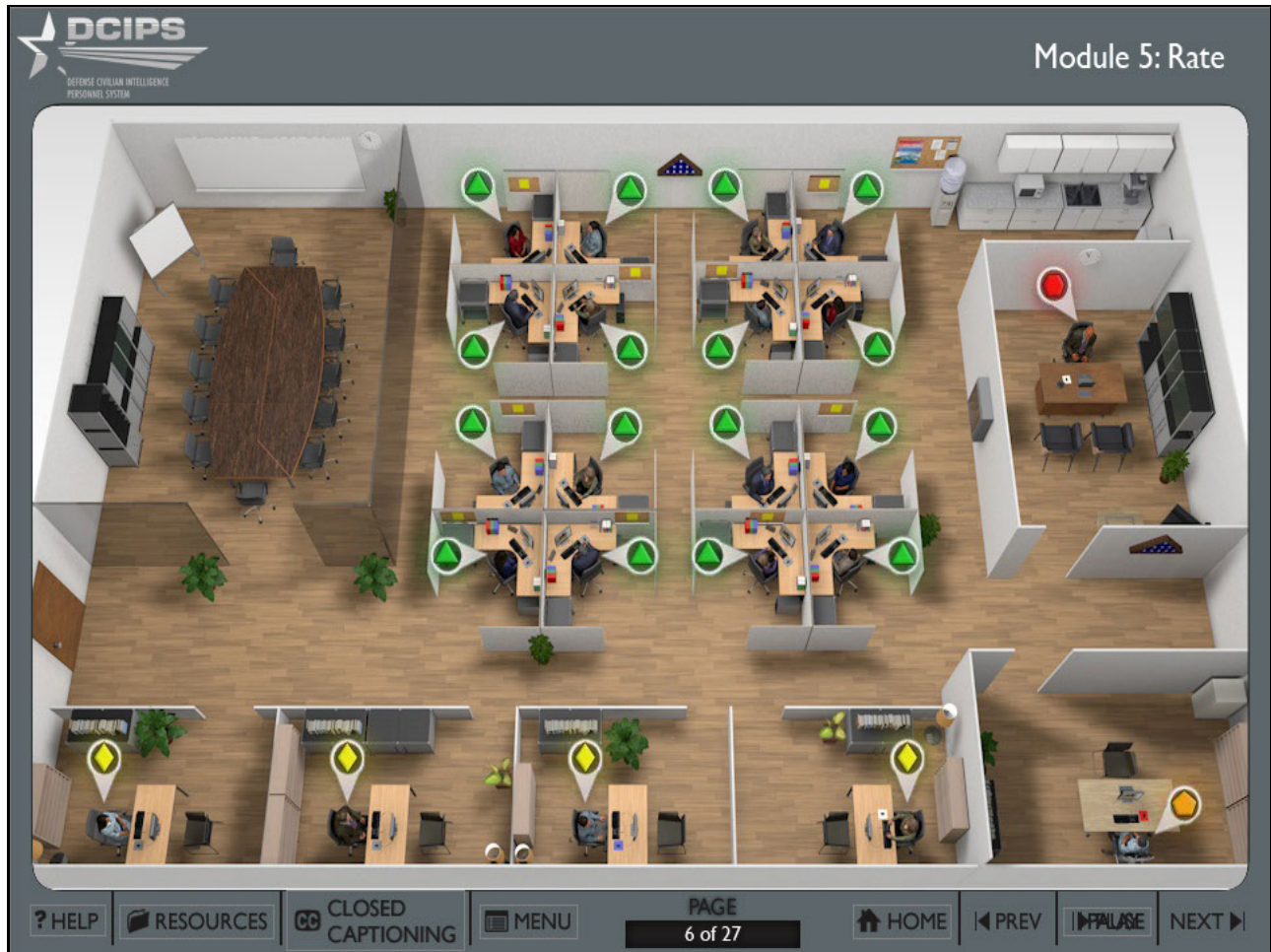
Narration:

Let's step back in time for a moment. Prior to coming to the rater consistency meeting, Rating Officials, Reviewing Officials, and the PM PRA prepared by reviewing the performance standards outlined in Volume 2011 and other relevant documents. Select a highlighted person to see what documents he/she is reviewing. These are all documents you should review prior to attending a rater consistency meeting within your Component.

Document List:
- Performance Objectives and Element Rating Descriptors in Volume 2011, Table 1 - The standards for rating performance objectives and elements
- Component and unit mission objectives and goals – Outlines the objectives and goals for the current performance evaluation period
- Position descriptions for the DCIPS employees he/she will be rating – Describes the duties and responsibilities assigned to a specific position. Note: Your Component may not use the term "position description" for this document, but may use a term such as "PD" or "work role."
- IC Performance Standards – Can assist in rating performance elements
- Rater Consistency Handbook – Assists management teams in understanding and implementing rater consistency
- Component mission statement(s) and any Component-specific guidance – Identifies the objectives and goals of the Component

Slide 7 - Meeting Prep

Narration:

After reviewing the standards and related documents, Rating Officials also prepared for the meeting by considering how they would rate their employees.

Using the Performance Objectives and Element Rating Descriptors outlined in Volume 2011, Lieutenant Colonel Lewis, a Rating Official, considered how she would rate her employees and prepared draft narratives. She also made a list of specific examples of behavior aligned with the rating standards upon which her proposed ratings were based. Colonel Lewis did not enter ratings in her Component's evaluation tool at this point. Rather, she was preparing to discuss this information at a general level during the rater consistency meeting to ensure that the way she was interpreting and applying the standards was consistent with how other Rating Officials in her work unit were as well.

In DCIPS 101, you learned how to use the Performance Objectives and Elements Rating Descriptors to rate performance objectives and elements. To review this process, select the button.

Slide 7a - Rating Descriptors 01

Narration:

To rate an employee's performance objectives, review the objectives descriptors on the Performance Objectives and Element Rating Descriptors table from DCIPS policy Volume 2011, Table 1, and determine which one best describes your employee's accomplishment. Then, assign the numerical score, from 1 to 5, which corresponds with the descriptor you selected to each of your employee's performance objectives.

As a reminder, objectives are written to the "Successful" level and a rating of 3 means your employee is fulfilling the requirements of the position for that objective.

Slide 7b - Rating Descriptors 02

Narration:

To rate performance elements, follow the same process for rating objectives and compare your employee's performance against the element descriptors and assign the corresponding numerical score to each performance element.

Slide 7c - Calculating 01
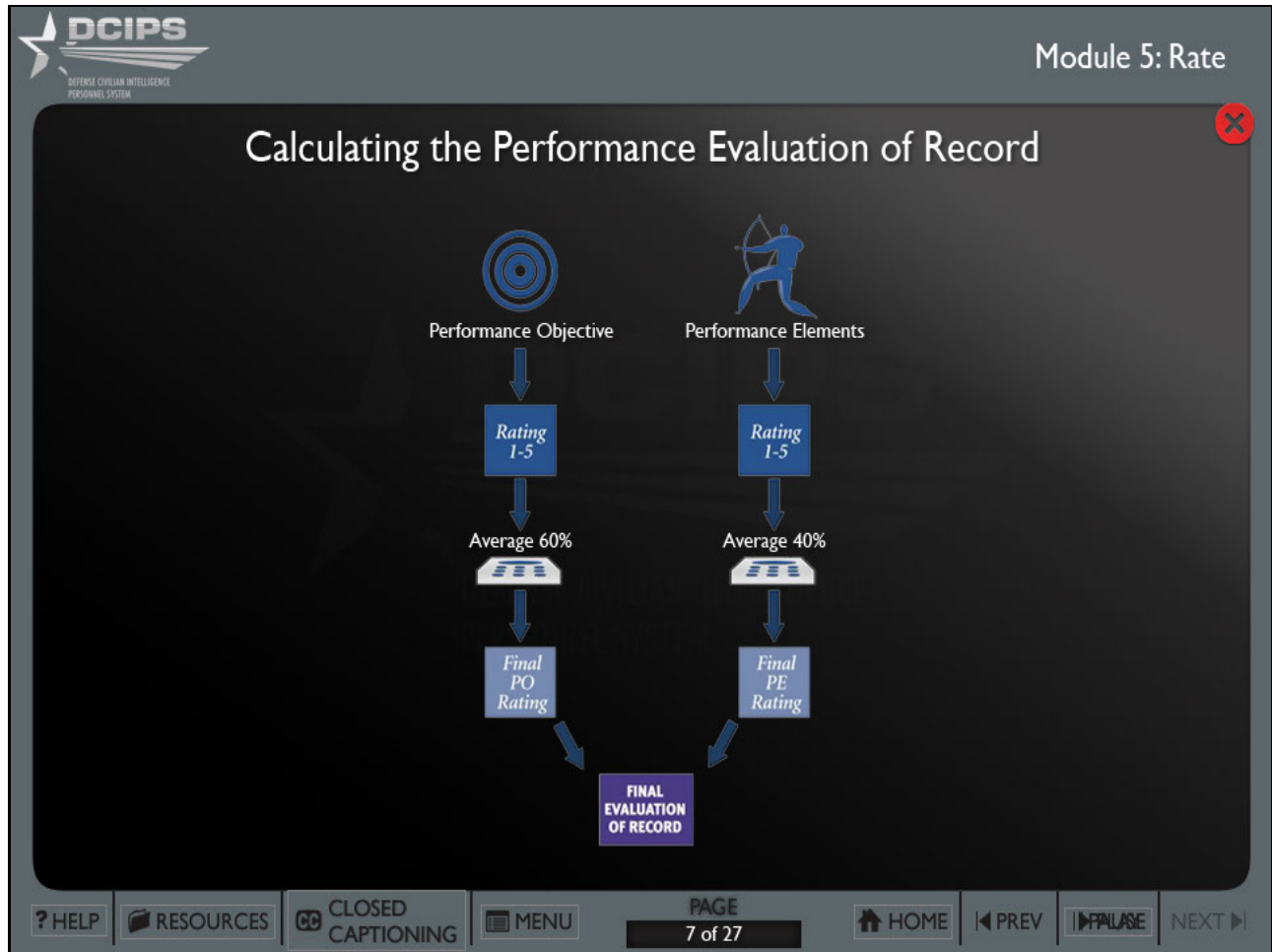
Narration:

Your Component's evaluation tool will calculate your employee's final rating, but it's important that you are familiar with the process.

Slide 7d - Calculating 02
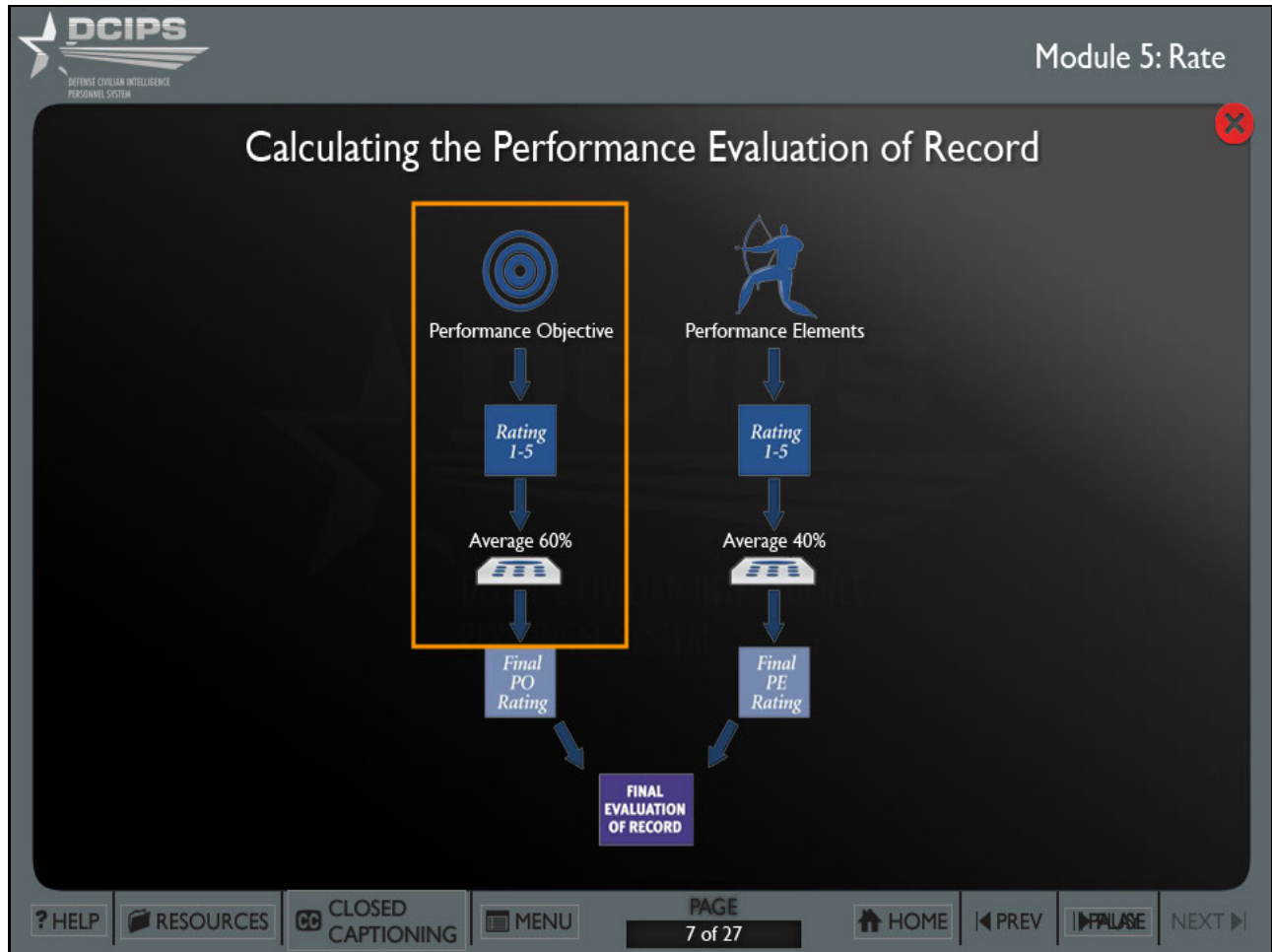
Narration:

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

Slide 7e - Calculating 03
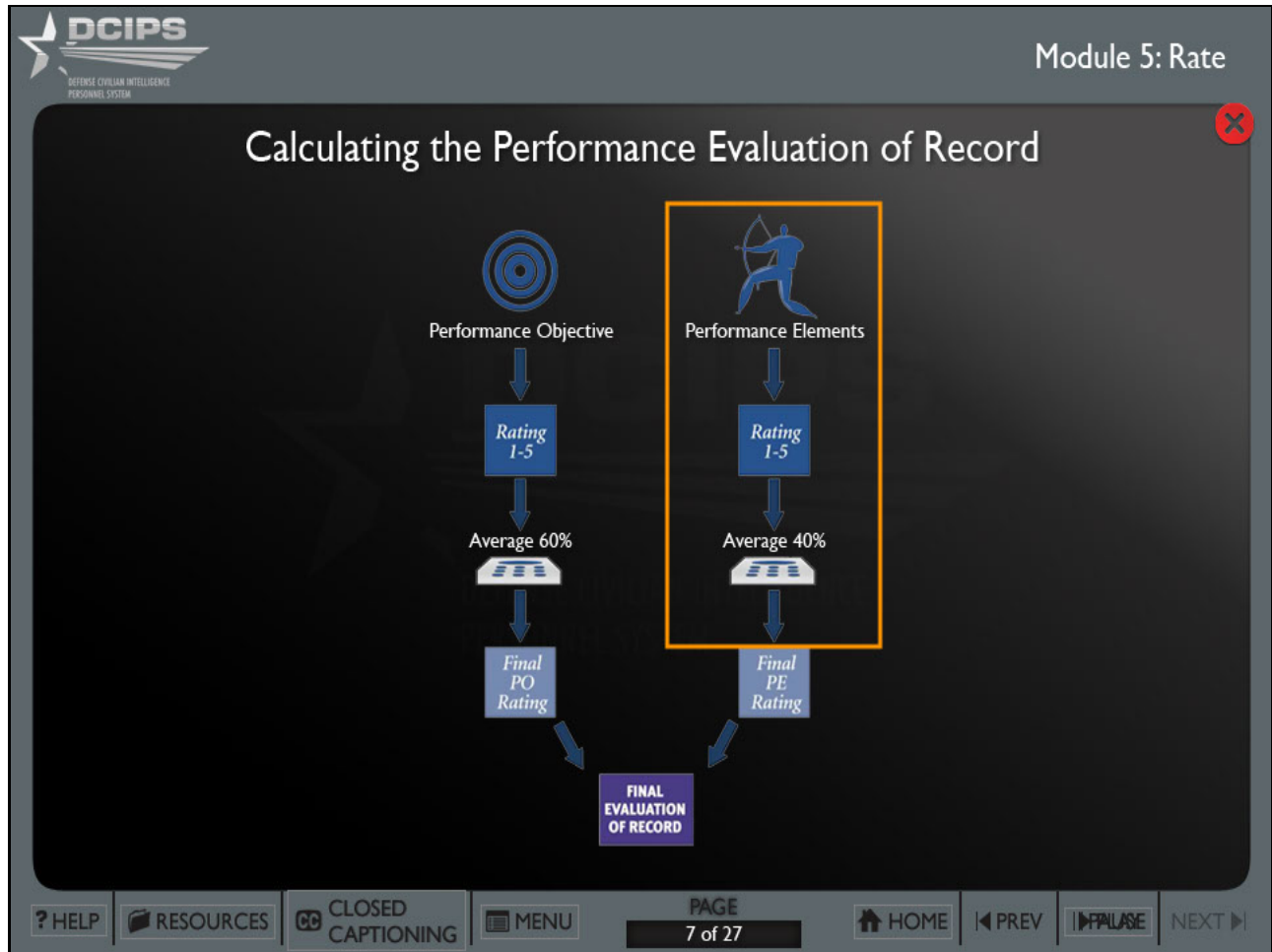
Narration:

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

Slide 7f- Calculating 04
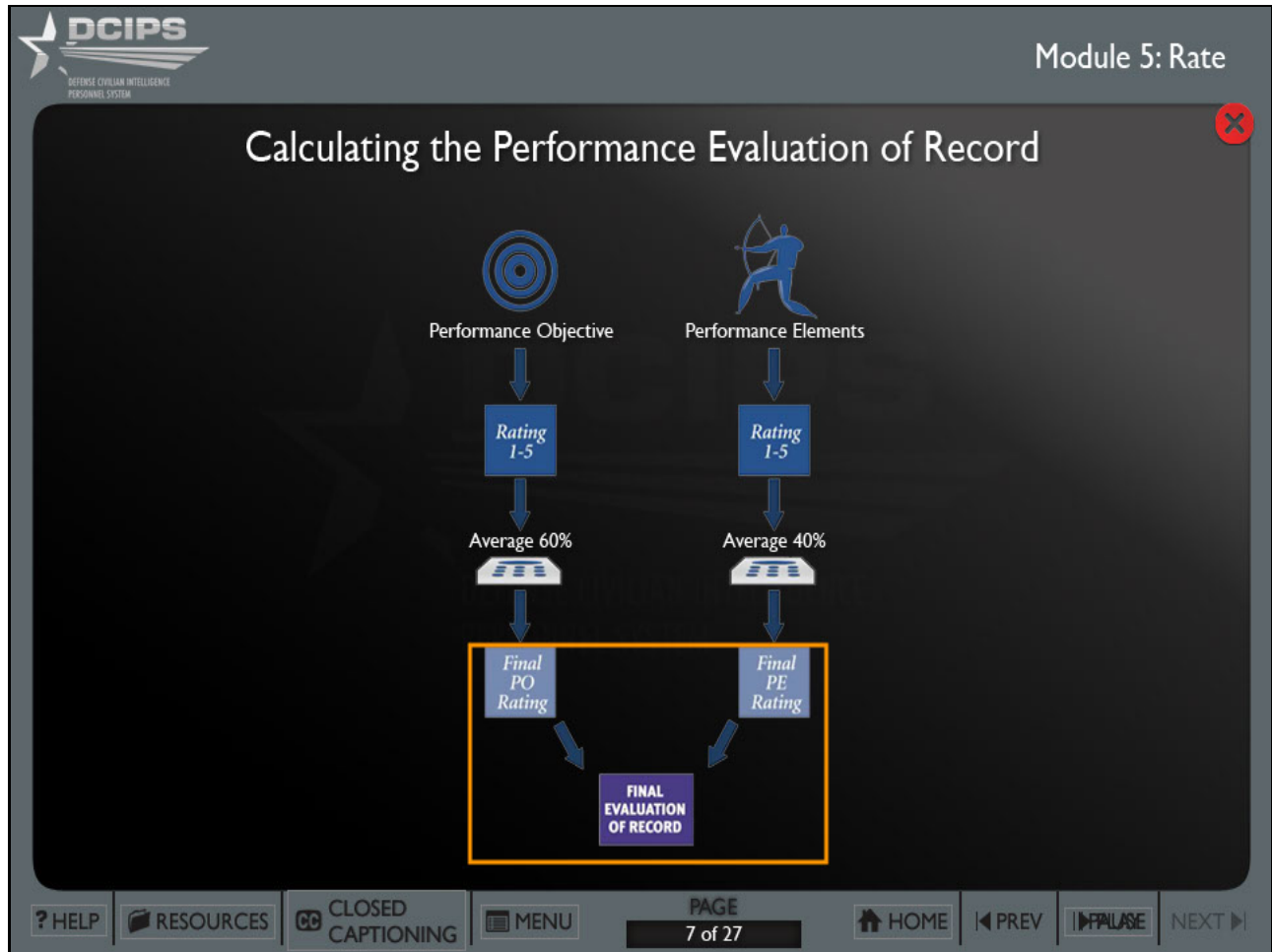
Narration:

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

Slide 7g - Calculating 05

Narration:

To bring this all together, Derrick, a DCIPS employee, earned 3s on each of his three performance objectives. The average of these ratings is multiplied by 60% and the result is 1.8. The average of Derrick's 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.

Slide 7h - Record Rating

Narration:

One last note, even though the tool generates a numerical number, when Rating Officials communicate the Performance Evaluation of Record, they should focus on the employee's level of performance such as "Successful" or "Excellent." The numerical rating is only used by the pay pool to determine payouts.
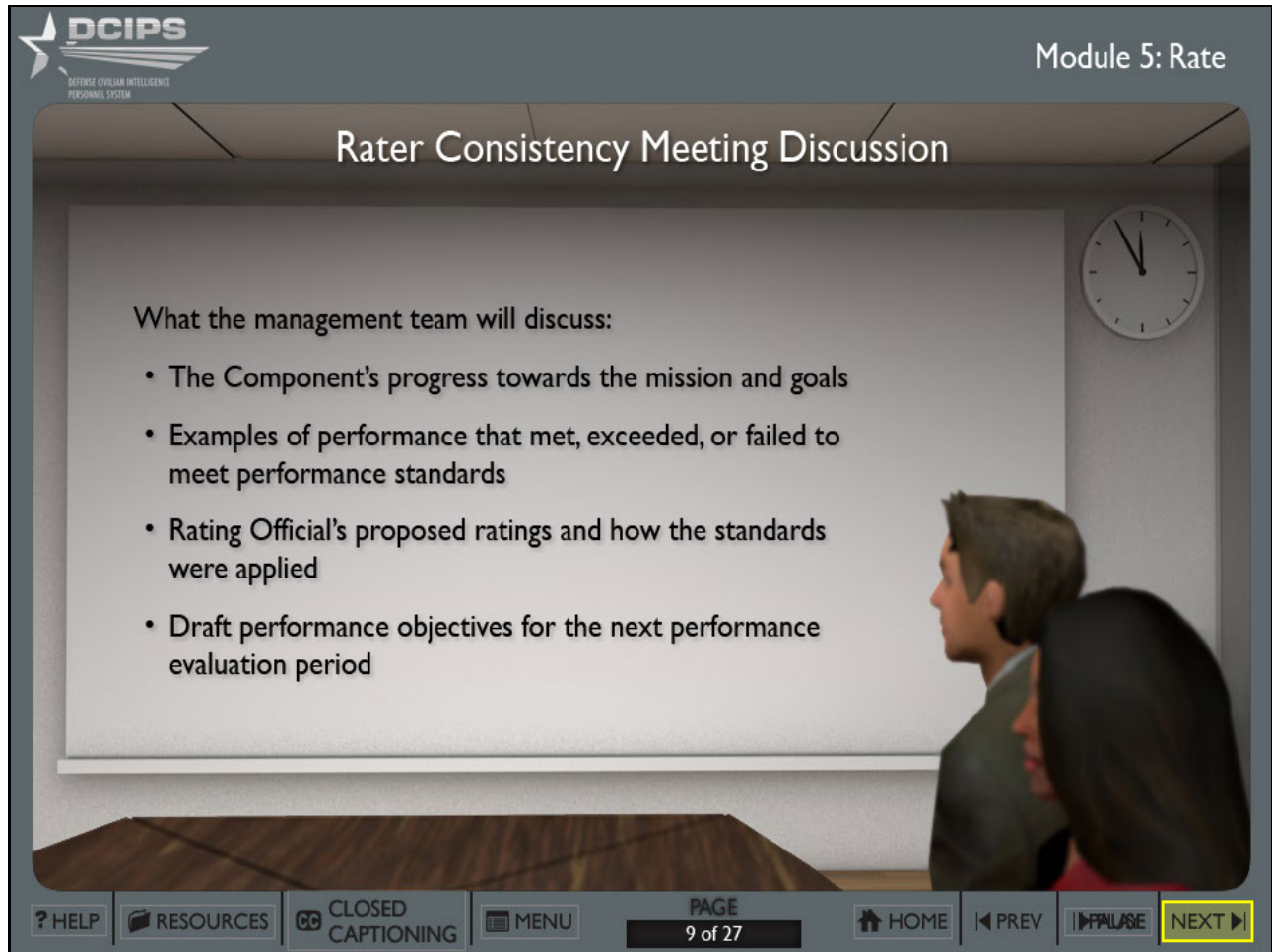
Slide 8 - DCIPS Office 05
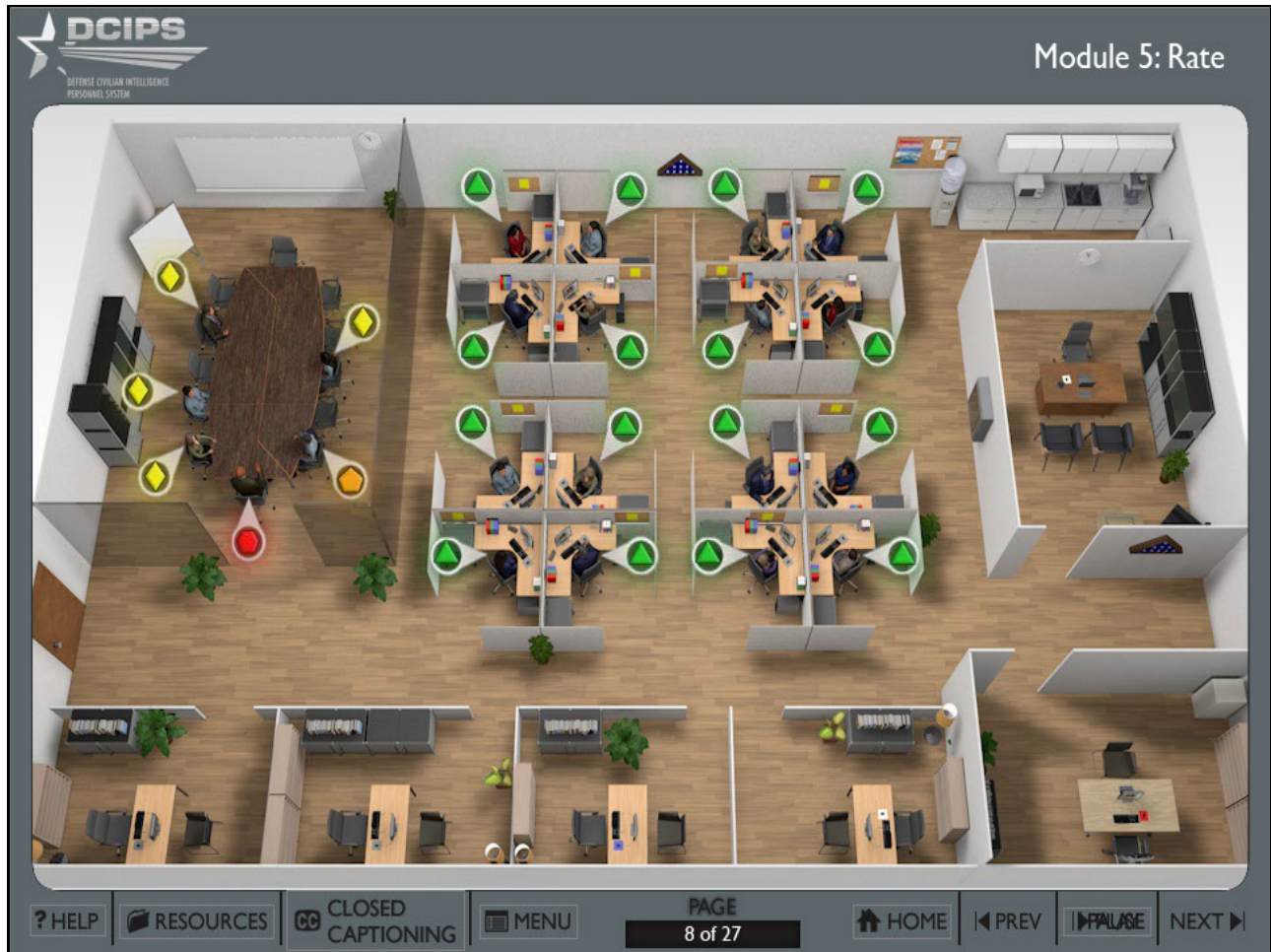
Narration:

Now that we know how the management team prepared for their final rater consistency meeting for this performance evaluation period, let's see a snapshot what they discussed during the meeting. Select the projector screen in the conference room.

Slide 9 - Meeting Discussion

Narration:

To ensure that the management team was consistently applying the performance expectations and shared understanding of the standards established at the beginning of the performance period, they discussed:

- The Component's progress towards the mission and goals;

- Examples of performance that met, exceeded, or failed to meet performance standards;

- Rating Official's proposed ratings and how the standards were applied; and

- Draft performance objectives for the next performance evaluation period.

At the conclusion of the meeting, Rating Officials were committed to review their individual ratings in consideration of the group consistency discussion and goals and make changes as appropriate.

Slide 10 - DCIPS Office 06
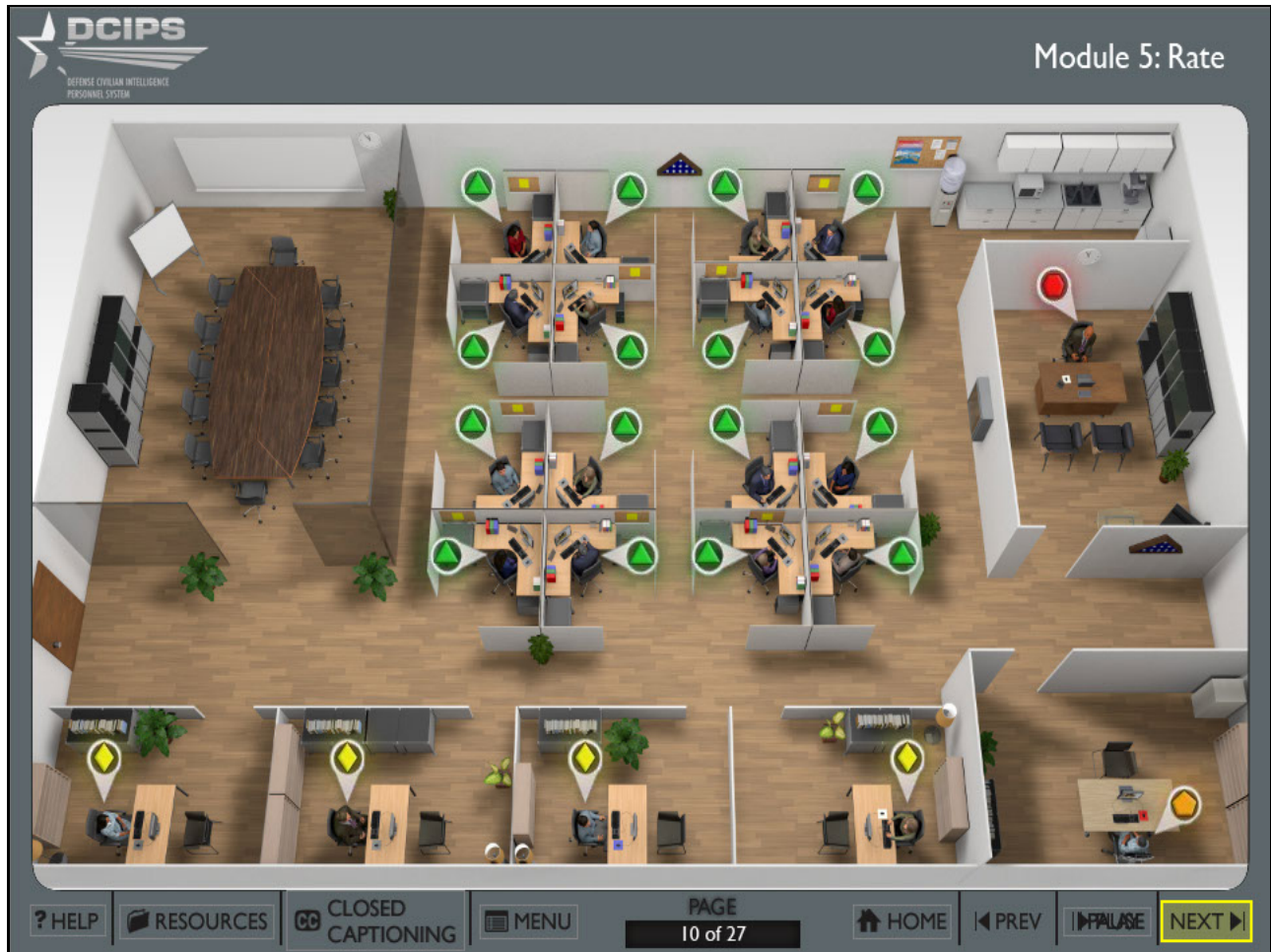
Narration:

Let's now look at what's happening with the employees in this organization. Following their Component's schedule, but no later than 15 days after the end of the performance evaluation period, employees evaluate their own performance against their performance objectives and elements and write their self-report of accomplishments narrative. Select the highlighted post-it note.

Pop-up Content:

Self-Report of Accomplishments

- Completed according to Component schedule, but no later than 15 days after the end of the performance evaluation period
- Addresses accomplishments against performance objectives and elements
- Is part of the performance record
- Informs the Rating Official's narratives

Slide 11 - DCIPS Office 07
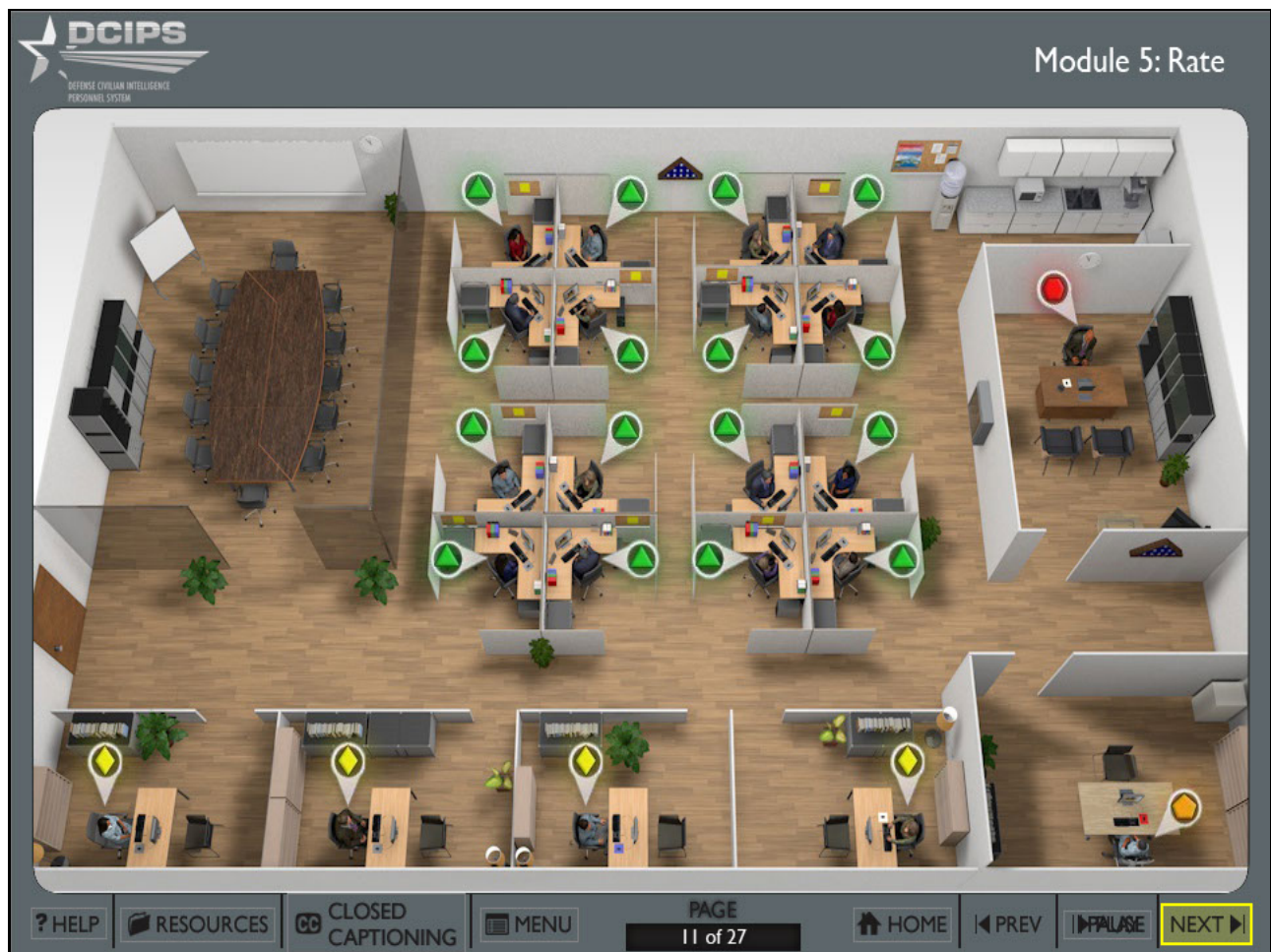
Narration:

Once completed, employees forward their self-report of accomplishments to their Rating Officials.

Slide 12 - DCIPS Office 08

Narration:

Taking employee self-reports of accomplishments into consideration, along with the shared understanding of the standards established in the rater consistency meeting, Rating Officials, in collaboration with the Supervisor, when the Supervisor is not the Rating Official, rate employee performance and write a corresponding narrative within 30 days following the end of the performance evaluation period. The process for determining the rating is the same Rating Officials followed when they prepared for the rater consistency meeting, but this time, rather than determining a proposed rating, they assign the actual rating and record it, along with performance narratives, in their Component's evaluation tool.

Slide 12a - DCIPS Office 08B
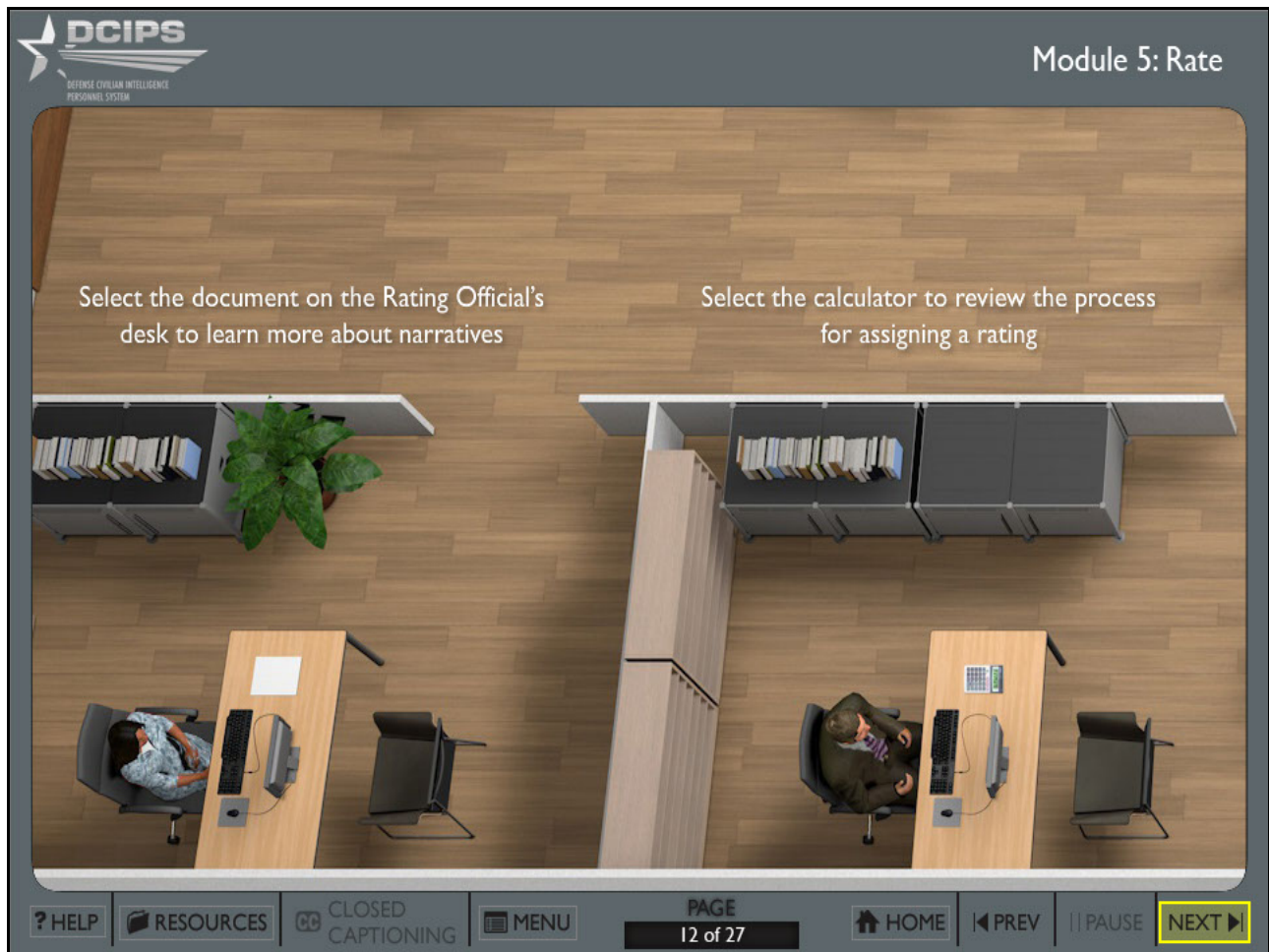
Narration:

Select the highlighted document on the Rating Official's desk to learn more about narratives. Also, if you didn't review the process for assigning a rating earlier and would like to do so now, select the calculator.

Pop-Up Content

Narratives:

- Use Component-specific guidelines (e.g., some Components require bullets, others require paragraph formatting)
- Should describe your employee's accomplishments and the impact they had on your Component's goals and objectives
- Should support the rating assigned
- Along with ratings, narratives must be complete within 30 days following the end of the performance evaluation period

Calculator Pop-Up Content is screens 7a - 7h.

Slide 13 - DCIPS Office 09
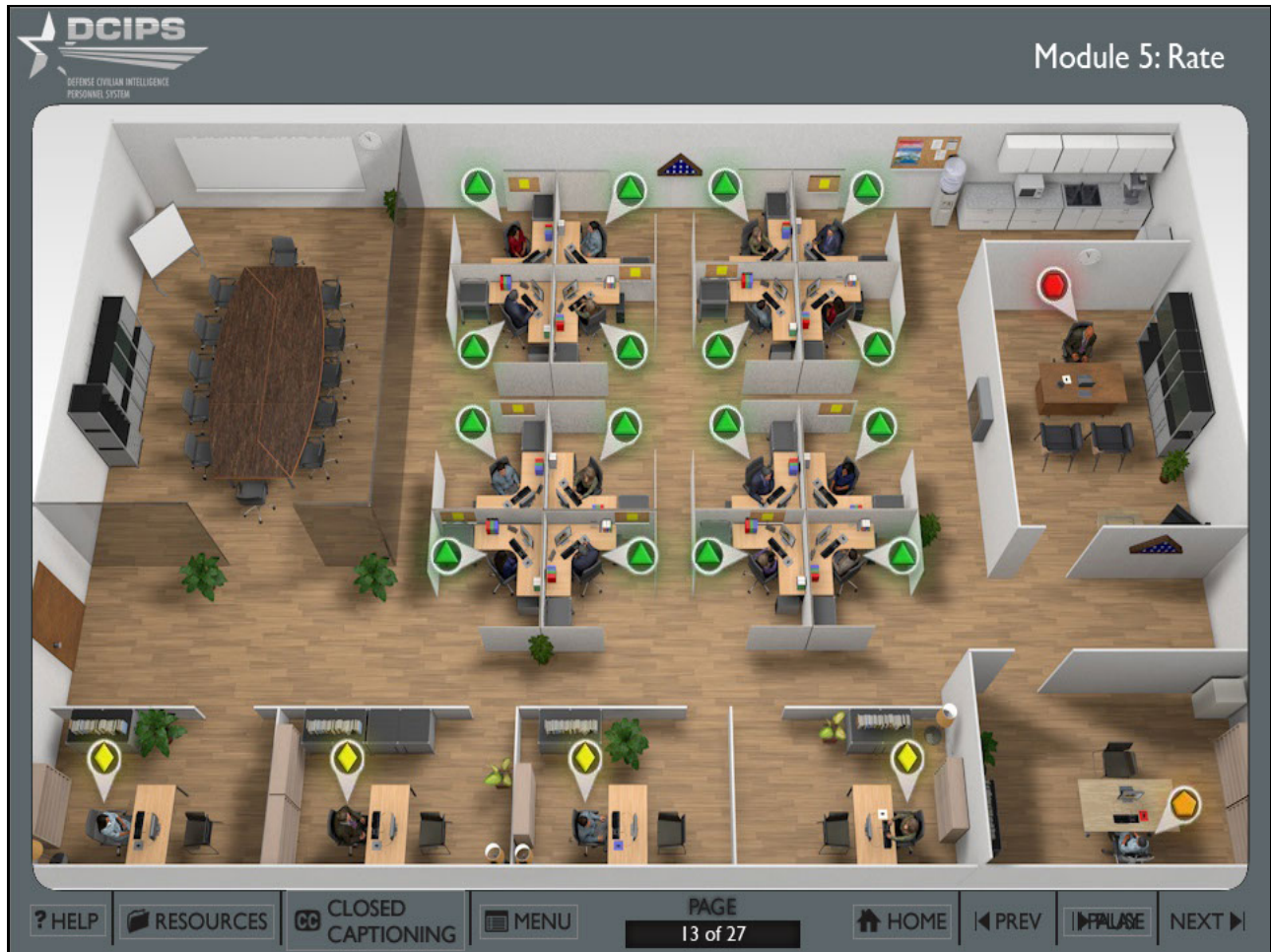
Narration:

After Rating Officials have entered ratings and narratives in their Component's evaluation tool, they forward the performance evaluations to the Reviewing Official.

Note, Rating Officials will not discuss ratings and narratives with their employees until after the Reviewing Official and PM PRA have reviewed the performance evaluations.

Slide 13a - DCIPS Office 10
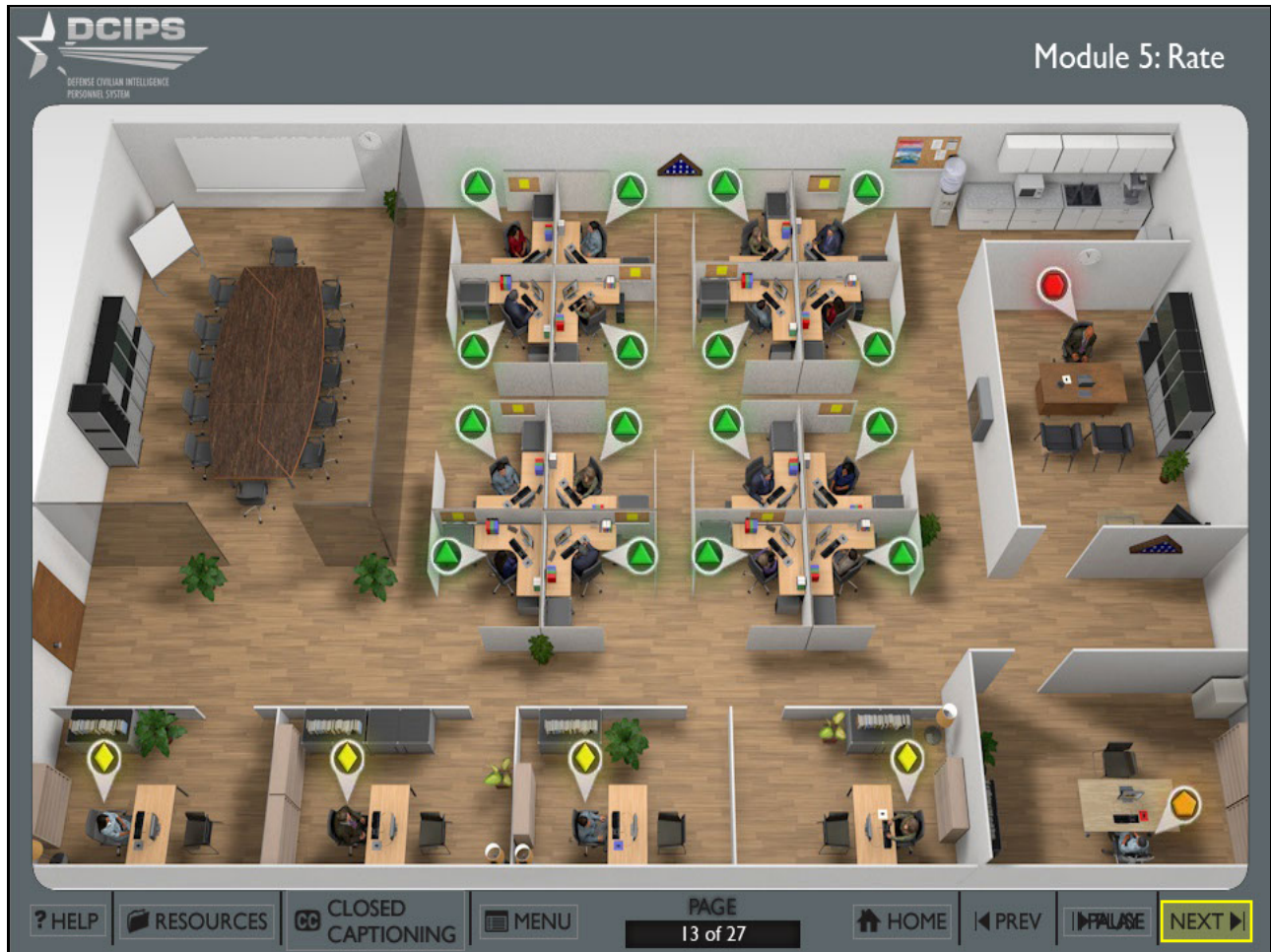
Narration:

Reviewing Officials must review all performance evaluations within their purview within 45 days following the end of the performance evaluation period. Select the highlighted Reviewing Official to learn how she carried out her responsibilities.

Slide 14 – Reviewing Official Responsibilities

Narration:

This is Colonel King, a Reviewing Official. When she reviews a performance evaluation, she looks for consistency in applying the performance standards, congruence between ratings and the supporting narrative, consistency across Rating Officials, compliance with merit system principles, and adherence to relevant policy.

Slide 14a - Reviewing Official Responsibilities

Narration:

If she agrees with the evaluation provided by the Rating Official, she provides concurrence. If she has first-hand knowledge of the employee's work and impact that would further clarify the employee's contributions for consideration during the pay pool process, she may provide an additional narrative.

Slide 14b - Reviewing Official Responsibilities

Narration:

If Colonel King does not agree with the ratings or narrative provided by the Rating Official, she will return the performance evaluation to the Rating Official. She will then meet with the Rating Official to discuss the areas of disagreement, preferably in a face-to-face conversation. If the Rating Official does not accept Colonel King's changes, Colonel King may direct the change necessary to ensure consistency in application of the standards. Colonel King keeps a record of any changes she directed.

Slide 15 - DCIPS Office 11
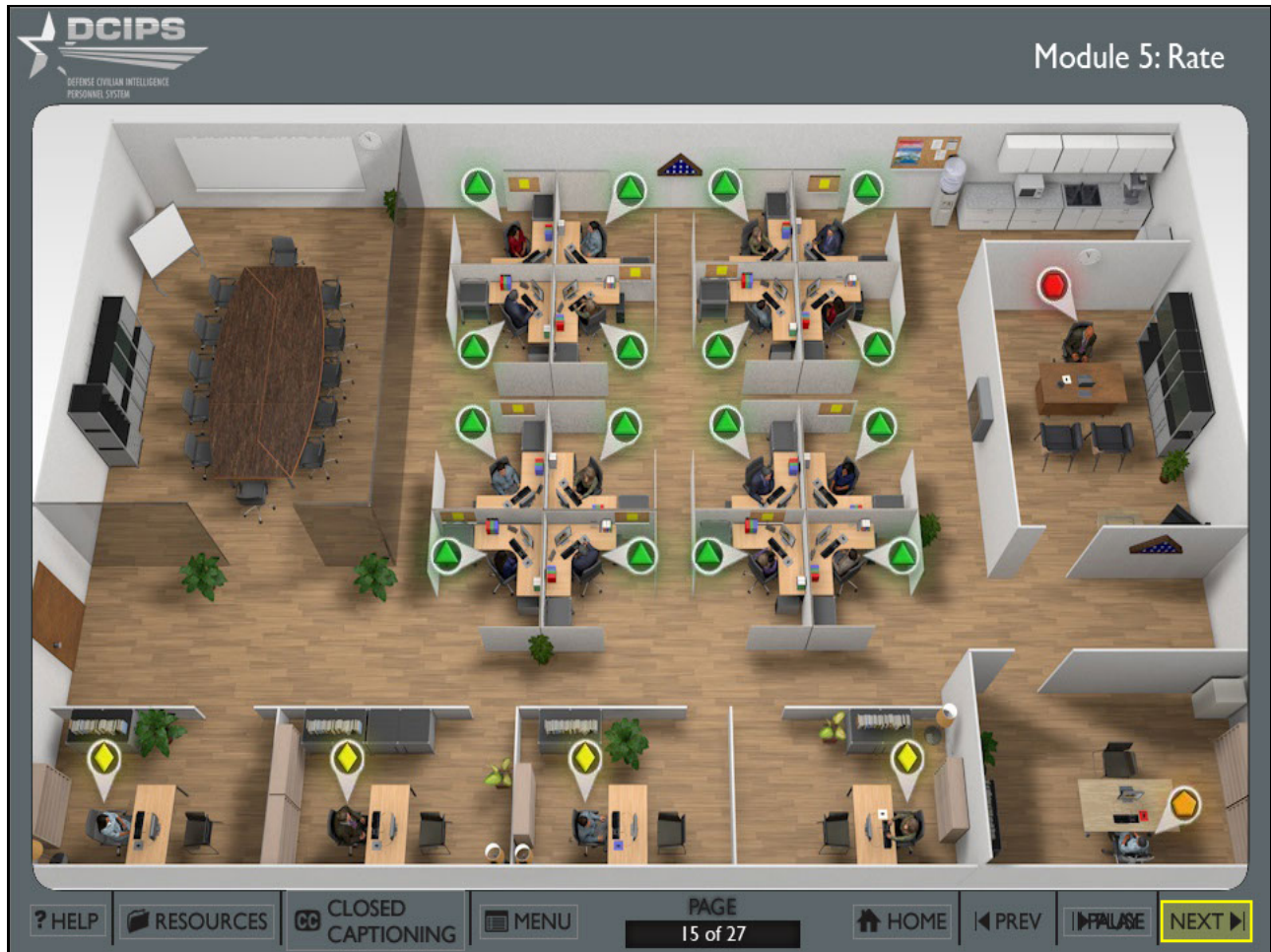
Narration:

Concurrent with the Reviewing Official's review, performance evaluations are forwarded to the PM PRA for final review. The PM PRA must complete the performance evaluation review process within 45 days of the end of the performance evaluation period.

Select the PM PRA to learn about his responsibilities.

Slide 16 – PM PRA Responsibilities

Narration:

This is Mark Jensen, the PM PRA, in this organization. As the PM PRA, Mark is responsible for performing the final review of proposed Performance Evaluations of Record and closeouts. He reviews performance evaluations for consistency across Reviewing Officials and compliance with applicable laws and regulations.

Under DCIPS policy, Evaluations of Record cannot be finalized until the PM PRA , one, completes his review of the Evaluations of Record and, two, informs the Reviewing Officials that the review is complete and that they may proceed in finalizing the Evaluations of Record.

Slide 16a - PM PRA Responsibilities

Narration:
The PM PRA can, and must, send back proposed Evaluations of Record where there is a mismatch between the narrative justifications and examples provided and the proposed evaluation of each performance objective or performance element, or any indication that policy was not followed.

When the PM PRA determines there are inconsistencies requiring action, he will attempt to resolve the discrepancies with the accountable Reviewing Official, consult legal counsel to ensure his actions conform to law, and suggest corrective action before performance evaluations are approved by the Reviewing Official to ensure the integrity of the performance evaluation process. In the event Rating or Reviewing Officials are unavailable or unwilling to make changes to comply with merit system principles and DCIPS policy, the PM PRA may make the necessary changes to ensure compliance.

Slide 17 - DCIPS Office 12

Narration:

After the review process is complete, the Reviewing Official approves performance evaluations as the final Performance Evaluation of Record.

Performance Evaluations of Record are then submitted to the pay pool for pay pool payout decisions.

Slide 18 - DCIPS Office 13
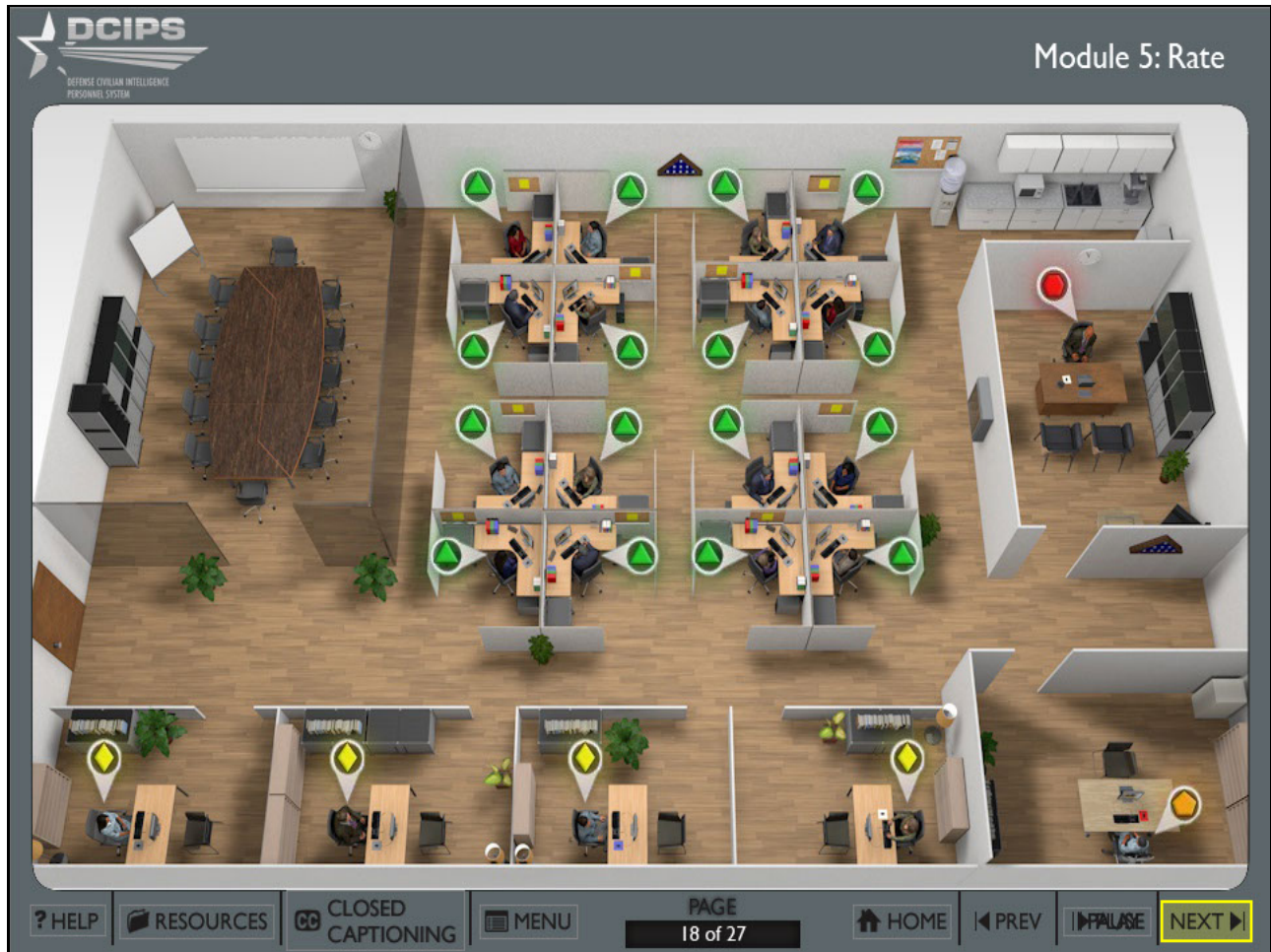
Narration:

When given approval to do so, Rating Officials meet with their employees to discuss the Performance Evaluation of Record.

Select the highlighted Rating Official to learn what she covered during her meeting with her employee.

Slide 19 - Communicating Evaluation

Narration:

When Lieutenant Colonel Lewis met with her DCIPS employee, she shared the Performance Evaluation of Record. As a reminder, the final rating for performance objectives and performance elements comprise the Performance Evaluation of Record. The narrative descriptor (that is Outstanding, Excellent, Successful, Minimally Successful, and Unacceptable) and the numerical rating, from 1 to 5, will be communicated to the employee. However, when discussing performance, Rating Officials should focus on the narrative descriptor of performance, for example, Successful or Excellent.

Colonel Lewis also discussed her employee's accomplishments against her performance objectives and how her work-related behaviors captured in the performance elements either contributed to or inhibited her overall success. Additionally, Colonel Lewis and her employee discussed achievements against the developmental goals outlined in the employee's IDP and what additional developmental objectives may contribute to continued improvement.

Slide 20 - DCIPS Office 14

Narration:

The highlighted Rating Official office has an employee who disagrees with his final rating in his Performance Evaluation of Record. The employee has two reconsideration options he can follow: formal and informal. The employee can only use these processes to challenge the final rating, not the rating assigned to an individual objective or element, for instance.

Select the document icon in the Rating Official's office to review the two options and your individual responsibilities as a Rating Official, Reviewing Official, or PM PRA.

Pop-Up Content

Informal Process –

*Although not required, DCIPS encourages the use of the informal reconsideration process for concerns regarding the Performance Evaluation of Record. The employee can still seek formal reconsideration if he follows the informal process initially.

- Employee attempts to resolve concern with his Rating and Reviewing Official by contacting them within 5 days after receiving his Performance Evaluation of Record
- Rating and/or Reviewing Official are expected to respond within 5 days of receiving the employee's request

- Employee, Rating Official and Reviewing Official should contact their HR Professional early in the process to ensure they adhere to established timelines and Component-specific guidance

Formal Process –

- Employee submits a written request for reconsideration to the PM PRA and gives a copy to his Rating Official, Reviewing Official, and Human Resource Office.

- If the employee first followed the informal process, he has 10 days after receiving the decision to begin the formal process

- If the employee did not follow the informal process, he has 10 days after receiving his Performance Evaluation of Record to begin the process

- Within 15 days of receiving the employee request, the PM PRA must render a written decision; the PM PRA may extend the deadline another 15 days, if necessary

- Employee, Rating Official, Reviewing Official, and PM PRA should contact their HR Professional early in the process to ensure they adhere to established timelines and Component-specific guidance

Slide 21 - Summary

Narration:

We've reached the end of the Rate Phase module. Let's review the responsibilities within this phase for each role.
- Rating Officials, Reviewing Officials and the PM PRA meet to discuss rater consistency;
- Employees submit self-report of accomplishments following Component schedule, but no later than 15 days after the end of the performance evaluation period;
- Rating Officials (in collaboration with the Supervisor, when the Supervisor is not the Rating Official) complete performance evaluations for each DCIPS employee within 30 days of the end of the performance evaluation period;
- Reviewing Officials review each performance evaluation and give approval within 45 days after the end of the performance evaluation period; and concurrently
- PM PRAs conduct a final review of performance evaluations for consistency and compliance within 45 days after the end of the performance evaluation period.

Slide 22 – Knowledge Check

Narration:

Before we conclude this module, let's take moment to review a few key points. Answer each question on the corresponding screens.

Slide 23 - Knowledge Check 1 of 4

Narration: N/A

Answer: C. A rating of Successful or 3 indicates that the employee is meeting the expectations of the objective.

Slide 24 - Knowledge Check 2 of 4

Narration: N/A

Answer: The Reviewing Official's responsibilities are outlined in choices B through E.

Slide 25 - Knowledge Check 3 of 4
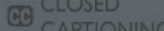
Narration: N/A

Answer: False. The Rating Official communicates the Performance Evaluation of Record to the employee after approval of the evaluations from the Reviewing Official and the PM PRA.

Slide 26 - Knowledge Check 4 of 4
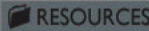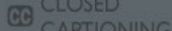
Narration: N/A

Answer: False. Rating Officials rate employee performance and write a corresponding narrative within 30 days following the end of the performance evaluation period.

Slide 27 - End

Narration:

Congratulations on completing Module 5: Rate Phase. Select another module of your choice from the menu to continue the course. Once you have reviewed all seven modules, select the "Conclusion" button to end the course.

Slide 1 - Timeline

Narration:

In this module, we will discuss the final phase in the Performance Management process, Reward. If you haven't done so already, take a few moments to roll over each arrow on the DCIPS performance management timeline, paying particular attention to the section highlighted in yellow as it pertains to the Reward Phase.

Timeline Content:

Sept/Oct –
- Performance planning for next performance period begins
- Rating Officials, Reviewing Officials and PM PRA meet to establish performance expectations for the next performance evaluation period
- Current period ends on Sept. 30

Oct –
- New performance period begins on Oct. 1
- Employee performance plans and IDPs are in place within 30 days after the beginning of performance evaluation period
- Assess performance from the prior performance evaluation period (Oct/Nov timeframe):
    - Employees submit self-report of accomplishments
    - Rating Official assigns ratings and writes narrative(s)
    - Rating Officials, Reviewing Officials and PM PRA meet to discuss rater consistency

- Reviewing Official and PM PRA approve performance evaluations

Nov –
- Rating Official shares final Performance Evaluation of Record with employees, once given approval to do so
- Final Performance Evaluation of Record submitted to Pay Pool for pay pool payout considerations

Dec –
- Notice of pay pool results
- Rating Officials communicate pay pool payout decisions to DCIPS employees, once given approval to do so

Jan - Pay pool payouts are generally effective the first pay period in January

Mar –
- Rating Officials, Reviewing Officials and PM PRA meet to ensure rater consistency
- Mandatory Midpoint Review

Slide 2 - Reward Phase Activities

Narration:

As you may have noticed on the timeline, the December activities for the Reward Phase include notice of pay pool results and that Rating Officials communicate pay pool payout decision to DCIPS employees, once given approval to do so.

Slide 2a - Pay Pool Process
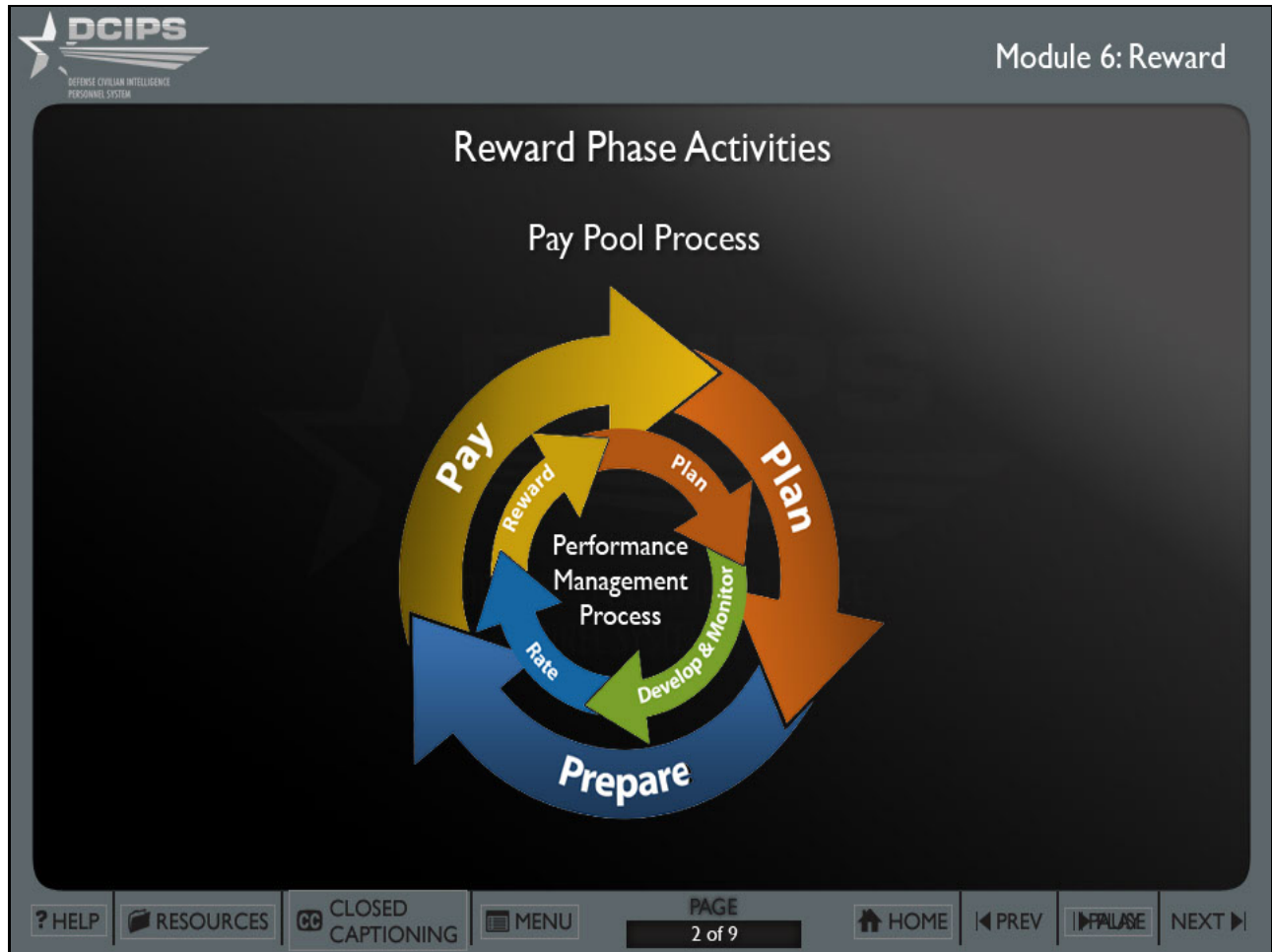
Narration:

The DCIPS pay pool step of "Pay" governs the Reward Phase of the performance management process. To give you an idea of how the two processes work together, while the Pay Phase of the pay pool process is ongoing; the Plan Phase of the performance management process begins again. The two processes are separate, but interdependent.

Slide 2b - Reward Phase Activities

Narration:

As the Rating Official, you will communicate pay pool payout decisions to your DCIPS employees once you are given approval to do so. It is beyond the scope of this course to go into too much detail pertaining to the pay pool process, but we will touch on a few general points in this module. If you are selected to be a participant in the Pay Pool Panel, there is mandatory training available from your Component and on the DCIPS website.

Slide 3 - Pay Pool Panel

Narration:

After the Reviewing Official approves the Performance Evaluations of Record created during the Rate Phase, they are submitted to the Pay Pool Panel who determines pay pool pay outs. It is important to note that during the pay pool process, payouts CAN be adjusted; but, once Performance Evaluations of Record are submitted to the Pay Pool Panel, ratings CANNOT be changed.

Slide 3a - Pay Pool Panel Payouts

Narration:

The "payouts" the Pay Pool Panel determines are: performance-based salary increases and/or bonuses for employees in the banded structure, performance-based bonuses for employees in the graded structure, and DQI and SQI awards if they are included in the Component's pay pool process.

Slide 3b - Eligible Payouts

Eligible Payouts for Evaluation Received and Pay Structure

Pay Pool Awards	DCIPS Banded Structure	DCIPS Graded Structure
Performance-Based Salary Increase	Yes	No
Performance-Based Bonuses	Yes	Yes
Base Pay Increase Monetary Awards* (e.g., DQI & SQI)	No	Yes
Other Types of Awards (outside Pay Pools)		
Base Pay Increase Monetary Awards* (e.g., DQI & SQI)	No	Yes
V2008** Monetary lump sum awards (e.g., SA)	Yes	Yes
Other e.g., Time-Off Awards, etc.	Yes	Yes

* Component heads may direct these awards be deliberated within the pay pool process. If the pay pools do not decide DQI and SQI, they would be handled within the organizational hierarchy, as directed by the Head of the Component.
** V2008 is the DCIPS Volume pertaining to Awards and Recognition.

Narration:

This chart identifies what types of payouts your employee may be eligible for based on the evaluation he or she received and the pay structure to which he or she belongs. For questions pertaining to payouts within your Component, please see your HR Professional.

Slide 4 - Bonuses

Narration:

As a Rating Official, it is important that you manage your DCIPS employee's expectations in regards to bonuses. Bonuses are for exceptional performance – not everyone gets one. In fact, DCIPS policy generally limits bonuses to no more than fifty percent of the Component's DCIPS positions. In some cases, the number of bonuses awarded by a Component may be less than fifty percent so that the dollar amount of the bonuses may be increased. This serves to highlight the importance of the award.

Slide 5 - Summary

Narration:

We've reached the end of this module. Let's review what we have discussed.

First, the pay pool process of "Pay" governs the Reward Phase.

Second, after the Reviewing Official approves the Performance Evaluations of Record, they are submitted to the Pay Pool Panel and ratings cannot be change.

Next, the Pay Pool Panel determines performance-based payouts.

Finally, as the Rating Official, you need to manage your employees' expectations in regard to salary increases and bonuses; DCIPS policy generally limits bonuses to no more than fifty percent of the Component's DCIPS positions.

Slide 5a - Knowledge Check

Narration:

Before we conclude this module, let's take moment to review a few key points. Answer each question on the corresponding screens.

Slide 6 - Knowledge Check 1 of 3

Narration: N/A

Answer: B. The pay pool process begins after Performance Evaluations of Record are completed and approved.

Slide 7 - Knowledge Check 2 of 3

Narration: N/A

Answer: False. The Rating Official is responsible for communicating pay pool payout decisions to DCIPS employees, not the PM PRA.

Slide 8 - Knowledge Check 3 of 3

Narration: N/A

Answer: False. To highlight the importance of the award, bonuses are awarded to exceptional employees and are generally limited to 50% of the DCIPS positions within a Component.

Slide 9 - End

Narration:

Congratulations on completing Module 6: Reward Phase. Select another module of your choice from the menu to continue the course. Once you have reviewed all seven modules, select the "Conclusion" button to end the course.

Slide 1 - IPP Events

Narration:

This is Lieutenant Colonel Lewis, a Rating Official. Events within her Component during the last performance evaluation period created what DCIPS refers to as interim periods of performance situations. These are events in which you, as the Rating Official, have a change of responsibility or in which your DCIPS employees are either permanently or temporarily reassigned. There are specific responsibilities that must be completed in each situation. We'll learn about your responsibilities as a Rating Official in these situations by seeing how Colonel Lewis addressed them.

Slide 2 - Employee IPP Scenarios

Narration:

Four of Colonel Lewis' DCIPS employees had a different interim period of performance situation. Select each employee to learn about the situation and how Colonel Lewis handled it.

Slide 2a - Victor

Narration:

About half way through the performance evaluation period, Victor was reassigned to a new position in another work unit; as a result, Colonel Lewis was no longer his Rating Official. Because Victor had been under an approved performance plan for more than 90 days with Colonel Lewis, Colonel Lewis was required to complete a closeout performance evaluation on Victor.
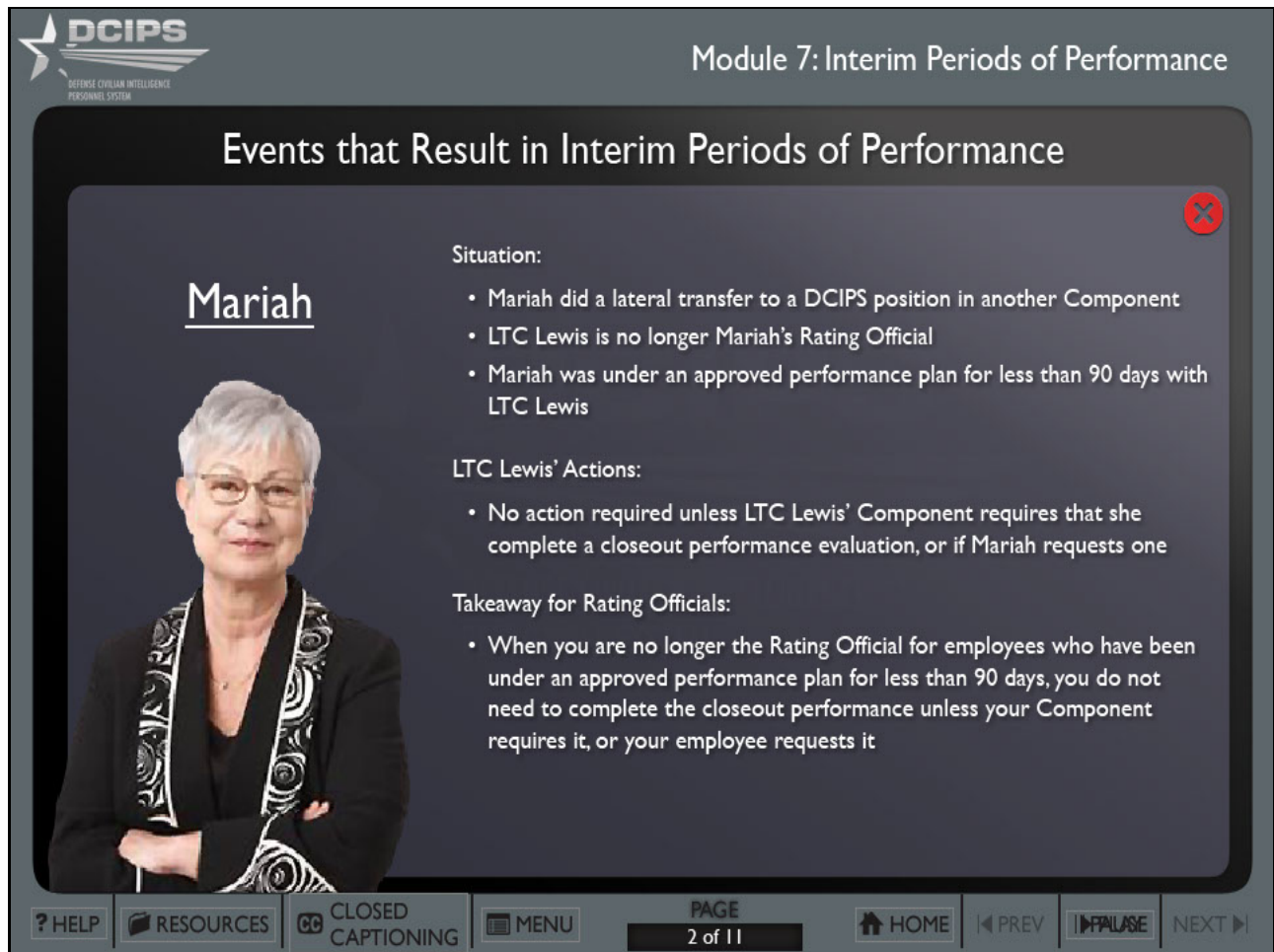
In the closeout performance evaluation, Colonel Lewis included a brief narrative description of Victor's performance, his accomplishments, and his contribution to the current performance evaluation period. She also included a numerical evaluation for Victor's performance elements, performance objectives, and his overall evaluation, in accordance with the end-of-year performance evaluation process.

After Colonel Lewis completed the closeout performance evaluation, it was reviewed by the Reviewing Official and PM PRA and then approved by the Reviewing Official.

The takeaway here is that anytime you will no longer be an employee's Rating Official and the employee has been under an approved performance plan with you for more than 90 days, as the Rating Official, you need to complete a closeout performance evaluation just as Colonel Lewis did.

Select the "Return" button to learn about another interim period of performance situation.

Slide 2b - Mariah

Narration:

One month into the new performance evaluation period, Mariah's husband got a new job in a different state and Mariah did a lateral transfer to a DCIPS position in another Component. Because Mariah was under an approved performance plan with Colonel Lewis for less than 90 days, Colonel Lewis is not required to complete a closeout performance evaluation unless her Component internal policy requires that she do so, or if Mariah requests one.

The takeaway for you to know is that if you will no longer be an employee's Rating Official and the employee has been under an approved performance plan with you for less than 90 days, as the Rating Official, you do not need to complete a closeout performance evaluation unless your Component requires that you do, or your employee requests it.

Select the "Return" button to learn about another interim period of performance situation.

Slide 2c - Deven

Narration:

In January, Deven was asked to complete a temporary assignment for the month of February. As the temporary assignment was for less than 90 days and Colonel Lewis remained as Deven's Rating Official, she was not required to complete a closeout performance evaluation. However, it is important that Deven's accomplishments and contributions during the temporary assignment be considered in the end-of-year performance evaluation process. As such Deven's supervisor while on the temporary assignment wrote a brief narrative of Deven's contributions and sent it to Colonel Lewis. This narrative is called a temporary assignment report of performance. Additionally, Devon included a brief summary in his self-report of accomplishments at the end of the performance evaluation period, and Colonel Lewis ensured that all period of deployment or temporary assignment for Deven were considered and documented during the end-of-year performance evaluation.

The takeaway for you to know is that it is your responsibility to ensure any temporary assignments or deployments your DCIPS employees may have are considered and documented when evaluating their performance at the end of the performance evaluation period.

Select the "Return" button to learn about another interim period of performance situation.

Slide 2d - Tara

Narration:

In November, Tara was selected for a 6-month deployment. Colonel Lewis remained as Tara's Rating Official. However, because the deployment was for more than 90 days, Tara's deployment supervisor was responsible for completing a closeout performance evaluation at the conclusion of Tara's deployment and sending it to Colonel Lewis.

The takeaway here is that is you have an employee who goes on a temporary assignment or deployment for more than 90 days, be sure that you receive a closeout performance evaluation from the person who supervised your employee and use this information when preparing your employee's performance evaluation.

Select the "Return" button to learn about another interim period of performance situation.

Slide 3 - IPP Flowchart
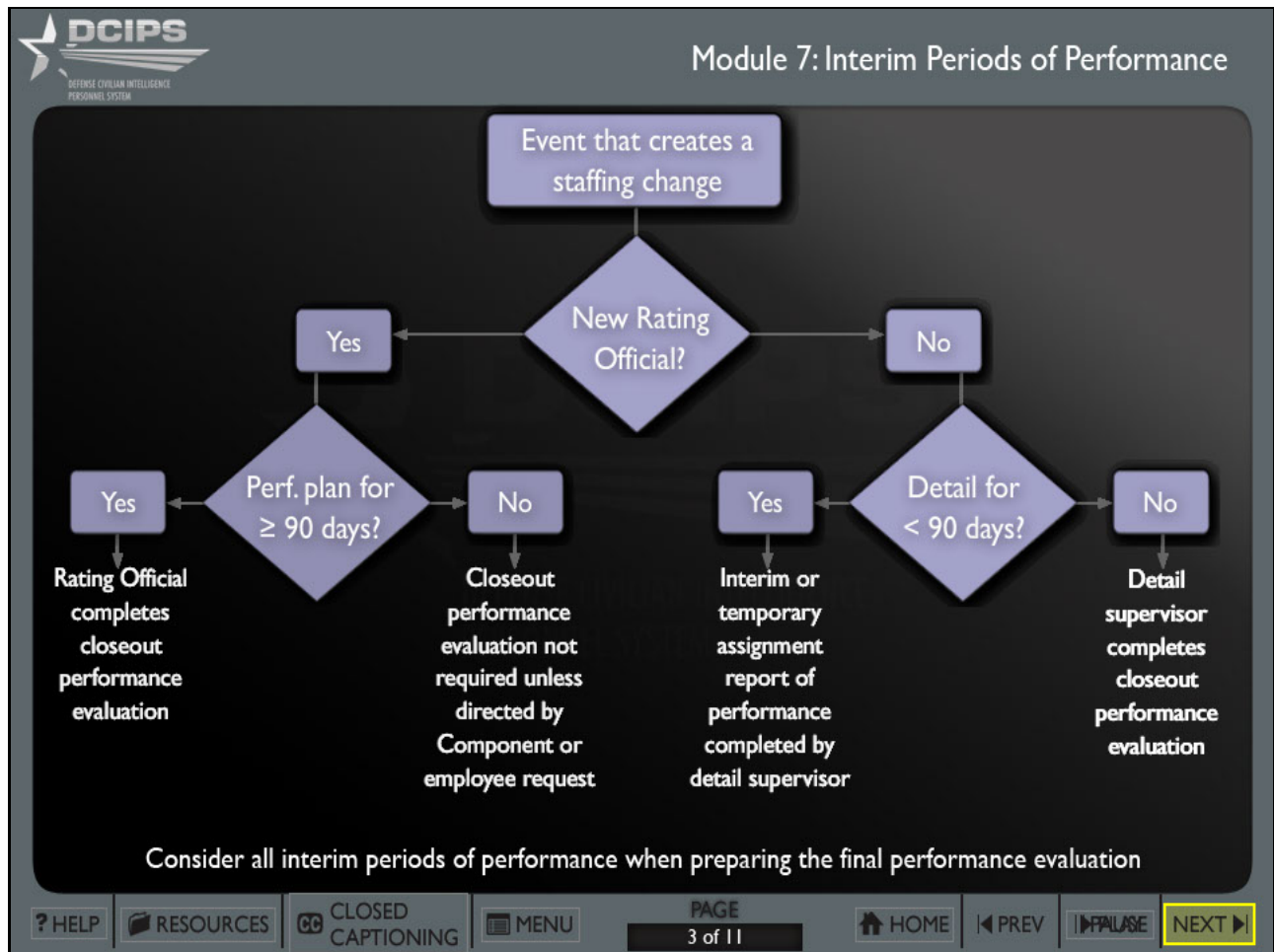
Narration:

Let's use this flowchart to summarize what we've discussed about interim periods of performance.

When an event creates a staffing change, the first question to ask yourself is whether your employee has a new Rating Official.

If the answer is, "Yes," the next question to ask is whether your employee has been under an approved performance plan for at least 90 days with you as his or her Rating Official. If the answer is, "Yes," then you need to complete a closeout performance evaluation. If your employee has not been under an approved performance plan for at least 90 days, a closeout performance evaluation is not required unless your Component designates it, or your employee requests it.

If you will remain as your employee's Rating Official, the next question to ask yourself is whether the temporary assignment or detail your employee has been assigned is for less than 90 days. If the answer is "Yes," then the detail or temporary assignment supervisor will complete an interim or temporary assignment report of performance and send it to you.

If your employee will be gone for more than 90 days, the detail supervisor is required to complete a closeout performance evaluation and send it to you.

As a final reminder, when preparing the end-of-year performance evaluation for your employees, you should consider information contained on all closeout performance evaluations or interim or temporary assignment reports of performance as they are a reflection of your employee's contributions and accomplishments.

Slide 4 - Closeout Performance

Narration:

One last point to know about closeout performance evaluations is that it will become the Performance Evaluation of Record in circumstances where the Performance Evaluation of Record cannot be completed. If this situation were to occur, you must inform your employee that this is the case and record the date when you do so. The reconsideration process for disputing ratings in this situation is the same as it is with other Performance Evaluations of Record. Check with your HR Professional for Component-specific guidance.

Slide 5 - Special Circumstances

Narration:

In addition to interim periods of performance situations, there are other special circumstances you may encounter such as employees absent to perform military service, employees absent on workers' compensation, employees absent due to other special circumstances, and administrative errors that caused an extension to the performance evaluation period.

Volume 2011, Section 8 outlines how you, as the Rating Official, should handle each of these circumstances. To review the policy, select the button.

Slide 5a - Special Circumstances Pop-up

Narration: N/A

Pop-up Content

Volume 2011, Section 8

8. SPECIAL CIRCUMSTANCES

a. Employees Absent to Perform Military Service. Employees who are absent from their positions to perform military service shall be entitled to all protections of title 38, U.S.C. (Reference (h), commonly referred to as the Uniformed Services Employment and Reemployment Rights Act).

(1) Employees who leave their positions during an evaluation period to serve a period of active military service, and who have completed at least 90 days under their performance plan, shall be entitled to a close-out performance evaluation in accordance with subparagraph 7.a.(2) of [Volume 2011].

(2) Employees who return to their positions following a period of military service who do not have the required 90 days of civilian service under a performance plan during the current evaluation period at the close of the evaluation period, shall be awarded a presumptive evaluation of record. The presumptive evaluation will be their last summary evaluation of record prior to departure for military service, but not less than a summary rating of "Successful" for the evaluation period that has closed.

b. Employees Absent on Workers' Compensation. Employees absent from their positions on workers' compensation shall be handled in accordance with the procedures in paragraph 8.a. of [Volume 2011].

c. Employees Absent Due to Other Special Circumstances. Employees absent from their positions on long-term training or other special circumstances shall be handled in accordance with the policies established by their DoD Components.

d. Administrative Error. Employees who would have been eligible for a rating of record pursuant to this Volume but for an administrative error shall be provided an extension to the evaluation period. The rating and payout procedures shall be in accordance with the requirements of this Volume and Volume 2012 of this Instruction to the maximum extent feasible. Such extension may not delay the effective date of the payout for either the individual employee or the pay pool.

Slide 6 - Reminder

Narration:

As a reminder, should an interim period of performance or special circumstance impact an employee's performance objectives, ensure that you make the necessary revisions to your employee's performance plan.

Slide 6a - Summary

Narration:

This brings us to the end of this module. Let's review what we've covered.

Learning from the experiences of Colonel Lewis, we discussed the events that result in interim periods of performance situations.

We talked about the two types of reports for interim periods of performance – A closeout performance evaluation and an interim or temporary assignment report of performance -- and the responsibilities with each of them.

Finally, we learned there are other special circumstances you may encounter and that Volume 2011, Section 8 outlines how to handle them.

Slide 7 - Knowledge Check

Narration:

Before we conclude this module, let's take moment to review a few key points. Answer each question on the corresponding screens.

Slide 8 – Knowledge Check 1 of 3

Narration: N/A

Answer: False. Because the period of assignment is less than 90-days, you do not need to complete a closeout performance evaluation. Rather, the supervisor at the location where your employee will be detailed will complete a brief narrative of your employee's contributions during the temporary assignment. This is called an interim or temporary assignment report of performance.

Slide 9 – Knowledge Check 2 of 3

Narration: N/A

Answer: A and C are the items Volume 2011 requires in a closeout performance evaluation.

Slide 10 – Knowledge Check 3 of 3

Narration: N/A

Answer: False. Because you are still your employee's Rating Official, you do not need to complete a closeout performance evaluation. However, because the deployment is more than 90 days, the deployment supervisor is required to complete a closeout performance evaluation at the end of your employee's deployment and send it to you.

Slide 11 - Module 7 Conclusion

Narration:

Congratulations on completing Module 7: Interim Periods of Performance. Select another module of your choice from the menu to continue the course. Once you have reviewed all seven modules, select the "Conclusion" button to end the course.

Slide 1 - DCIPS Questions

Narration:

This brings us to the end of the course. If you have outstanding questions about DCIPS and have not yet taken DCIPS 101, you are encouraged to take that web-based training course, or, reach out to your HR office.

Slide 2 - DCIPS Review

Narration:

As we discussed in the Introduction, DCIPS is a personnel system designed to create a culture in which the performance and contributions of the workforce are linked to the mission and where there is a shared vision of what needs to be accomplished.

Slide 2a - DCIPS Review

Military Performance Evaluation Systems	DCIPS
• End-of-year activity	• On-going performance feedback and discussion throughout performance evaluation period
• No individualized performance objectives aligned to mission	• Individual performance objectives aligned to mission • Performance objectives relevant and appropriate for work level and pay band or grade
• Ratings take into account rater profiles where performance is compared against the general perception of what is acceptable • Less measurable distinction between "how" and "what" personnel accomplish	• Quotas are forbidden • Meaningful distinction between levels of performance based on rating standards • Rate performance elements, the "how," and performance objectives, the "what" • Rate performance equitably and consistently against performance standards defined in Volume 2011
• Ratings provide major input to promotion boards and can impact entire career	• Ratings reflective of single performance evaluation period; tool for performance improvement
• Rater focused	• Employees write Self-Report of Accomplishments
• Reconsiderations generally do not exist, or are much more difficult to defend	• Reconsideration process in which employees can challenge their Performance Evaluation of Record
• Mission focused and tend to use non-monetary forms of motivation and rewards	• Performance-based compensation in which employee performance is used as input in the payout process • Uses non-monetary forms of motivation and rewards, but performance plays a big role in the total rewards strategy

? HELP RESOURCES CLOSED CAPTIONING MENU PAGE 2 of 5 HOME PREV PAUSE NEXT

Narration:

We also discussed the primary differences between DCIPS and military performance evaluation systems.

Slide 3 - Performance Management Phases

Narration:

Throughout this course, we have discussed your specific responsibilities within each of the four phases of the DCIPS performance management process.

Slide 4 - DCIPS Resources

Narration:

We have also identified the resources you need to successfully manage your civilian intelligence personnel under DCIPS. In Module 2 we learned about these resources and their purpose. Select the button to download a resource checklist.

Slide 5 - Conclusion

Narration:

We have covered a lot of material. You are welcome to select any of the seven modules to review the content. For a paper-based version of each module, select the "Resources" button. Finally, select the "Print Course Certificate" button to download a certificate indicating you have completed the course.

Resources

Narration:

To download a paper-based version of the modules, select each one and a PDF file will open. You can then print or save the file. Additionally, select the "DCIPS Website" button to find DCIPS resources, including policy documents and training opportunities. Finally, select the "Volume 2011" and the "General Standards for Rating Performance Objectives and Elements" buttons to download these resources if you didn't do so in Module 2.

DCIPS Occupational Structure Aligned by Work Levels

TECHNICIAN/ADMINISTRATIVE SUPPORT WORK CATEGORY

Senior
Work Level 3
Pay Band 3   GG–11-13

Full Performance
Work Level 2
Pay Band 2   GG–7-10

Entry/Developmental
Work Level 1
Pay Band 1   GG–1-7

PROFESSIONAL WORK CATEGORY

Expert
Work Level 4
Pay Band 5   GG–15

Senior
Work Level 3
Pay Band 4   GG–13-14

Full Performance
Work Level 2
Pay Band 3   GG–11-13

Entry/Developmental
Work Level 1
Pay Band 2   GG–7-10

SUPERVISION/MANAGEMENT WORK CATEGORY

Expert
Work Level 4
Pay Band 5   GG–15

Senior
Work Level 3
Pay Band 4   GG–13-14

Full Performance
Work Level 2
Pay Band 3   GG–11-13

Rater Consistency Handbook

Table of Contents

How to Use this Handbook

Purpose:

This handbook is intended to assist management teams (Rating Officials, Reviewing Officials, Performance Management Performance Review Authorities (PM PRA), and Senior Leaders) in understanding and implementing rater consistency. The handbook includes a brief explanation of what rater consistency is, the value of rater consistency discussions, a rater consistency activity timeline, rater consistency roles and responsibilities, and checklists for rater consistency discussions held at the beginning, midterm, and end of the performance evaluation period.

Included in the rater consistency discussion checklists are discussion points and optional exercises to help management teams build trust in the system and create a shared understanding of the performance standards and performance expectations for the work performed within their work group. Rater consistency discussions can happen during a staff meeting or a separate rater consistency session. The discussions do not need a formal facilitator and can be led by a "Meeting Leader" (e.g., Reviewing Official, PM PRA, Business Executive, Chief of Staff, Senior Leader). A formal facilitator (e.g., Human Resource Official) may facilitate the discussion if recommended by your organization's rater consistency process, or if desired by the management team.

This handbook is not intended to be read once and then set aside. Rather, it is designed to be a tool to assist with rater consistency activities throughout the performance evaluation period. Understanding the rater consistency activities and holding rater consistency discussions early and throughout the performance evaluation period is a small investment with big payoffs as compared to the time, frustration, and effort involved in correcting inconsistent and inappropriate ratings and restoring employee trust.

Target Audience:

Rating Officials, Reviewing Officials, PM PRAs, and Senior Leaders

Supporting Materials:

Appendices A-J are located in the back of this handbook.

Appendices K-M are not included, due to the size of the documents, but can be found here:

K, http://www.dtic.mil/whs/directives/corres/pdf/140025v2007_17apr2012.pdf

L, http://www.dtic.mil/whs/directives/corres/pdf/1400.25-V2011.pdf

M, http://dcips.dtic.mil/documents/IC_Performance_Standards_23Apr09_Final.pdf

What is Rater Consistency?

Within the Intelligence Community (IC), rater consistency is a process to establish a common understanding among Rating and Reviewing Officials of the performance standards and how they should be applied to performance elements and performance objectives in a specific work environment. When Rating and Reviewing Officials implement and follow the rater consistency process and hold rater consistency discussions, the intended result is that individuals performing similar work and producing similar results within a given workgroup would receive a consistent rating.

Rater consistency is an integral part of the DCIPS performance management process that includes, planning, setting, and communicating individual and organizational performance expectations to employees; monitoring and measuring their performance; providing feedback; taking appropriate steps to improve employee performance; addressing poor performance; and rating and rewarding employee performance to reflect the accomplishment of individual and organizational goals and objectives.

As a brief review, employees are evaluated on two components – (1) performance elements (the how) and (2) performance objectives (the what). The rater consistency process holds Rating and Reviewing Officials accountable for supporting the ratings they assign, ensuring that Rating and Reviewing Officials understand and can apply ratings that are based on established standards[1], and that the ratings they assign are supported by actual performance from the current evaluation period.

Ultimately, the rater consistency process is designed to promote consistent application of the performance standards, thereby supporting equity in ratings and building employee trust in the system.

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[1] DoD Instruction 1400.25-V2011, DCIPS Performance Management, Table 1, "General Standards for Performance Objectives and Element Rating Descriptors" and Table 2, "Converting Average Rating to Evaluation of Record" are the established standards for rating Defense intelligence positions under DCIPS (Appendix H of this guide).

Why are Rater Consistency Discussions Important?

Rater consistency discussions are conducted to achieve a shared understanding of expectations and application of the performance standards in order to ensure that a consistent and equitable assessment is made for all employees. For example, rater consistency discussions help ensure that when one Rating Official assigns a rating to an objective or an element that he/she applies the same standards that would result in the same assigned rating by other Rating Officials looking at the same work.

While there are a number of reasons why a Rating Official might intentionally or unintentionally give an employee a higher or lower rating than the employee's performance would support, the impact of such inconsistent or inflated ratings on an organization can be far reaching. First, it directly impacts the perception of trust towards the system to produce equitable and consistent results. Second, inaccurate ratings could penalize truly high performers who may not receive performance-based rewards consistent with their accomplishments and impact. Finally, it gives employees a false sense of their accomplishments and contribution to the mission, both to employees who received inflated ratings and those who work with them. This is a disservice to all employees in regards to growth and development and creates challenges for future efforts to support consistent ratings aligned to the performance standards.

Achieving rater consistency involves on-going dialogue between Rating Officials (generally supervisors and managers) and Reviewing Officials, and ideally the Performance Management Performance Review Authority (PM PRA) and senior leaders. These discussions help Rating and Reviewing Officials establish a common framework of understanding about how performance standards will be applied to performance elements and performance objectives in a specific work environment. This is an important "check and balance" built into the performance management process.

Finally, rater consistency is **not**, and **cannot** be, about meeting a prescribed quota per rating level (e.g., only 10% of employees can receive an Outstanding rating) **nor** is it about rating employees to fit a bell-shaped curve. Instead, it is about applying a common set of performance standards to rate employees equitably and consistently across the organization based on their performance against established performance objectives and performance elements for the performance period.

Benefits of Focusing on Rater Consistency

Rating Official / Reviewing Official / Performance Management Performance Review Authority / Senior Leadership Benefits

- **Saves time** – Starting the rater consistency process at the beginning of the evaluation period and continuing throughout the period increases the likelihood that ratings and narratives will be accurate when submitted at the end of the performance period. Sending back or revising a small percentage of evaluations for changes because they do not clearly support the standards for the ratings assigned may not be a big deal, but if you have to send back or revise any more than that, that is a significant amount of time that could have been avoided be establishing and following consistent application of the standards for your work group.
- **Trust** – Increases morale when Rating Officials, Reviewing Officials, and everyone involved in the performance management process feel like they can trust the system to produce equitable, consistent results.
- **Job Satisfaction** – Increases job satisfaction when Rating Officials, Reviewing Officials, and other leaders involved in the performance management process feel they are making meaningful contributions to mission success and that their efforts supporting a shared understanding and rater consistency are recognized.
- **Employee growth** – Fosters employee growth by helping Rating Officials identify clear performance expectations and provide accurate, honest feedback that empowers the employee. Employees who receive unclear expectations and inaccurate feedback or ratings not supported by their performance are at a disadvantage; they are not made aware of what was expected of them and/or an area where they are either excelling or could improve. Without accurate understanding of what is expected of them and how they are performing, employees may not seek opportunities to enhance skills or take advantage of developmental assignments.
- **Reduce costly mistakes** – Saves time, effort, and costly mistakes made by employees who were not clear on their performance expectations due to vague and/or misaligned performance objectives.
- **Team morale** – When Rating Officials evaluate and rate their employees according to performance standards accurately across the organization, it identifies both high and poor performers and helps to facilitate a culture that recognizes high performers and holds poor performers accountable for their performance.

- **Mission achievement** – Ensures alignment between employees, organizations, component, and IC goals; fosters greater integration of the IC by creating a more consistent approach to performance management practices.
- **Grow bench strength** – Establishing clear performance expectations increases the opportunity to understand and focus development appropriate to employees' knowledge, skills, and career aspirations.
- **Workforce retention** – Increases job satisfaction when those involved in the performance management process feel they are making a meaningful contribution to mission success and that their efforts supporting a shared understanding and rater consistency are recognized.

Employee Benefits

- **Trust** – Increases morale and trust in the system when employees believe a process is being followed and standards are being applied to produce appropriate and consistent ratings.
- **Job satisfaction** – When performance plans are aligned with and support the mission, it increases employee understanding that what they do truly matters and makes a difference.
- **Saves time** – Less frustration and rework is necessary when employees' performance expectations and the process are clear.
- **Engagement** – Provides regular opportunities for employees to dialog with their Rating Officials regarding the performance management process and their performance expectations, and provides opportunities for feedback and clear understanding which builds trust in the performance management system.
- **Rewarding performance** – Employee trust in the performance management system and the rating and reviewing process helps support understanding and acceptance of the related rewards as equitable and based on performance.
- **Team morale** – Consistent and accurate ratings cultivate a collaborative team atmosphere that promotes a sense of equality and transparency.

Rater Consistency Activity Timeline

Phase		Rater Consistency Activity	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV
Beginning of Performance Evaluation Period	1	Rating Officials, Reviewing Officials, and PM PRA meet and complete items on Rater Consistency Checklist #1 (see page 8); Senior Leadership may want to provide a message about performance management	X													
	2	Rating Official and Employee meet and establish a performance plan		X												
	3	Recommended training for each role (employee, supervisor/manager, leader) during this timeframe has a corresponding training roadmap located at the DCIPS website, http://dcips.dtic.mil/training.html	X	X												
Midterm	1	Rating Officials and Reviewing Officials meet and complete items on Rater Consistency Checklist #2 (see page 12)						X								
	2	Rating Official and Employee meet for Mandatory Midpoint Review						X	X							
End of Performance Evaluation Period	1	Employee submits a self-report of accomplishments to Rating Official												X	X	
	2	Rating Officials and Reviewing Officials (and PM PRA should be engaged) meet and complete items on Rater Consistency Checklist #3 (see page 14); Senior Leadership makes an announcement pertaining to the close-out of the performance evaluation period and expectations of the leadership team											X	X	X	
	3	After given approval to do so (Reviewing Official and PM PRA have approved the Evaluations of Record), Rating Official and Employee meet to discuss the Performance Evaluation of Record													X	X
	4	Recommended training for each role (employee, supervisor/manager, leader) during this timeframe has a corresponding training roadmap located at the DCIPS website, http://dcips.dtic.mil/training.html											X	X	X	X
Throughout Performance Evaluation Period	1	On-going performance management dialogue between Rating Official and Employee, both informal and formal	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	2	Recommended training for each role (employee, supervisor/manager, leader) during this timeframe has a corresponding training roadmap located at the DCIPS website, http://dcips.dtic.mil/training.html	X	X	X	X	X	X	X	X	X	X	X	X	X	X

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Rater Consistency Discussion Checklists

Achieving appropriate and consistent ratings requires regular communication between Rating Officials, Reviewing Officials, the Performance Management Performance Review Authority (PM PRA), and senior leadership. The following checklists contain recommended best practices and optional exercises for rater consistency discussions at the beginning, midterm, and end of a performance evaluation period. Having these discussions up front and throughout the performance period is a small investment with big payoffs as compared to the time, frustration, and effort involved in correcting inconsistent and inappropriate ratings and restoring employee trust.

Rater Consistency Checklist #1
Phase: Beginning of the Performance Evaluation Period

Directions: The rater consistency discussion at the beginning of the evaluation period serves as a "setting the stage" event in the effort to ensure aligned performance expectations and achieve consistent ratings. When done effectively, the bulk of the time and effort needed to align performance expectations happens during this discussion, making the discussions at the midterm and end of the performance evaluation period much easier and less time consuming. Having this discussion ensures that the management team and employees start the performance period on the same page when it comes to performance expectations. This creates clarity, understanding, trust in the process, and increases the likelihood of accomplishing the mission when employee efforts are aligned with Component goals and objectives.

Recommended discussion items are listed in the "Action Items" column in the table below. The action items are divided into three sections: prior to the discussion, during the discussion, and after the discussion. Included with some of the action items are optional exercises designed to increase understanding of the rater consistency process.

This rater consistency discussion is among Rating Officials and Reviewing Officials, and ideally, the PM PRA and senior leadership. The discussion could happen during a staff meeting or a separate rater consistency session. The discussion does not need a formal facilitator and can be led by a "Meeting Leader" (e.g., Reviewing Official, PM PRA, Business Executive, Chief of Staff, Senior Leader). A formal facilitator (e.g., Human Resource Official) may facilitate the discussion if recommended by your organization's rater consistency process.

Prior to the Discussion

#	✓	Action Items	Resources/Tips
1		Prepare for meeting Meeting Leader (e.g., Reviewing Official, PM PRA, Business Executive, Chief of Staff, Senior Leader, or Human Resource Official) prepares for the rater consistency discussion: • As needed, schedule room and/or remote meeting equipment (e.g., VTC, teleconference) • Send meeting invitations - Tell participants what information to prepare before and/or bring to the meeting (e.g., performance objectives, performance standards, position descriptions, mission goals)	Tip for Meeting Leader: Review the following job aids prior to holding the rater consistency discussion: • Effective Meeting Facilitation Tips (see Appendix A) • Tips for Managing Group Conflict During Rater Consistency

		Rater Consistency Checklist #1	
		Phase: Beginning of the Performance Evaluation Period	
		• Prepare copies of exercises, job aids, appendices K-M, and/or tools you plan to use during the discussion • Complete any additional prep work applicable to the rater consistency process followed in your organization	Discussions (see Appendix B)
During the Discussion			
#	**✓**	**Action Items**	**Resources/Tips**
2		Review purpose/goals of this rater consistency discussion The purpose of this discussion is to: • Set your management team up for success in achieving consistent, appropriate ratings at the end of the performance evaluation period • Enable Rating Officials, Reviewing Officials and the PM PRA to make meaningful distinctions between levels of performance • Address any misperceptions that may exist regarding how to evaluate and rate employees • Increase employee trust in the process to produce equitable, consistent results • Accomplish the mission by ensuring performance objectives are aligned with the mission This is done by establishing: • A shared understanding of the appropriate work for various grade and band levels, performance standards for the performance elements and performance objectives and how they will be consistently applied within your work group • A shared understanding of performance expectations for the work levels in your work group • Appropriate performance objectives for the work levels in your work group Remember, once your management team comes to a shared understanding of the performance standards and expectations for your work group, it is important that each team member consistently apply what they have agreed to rather than go back to their individual thinking or approach after the discussion ends	Tip: As needed, refer to pages 5 – 6 of this handbook and review the benefits of focusing on rater consistency Tip: Encourage discussion participants to engage in constructive dialogue throughout the discussion—challenge differing perspectives, ask open-ended questions, share insights, respectfully listen to the opinions of others—to achieve a shared understanding
3		Review the mission goals, strategies, and priorities for your organization for the current evaluation period	Tip for Meeting Leader: Be prepared to share these items during the meeting
4		Discuss the results data from the prior evaluation period to help inform the performance expectations for the current evaluation period:	

Rater Consistency Checklist #1			
Phase: Beginning of the Performance Evaluation Period			
		• How would you assess organizational performance (e.g., an exceptional year, a good year, or perhaps a developing year as you got up to speed on a new effort)? • What circumstances impacted performance expectations and meeting mission objectives (e.g., leadership reorganization, facility move)? • What are lessons learned that you can apply to the current evaluation period?	
5		Establish a shared understanding of the performance standards for both objectives and elements and a commitment to adhere to what you agree upon: • Review what the standards are and where to find them (See Optional Exercise #1 in Appendix C) • Discuss how the standards should be applied (frame of reference) for performance elements and performance objectives according to the work in your work group (e.g., what are the behaviors and results that would constitute Successful, Excellent, and Outstanding performance at various work levels?) See Optional Exercise 2, Appendix D • Discuss how much above Successful performance would constitute an Excellent or Outstanding rating. It is important to create a shared understanding that performance that is a little above Successful is not necessarily a higher level of performance	Optional Exercise 1 – What the Standards are and How to Use Them (see Appendix C) Optional Exercise 2 – Process for Creating a Shared Understanding of the Standards (see Appendix D) Job Aid: General Standards tables (see Appendix H) A position's work level is often identified in the position description. Contact your HR office if you do not know the work level of a given position.
6		Establish consistent performance objectives: • Discuss the critical role performance objectives play in achieving rater consistency (i.e., performance objectives ratings are given based on performance against established objectives and according to the standards. When performance objectives are not accurate, aligned appropriately to work levels or work assigned to the position, SMART, or reflective of the work the employee is actually doing, it is unlikely employees will receive performance objective ratings that are truly consistent and commensurate with their performance (See Optional Exercise #3 in Appendix E) • Discuss whether the performance objectives for the positions in your work group are aligned to organizational goals, follow the SMART criteria, are written at the Successful level, and are appropriate for the individuals work level and position • Discuss whether your employee performance objectives are consistent for employees at the same work level, performing similar work both within your work group and across offices, and that performance measures are	Optional Exercise 3 – Impact of Performance Objectives on Rater Consistency (see Appendix E) Training Course: *one of the several different offerings of writing SMART objectives courses, found at the DCIPS website, http://dcips.dtic.mil/training.html.* Tip for Reviewing Officials: Rather than quickly signing off on objectives, make sure they are clear, and accurately aligned, as this is key to having consistent, accurate ratings

Rater Consistency Checklist #1			
Phase: Beginning of the Performance Evaluation Period			
		appropriate and focus on impact and results	
7		Review the common rating errors job aid and discuss how to avoid the errors within your work group	Optional Exercise 4 – Common Rating Errors (see Appendix F)
8		Discuss various performance tracking methods that can be used to track employee performance throughout the evaluation period (e.g., Microsoft Outlook calendar or notes; Microsoft Excel or Word file; paper-based journal; HR Information System)	
9		Document the performance expectations you have discussed and the agreed upon shared understanding of the standards (frame of reference) for evaluating performance elements and performance objectives	Tip: You will save time and rework at the end of the evaluation period if you ensure clarity and understanding of expectations at the beginning
After the Discussion			
#	✓	Action Items	Resources/Tips
10		Meeting Leader sends attendees discussion notes, as applicable	
11		Rating Official and Employee Meet Rating Official communicates with Employee in a one-on-one discussion, preferably in a private location: • Review/create the employee's Performance Plan • Outline and clarify performance expectations • Provide concrete examples of the behaviors and results that would constitute Successful performance, and discuss expectations pertaining to the on-going, frequent performance that would exceed the Successful level; provide concrete examples	Training Course: *DCIPS 101 Setting Performance Expectations Putting Yourself in the Other Person's Shoes*

Rater Consistency Checklist #2
Phase: Midterm of the Performance Evaluation Period

Directions: The rater consistency discussion at the Midterm of the performance evaluation period serves as an opportunity to check in and ensure the leadership team is consistently applying the performance expectations and shared understanding of the standards established at the beginning of the performance period. It is also an opportunity to identify any changes, such as a mission change or unit reorganization, that either has or will affect performance expectations. Having this discussion ensures that the management team and employees are on the same page when it comes to performance expectations. This creates clarity, understanding, trust in the process, and increases the likelihood of accomplishing the mission when employee efforts are aligned with Component goals and objectives.

Recommended discussion items are listed in the "Action Items" column in the table below. The action items are divided into three sections: prior to the discussion, during the discussion, and after the discussion. Included with some of the action items are optional exercises designed to increase understanding of the rater consistency process.

This rater consistency discussion is among Rating Officials and Reviewing Officials, and ideally, the PM PRA and senior leadership. The discussion could happen during a staff meeting or a separate rater consistency session. The discussion does not need a formal facilitator and can be led by a "Meeting Leader" (e.g., Reviewing Official, PM PRA, Business Executive, Chief of Staff, Senior Leader). A formal facilitator (e.g., Human Resource Official) may facilitate the discussion if recommended by your organization's rater consistency process.

Prior to the Discussion

#	✓	Action	Resources/Tips
1		Prepare for meeting Meeting Leader (e.g., Reviewing Official, PM PRA, Business Executive, Chief of Staff, Senior Leader, or Human Resource Official) prepares for the rater consistency discussion: • As needed, schedule room and/or remote meeting equipment (e.g., VTC, teleconference) • Send meeting invitations - Tell participants what information to prepare before and/or bring to the meeting (e.g., performance objectives, performance standards, position descriptions, mission goals) • Prepare copies of exercises, job aids, and/or tools you plan to use during the discussion • Complete any additional prep work applicable to the rater consistency process followed in your organization	Tip for Meeting Leader: Review the following job aids prior to holding the rater consistency discussion: • Effective Meeting Facilitation Tips (see Appendix A) • Tips for Managing Group Conflict During Rater Consistency Discussions (see Appendix B)

During the Discussion

#	✓	Action	Resources/Tips
2		At a high-level, review general midterm performance, both within your work unit and within your organization. Are there examples of exceptional performance, or performance that is not meeting the standards?	Job Aid: General Standards table (see Appendix H)
3		Discuss how Rating Officials are considering performance and ensure consistency based on the shared understanding of the	Tip: Encourage discussion participants to engage in

#	✓	Action	Resources/Tips
		standards and expectations agreed upon during the discussion held at the beginning of the evaluation period	constructive dialogue throughout the discussion
4		If your organization assigns midterm performance ratings, ensure performance is being evaluated consistently and that ratings are appropriately awarded based on the established expectations and the performance standards • Use specific examples of behaviors for the performance elements and specific examples of impact and results for the performance objectives • Identify anomalies • Discuss and consider areas where the same levels of performance are resulting in different ratings; make adjustments to achieve consistency	Optional Exercise 4 – Common Rating Errors (see Appendix F)
5		In general terms, discuss whether performance objectives are still relevant and achievable given any changes that may have occurred since the beginning of the performance period	
6		Document any changes to performance expectations and the agreed upon common application of the standards that was established at the beginning of the performance period	
After the Discussion			
#	✓	Action	Resources/Tips
7		Meeting Leader sends attendees discussion notes, as applicable	
8		Rating Official communicates with Employee in a one-on-one discussion, preferably in a private location: • Review objectives to determine they are still relevant and achievable; modify as needed • Discuss progress towards meeting performance objectives, and in relation to performance elements • Document any changes to performance objectives and/or performance expectations	Training Courses: • *C.O.A.C.H. for Success: How to Hold Performance Conversations Like a Pro*

Rater Consistency Checklist #3
Phase: End of the Performance Evaluation Period

Directions: *The rater consistency discussion at the end of the performance evaluation period serves as an opportunity to ensure the management team is consistently applying the performance expectations and shared understanding of the standards established at the beginning of the performance period prior to Rating Officials submitting the Evaluation of Record for their employees. Having this discussion helps to create clarity, understanding, and trust in the process.*

Recommended discussion items are listed in the "Action Items" column in the table below. The action items are divided into three sections: prior to the discussion, during the discussion, and after the discussion. Included with some of the action items are optional exercises designed to increase understanding of the rater consistency process.

This rater consistency discussion is among Rating Officials and Reviewing Officials, and ideally, the PM PRA and senior leadership. The discussion could happen during a staff meeting or a separate rater consistency session. The discussion does not need a formal facilitator and can be led by a "Meeting Leader" (e.g., Reviewing Official, PM PRA, Business Executive, Chief of Staff, Senior Leader). A formal facilitator (e.g., Human Resource Official) may facilitate the discussion if recommended by your organization's rater consistency process.

Prior to the Discussion			
#	✓	**Action**	**Resources/Tips**
1		Prepare for meeting Meeting Leader (e.g., Reviewing Official, PM PRA, Business Executive, Chief of Staff, Senior Leader, or Human Resource Official) prepares for the rater consistency discussion: • As needed, schedule room and/or remote meeting equipment (e.g., VTC, teleconference) • Send meeting invitations - Tell participants what information to prepare before and/or bring to the meeting (e.g., performance objectives, performance standards, position descriptions, mission goals) • Prepare copies of exercises, job aids, and/or tools you plan to use during the discussion • Complete any additional prep work applicable to the rater consistency process followed in your organization	Tip for Meeting Leader: Review the following job aids prior to holding the rater consistency discussion: • Effective Meeting Facilitation Tips (see Appendix A) • Tips for Managing Group Conflict During Rater Consistency Discussions (see Appendix B)

During the Discussion			
#	✓	**Action**	**Resources/Tips**
2		Discuss the organization's progress towards the mission and goals established at the beginning of the current evaluation period: • Where is the organization excelling? Surviving? Meeting or exceeding? • What has been accomplished? • How can the accomplishments be aligned to employee performance? • Where is the organization falling short on goals and expectations? • How can the shortfalls be addressed?	Tip: Encourage participants to engage in constructive dialogue throughout the discussion—challenge differing perspectives, ask open-ended questions, share insights, respectfully listen to the opinions of others—to achieve a shared understanding

Rater Consistency Checklist #3			
Phase: End of the Performance Evaluation Period			
3		Discuss application of employee performance against the performance standards: • Consider organization and unit successes and efforts • Generally speaking, share examples of performance that met, exceeded, or failed to meet performance standards	Job Aid: General Standards table (see Appendix H)
4		Discuss the proposed performance ratings and how the standards were applied. Discuss examples and obtain consistency: • Use specific examples of behaviors • Identify and discuss anomalies	Job Aid: General Standards table (see Appendix H)
5		Discuss the consequences of sticking with an "unjustified" rating: • Perceptions of unfairness • Undermines employee trust in organizational leadership and the performance management system • Lowers morale • Decreases motivation • High performers leave • Potential impact on rewarding high performers	Optional Exercise 4 – Common Rating Errors (see Appendix F)
6		Commit Rating Officials to review their individual ratings in consideration of group consistency discussions and goals and make changes as appropriate; this builds trust amongst the management team and with employees	Training Course: *Evaluating Performance and Preparing Performance Narratives*
7		The group has the option to meet later, or could choose to discuss and/or create draft performance objectives for the next performance evaluation period to be used during the beginning of the performance period meeting between Rating Officials and employees • What worked? What caused challenges? How can lessons learned be applied to improve employee performance objectives? • Ensure objectives are aligned to the mission and consistent for employees performing similar work both within and across offices	Training Course*: Overcoming Challenges in Writing Performance Objectives*
After the Discussion			
#	**✓**	**Action**	**Resources/Tips**
8		Meeting Leader sends attendees discussion notes, as applicable	
9		Rating Official communicates with Employee in a one-on-one discussion, preferably in a private location: • Once given the approval to do so, Rating Official communicates the Evaluation of Record to the Employee • Rating Official and Employee discuss how the evaluation period went and how to apply lessons learned to the next performance evaluation period • Rating Official and Employee discuss and/or create draft performance objectives for the next performance period	Training Course*: How to Hold a Formal Feedback Review*

Rater Consistency Roles and Responsibilities

Rater consistency responsibilities support the performance management process and help build trust in the system. The following tables outline the responsibilities of Rating Officials, Reviewing Officials, and the Performance Management Performance Review Authority.

Rating Official

Role	Phase	Rater Consistency Responsibilities

Rating Official	Beginning of Performance Evaluation Period	• Participates in a rater consistency discussion to create a shared understanding of expectations and the application of the performance standards
		• Ensures employees understand the performance management process and how rater consistency supports the process; shares any applicable messages from senior leadership
		• Meets with employees to:
		  ○ Review/create the employee's Performance Plan
		    ▪ Set performance expectations in the form of performance objectives that are SMART and appropriate for the position and the work level and pay band or grade of the employee.
		    ▪ Performance measures should focus on impact and results
		    ▪ Discuss appropriate work behavior (performance elements) and explain how they relate to the performance objectives
		    ▪ Create an IDP that focuses on developmental needs, ensuring employees are aware of training opportunities related to performance management
		  ○ Outline and clarify performance expectations
		  ○ Provide concrete examples of the behaviors and results that would constitute Successful performance, and discuss high level expectations pertaining to the on-going, frequent performance that would exceed the Successful level

	Midterm	• Participates in a rater consistency discussion to create a shared understanding of expectations and the application of the performance standards, created at the beginning of the performance period • Reviews employee self-report of accomplishments (if Midterm self-reports are required by organization) • Assesses performance to date in alignment to the performance plan; identifies changes necessary and areas of focus for the remainder of the performance period • Discusses performance with employee; seeks employee feedback on his/her perspective of the performance period thus far in

		consideration of the performance plan
		• Documents Mandatory Midpoint Review and sends review documentation to Reviewing Official for approval
	End of Performance Evaluation Period	• Participates in a rater consistency discussion to create a shared understanding of expectations and the application of the performance standards, created at the beginning of the performance period
		• Provides timeline for employees to submit their self-report of accomplishments
		• Reviews employee self-report of accomplishments
		• Writes evaluation narrative of employee performance (addresses the objectives and provides examples of the elements) and rates objectives and elements by applying the appropriate standards
		• Prepares the end-of-year Performance Evaluation of Record for each employee
		• Makes meaningful distinctions among employees regarding their performance
		• Submits recommendations to the Reviewing Official
		• Shares final Performance Evaluation of Record with employees after the Reviewing Official and PM PRA have completed their review and provided approval; if edits are necessary to align to policy, the edits are made and resubmitted to the Reviewing Official and PM PRA for review and approval
	Throughout Performance Evaluation Period	• Discusses progress towards performance objectives and elements
		• Discusses performance plan and IDP and modifies as needed
		• Documents observed employee accomplishments
		• Gives feedback and engages in ongoing meaningful dialogue
		• Encourages employee performance through training, mentoring, and coaching
		• Addresses poor performance, when needed

Reviewing Official

Role	Phase	Rater Consistency Responsibilities
Reviewing Official	Beginning of Performance Evaluation Period	• Hosts and/or participates in a rater consistency discussion with Rating Officials to create a shared understanding of expectations and the application of the performance standards • Ensures performance objectives are clear, aligned, SMART, written at the Successful level, appropriate for the position and work level of the employee, and that performance measures clearly identify impact and results • Ensures the performance plan and IDP are established for all employees and reviews them for appropriateness • Approves performance plans • Provides oversight of timelines and processes • Ensures Rating Officials and Supervisors are properly trained in their roles in the performance management system and understand expectations of themselves in these roles
	Midterm	• Hosts and/or participates in a rater consistency discussion with Rating Officials to review the shared understanding of expectations and the application of the performance standards that was established at the beginning of the performance period • Reviews Midterm Review documentation to ensure consistency, if required • Reviews employee self-report of accomplishments, if included as part of the Midterm Review process • Ensures Rating Officials have performed Midterm Reviews and feedback sessions
	End of Performance Evaluation Period	• Hosts and/or participates in a rater consistency discussion with Rating Officials to review the shared understanding of expectations and the application of the performance standards that was established at the beginning of the performance period • Reviews Performance Evaluations of Record to ensure consistency, alignment between ratings and supporting narratives, compliance with merit system principles, and adherence to other relevant policies • Completes review and approves Performance Evaluations of Record concurrently with the PM PRA review and final approval process, following component guidance • Makes any edits as necessary to align to policy
	Throughout Performance Evaluation Period	• Ensures Rating Officials provide performance feedback throughout the performance evaluation period

PM PRA (Performance Management Performance Review Authority)

Role	Phase	Rater Consistency Responsibilities
PM PRA (Performance Management Performance Review Authority)	Beginning of Performance Evaluation Period	• Provides high-level message about performance management and how rater consistency supports the process (optional) • Hosts and/or participates in a rater consistency discussion with Rating and Reviewing Officials to create shared understanding of expectations and the application of the performance standards • Provides oversight of the performance management process
	Midterm	• Hosts and/or participates in a rater consistency discussion with Rating and Reviewing Officials to create shared understanding of expectations and the application of the performance standards that was established at the beginning of the performance evaluation period • Ensures all Midterm Reviews and feedback sessions within area of responsibility are completed
	End of Performance Evaluation Period	• Hosts and/or participates in a rater consistency discussion with Rating and Reviewing Officials to create shared understanding of expectations and the application of the performance standards that was established at the beginning of the performance evaluation period • Provides oversight of the performance evaluation process • Verifies compliance with merit system principles • Conducts final review of Performance Evaluations of Record to ensure consistency and compliance with all applicable laws and regulations, concurrent with Reviewing Official review • Returns proposed final evaluations of record to support alignment with policy
	Throughout Performance Evaluation Period	• Provides support and guidance to Rating and Reviewing Officials

Employee

Role	Phase	Responsibilities
Employee	Beginning of Evaluation Period	• Participates in setting performance objectives and identifying ways to measure accomplishments • Discusses his or her developmental needs and contributes input for performance plan and IDP with Rating Official
	Midterm	• Writes a self-report of accomplishments on work performed up to this point (if required by organization) and provides to Rating Official • Participates in mandatory Midterm Review
	End of Evaluation Period	• Completes and submits the self-report of accomplishments according to organization guidelines • Discusses performance with Rating Official • Suggests ideas on areas of focus for next performance period • Discusses goals as well as training and developmental opportunities for upcoming performance evaluation period
	Throughout Evaluation Period	• Participates in developmental discussions, both formal and informal • Self-monitors progress against performance plan throughout the year and documents performance • Focuses on developing skills and abilities • Takes advantage of opportunities, both formal and informal to engage rating official • Keeps rating official engaged regarding successes and challenges • Provides, receives, and acts on feedback • Continues to seek developmental opportunities

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Appendix A – Effective Meeting Facilitation Tips

As the meeting facilitator:

- Help team members agree on meeting expectations, desired outcomes, and ground rules. Examples of ground rules may include:
    - Come prepared (e.g., proposed ratings, narratives, justification, examples)
    - Arrive on time
    - Build on the ideas of others
    - Be respectful
    - Have an open mind

- Ensure that all team members are given an opportunity to express their opinions and that other team members are respectful even if they disagree.

- Create an environment that avoids criticism, sarcasm, impatience, interruptions, and "yes-but" statements as these actions derail open, collaborative communication.

- Avoid letting one team member or group of team members dominate the conversation.

- Invite quiet group members who may not volunteer their opinion to share their thoughts with the rest of the group.

- Respect gender and cultural differences.

- Ask open-ended questions and avoid questions that can be answered "yes" or "no."

- Use statements such as, "Tell me more," "Please explain," "What do you feel about …?" to encourage team members to elaborate on their ideas/opinions.

- Help the team find a common goal. This is especially helpful when team members disagree. Rather than focus on the area of disagreement, identify a common goal to which all team members agree. For instance, team members may agree that it's more important to come to a resolution than continuing to disagree.

- Have team members take a break if the discussion becomes disruptive, heated, or non-productive.

- Allow additional input after the meeting for emerging ideas and comments and include them in the meeting minutes, if appropriate.

Reference: Gebelein, Susan, et al. *Successful Manager's Handbook: Develop Yourself to Coach Others.* 7th ed. Minneapolis: PreVisor, 2004. Print.

Appendix B – Tips for Managing Group Conflict during Rater Consistency Discussions

- Establish business rules/rules of engagement at the beginning of the meeting (e.g., honor time limits, be respectful of those talking or presenting, keep the discussion focused, share all relevant information)

- Watch for indictors of conflict (e.g., lack of eye contact, distancing body language, unusual silence, attacks, sarcasm, accusations)

- Decide if the conflict impacts the group

  o If it is a minor disagreement with two people, let it go

  o Determine if you need to work with the group to diffuse tension

  o If the conflict impacts the group, work to diffuse

  o Make or ask the group for recommendations to address the situation

- Acknowledge the value of conflict

  o Conflict helps clarify points of view

  o Diversity leads to effective solutions

- Affirm the value of and the right to different opinions

  o Differences are natural in a group

  o Do not allow personal attacks on anyone

- Focus on outcomes and behavior, not values

  o Focus on the desired result, rather than the conflicting values, (e.g., outcomes to help ensure equity for employees)

  o The word "should" indicates a value conflict. If this is a values conflict, help the group focus on the result rather than trying to change the values

- Look for and build on areas where people agree

  o Discover common ground, (e.g., good working relationships, achieving a goal, protecting the nation, equity for employees)

  o When you find agreement, build on it

  o Name the source of conflict as you see it. Define the problem specifically

    ▪ Make sure you are focusing on the right problem or conflict

    ▪ Some conflicts are caused by miscommunication. Discussions sometimes can clarify issues/disagreements

- Take a break or end the meeting if tempers get hot

- Use your business rules to keep the meeting moving smoothly

  o Be clear about expectations, expected outcomes, and decision making

- Move with the group energy, rather than against it; when things are going well and energy is high, make decisions and achieve goals

Appendix C – Optional Exercise 1 – What the Standards Are and How to Use Them

Desired Outcomes	Participants will be able to explain: • What the performance standards are and their purpose • Where to find the performance standards • How to use the standards to rate performance objectives and performance elements
Resource Item(s)	• General Standards table (Appendix H) • DCIPS Occupational Structure diagram (Appendix J) • DoDI 1400.25-V2011, DCIPS Performance Management (Appendix L) • IC Performance Standards (Appendix M)
Discussion Points/ Activity	*Lead a discussion using the points below; add or modify discussion points to meet the needs of your group and organization's rater consistency process* *Share the analogy and explain the points that follow* • Opening Analogy – Think back to a time when you were either participating in or watching a sporting event. Regardless of the sport, there are rules, or standards, as to how the game should be played. Players are evaluated based on how well they follow the rules or standards • Similar to sporting events that have rules, or standards, by which the game is played to ensure it is played consistently, the IC performance management process also has a standard against which to measure performance with the intent of producing consistent ratings • Because evaluating human performance is subjective, there is room for inconsistency in applying the standards. This is why rater consistency discussions among management teams are important as it gives them an opportunity to create a shared understanding of how to apply the standards consistently for their work group *Introduce the Standards* • Ask participants if they can identify where the General Standards tables for rating Performance Objectives and Elements are listed (*Answer: DoD Instruction 1400.25-V2011, Tables 1 and 2, or Appendix H of this guide*). *To help participants better understand the rating levels within the standards, you may want to provide examples of what Successful, Excellent, and Outstanding performance, at different work levels and pay bands or grades, would look like in your work unit* • The standards provide a description of the type of behavior (performance elements) and results (performance objectives) one should demonstrate to receive one of the five possible rating levels (i.e., Outstanding, Excellent,

	Successful, Minimally Successful, Unacceptable) for the individual's performance elements and performance objectives • To rate performance objectives and performance elements against the performance standard, read through the description for each of the five rating levels and determine which one most closely matches the behavior (performance elements) or results (performance objectives) exhibited by the person you are rating, as aligned to their performance plan • It's important to note that employees are rated against the performance standards, not other employees • The IC Performance Standards (Appendix M) can be used as a supplemental guide for rating performance elements, but the standard still remains as written in DoDI1400.25-V2011. o The guide is organized by work category and work level and identifies performance indicators for each of the six performance elements, however, it is an older document and only references by Band, not Grade. To determine the grade, you would use the DCIPS Occupational Structure diagram (Appendix J) to determine the appropriate band/grade equivalent at a given work level.
Summary Points	• The performance standards are a way to measure performance with the intent of producing consistent ratings • The General Standards tables are listed in DoDI 1400.25-V2011, Tables 1 and 2 (Appendix H) • The IC Performance Standards (Appendix M) is a supplemental guide to assist in rating performance elements • To rate performance objectives and performance elements against the performance standards, read through the description for each of the five rating levels and determine which one most closely matches the behavior (performance elements) or results (performance objectives) exhibited by the person you are rating as aligned to their performance plan. If they did not consistently or substantially exceed, considering impact and results, they should not be 'matched' to the higher rating. • Attending rater consistency discussions is important for achieving a shared understanding of how to apply the standards consistently for your work group • Employees are rated against the performance standards, not other employees

Appendix D – Optional Exercise 2 – Process for Creating a Shared Understanding of the Standards

Desired Outcomes	Participants will be able to: • Identify the three work categories and four work levels in the DCIPS Occupational Structure • Explain how the work levels are used to create a shared understanding of the performance standards and performance expectations • Identify examples of behaviors and results they would expect for Successful, Excellent, and Outstanding performance ratings in their work group
Resource Item(s)	• General Standards table (Appendix H) • Work Level Definitions (Appendix I) • DCIPS Occupational Structure diagram (Appendix J) • DoDI 1400.25-V2007 (Appendix K) • DoDI 1400.25-V2011 (Appendix L)
Discussion Points/ Activity	*Lead a discussion using the points below; add or modify discussion points to meet the needs of your group and organization's rater consistency process* *Wait to direct the participants to the resource items until after the initial discussion points* • Ask participants to identify the three work categories and four work levels in the Occupational Structure • Ask participants to identify the work levels within their work group • Ask participants to describe the type of work and behaviors they would expect from an employee in each of the work levels within their work group (speaking in general terms about the position and not about specific employees) *Direct participants to a copy of the resource items in their Appendices* • Ask participants to read the formal definition for each work level in their work group • Ask participants to identify if the type of work and behaviors they described a moment ago is consistent with the behaviors identified in the work level definitions, and the descriptions of work that is assigned to the employee • Ask participants if there is anything they would change or add to what they would expect based on the work level definitions • Ask participants why knowing the work level definitions is important for creating a shared understanding of the performance standards and performance expectations *Lead a discussion to create a shared understanding* • Ask participants to review the rating level descriptions for performance

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objectives for each rating level on the General Standards table (This Appendix H job aid contains the standards from DoDI 1400.25-V2011)

- Based on the work level definitions, have participants discuss the results they would expect for the Successful, Excellent, and Outstanding rating levels for each work level (The Appendix I job aid contains the definitions from DoDI 1400.25-V2007) within their work group; have participants provide concrete examples of the results and explain how they would differentiate performance between each rating and work assigned
- Document the examples that are shared
- Repeat the same process for performance elements, focusing on behaviors rather than results (performance objectives focus on the "what," the results; performance elements focus on the "how," the behaviors)

Make the connection between work levels and performance objectives

- Ask participants how understanding the work levels helps them create performance objectives, written at the successful level, that are appropriate for an employee's position and consistent with other employees performing similar work
- Ask participants how understanding the work levels helps them consistently evaluate performance against established performance objectives and assign accurate ratings

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<td>Summary Points</td>
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- There are four work levels in the Occupational Structure. The levels and definitions can be found in DoDI 1400.25-V2007.
- Knowing the work level definitions is important for creating a shared understanding of the performance standards and performance expectations as well as creating appropriate, consistent performance objectives, written at the successful level

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Appendix E – Optional Exercise 3 – Impact of Performance Objectives on Rater Consistency

Desired Outcomes	Participants will be able to: • Describe the critical role performance objectives play in achieving rater consistency • Explain why performance objectives need to be accurate, SMART, aligned, and appropriate for an employee's work level to achieve rater consistency
Resource Item(s)	N/A
Discussion Points/ Activity	*Share or ask a participant to read the following scenario* It's the end of the performance evaluation period and Jason, a Rating Official, is both dismayed and frustrated. Jason's Reviewing Official returned the proposed Performance Evaluations of Record for three of Jason's employees indicating that in each case the ratings Jason assigned for the employee's performance objectives appear to be inflated and the narrative does not justify the assigned rating. The Reviewing Official asked that Jason make the necessary revisions in order to align with policy, and resubmit. The work of Jason's employees far exceeded expectations and he wants to ensure they receive ratings commensurate with their performance. The problem though is that the areas where Jason's employees excelled and exceeded the standards were not included in their performance objectives. Jason does not have any concrete examples he can use to justify that his employees exceeded Successful performance on their <u>assigned</u> objectives. At the beginning of the performance evaluation period when his employee's performance objectives were set, Jason had a lot going on and did not take the time to ensure the performance objectives were truly accurate and aligned with the work his employees were doing. And while Jason kept meaning to revisit his employee's performance objectives throughout the performance evaluation period to ensure they were appropriate for and aligned with the expectations for his employee's work levels before the 90-day* window passed, it seemed like something always got in the way and he never got it done. [*Note: According to DoDI 1400.25-V2011, employees must be under a performance plan for at least 90 days to receive an Evaluation of Record. Thus, performance objectives can be changed up to 90 days prior to the end of the performance evaluation period.] *Lead a discussion using the points below; add or modify discussion points to meet the needs of your group and organization's rater consistency process* • Ask participants to identify in what ways Jason caused himself problems in terms of being able to assign a rating for his employees' performance objectives that is commensurate with their performance (*explain that Jason can apply the performance, where applicable, in the performance element*

	ratings he assigns his employees, but that performance objective ratings are based on performance measured against that which is outlined in the objective)
	• Ask participants to consider in this case whether it is the "system" that has caused Jason's frustration or how he applied a process
	• Ask participants how Jason can avoid having to experience this issue again *(Jason recognized throughout the performance period that his employees were focusing on other requirements not outlined in their performance plan and should have made it a priority to make adjustments to their performance objectives to match the major work his employees were doing)*
	• Ask participants to identify how performance objectives that are aligned to organizational goals, follow the SMART criteria, are written at the Successful level, and are appropriate for an individual's work level help achieve rater consistency
	• Ask participants to consider if Not Rated (NR) would be appropriate to use (*NR is available to use, if the employee did not have the opportunity to complete the objective. Objectives rated NR are not included in the computation of overall summary average ratings)*
	• Ask participants to identify other ways Jason could recognize his employees' accomplishments that were not captured in the performance objectives, but occurred during this performance evaluation period (*the point here is not to mitigate the need for accurate performance objectives, but to identify ways employees can be appropriately recognized for their performance, such as through on-the-spot awards, or try to capture those accomplishments through the performance elements, if appropriate*)
Summary Points	• Achieving rater consistency does not happen at the end of the performance evaluation period, but starts at the beginning of the performance evaluation period with an employee's performance objectives
	• Throughout the performance evaluation period, Rating Officials and employees should continue to ensure the performance objectives established at the beginning of the performance evaluation period accurately reflect Successful performance for the employee's work assigned at their work level and pay band or grade; and, when necessary, make modifications to the performance objectives when they are no longer relevant or appropriate
	• Take advantage of the midpoint review to ensure objectives remain aligned to work being performed and modify as needed
	• Performance objectives can be changed up to 90 days before the end of the performance evaluation period, but not later than 90 days left because employees must have a minimum 90 days under a new or changed performance objective
	• Performance objectives ratings are given based on performance against established objectives and according to the standards. When performance objectives are not accurate, aligned, appropriate, SMART, or reflective of the work the employee is actually doing, it is unlikely employees will receive ratings that are truly consistent and commensurate with their established performance plans

Appendix F – Optional Exercise 4 – Common Rating Errors

Desired Outcomes	Participants will be able to: • Identify at least four common rating errors and explain how to avoid each error • Describe how their management team has agreed to hold each other accountable in an effort to avoid making the common rating errors
Resource Item(s)	• Common Rating Errors/Bias Job Aid (Appendix G)
Discussion Points/ Activity	*Direct participants to a copy of the Common Rating Errors/Bias Job Aid* *Have participants read the common rating errors job aid to themselves. Or, to increase interactivity and participation, break into smaller groups and assign those groups one or two common rating errors and have them discuss how the error(s) may show up in the work setting. Tell each group that you will come back together and have each group report out the highlights of their discussion on each common rating error. Participants can use the examples provide on the job aid, when they discuss their assigned error(s), to begin their discussion.* *Lead a discussion using the points below; add or modify discussion points to meet the needs of your group and organization's rater consistency process* • Explain that most Rating Officials have good intentions when assigning ratings and want to be equitable to their employees, but that errors can still be unintentionally introduced into the process • Without naming specific Rating or Reviewing Officials, ask participants to identify which of the errors they may have seen displayed and the impact the errors had on the process (e.g., inconsistent ratings, inflated or deflated ratings, perception of trust that the system will produce equitable and accurate ratings) • Review with participants how the rating errors they have observed could be avoided. Use the information on the job aid and encourage participants to add additional ideas based on their experience or observation • Ask participants to identify and discuss ways they can support and hold each other accountable as a management team in an effort to avoid making the common rating errors

Summary Points	• Most Rating Officials have good intentions when assigning ratings and want to be equitable to their employees, but errors can still be unintentionally introduced into the process
	• Common rating errors/biases include:
	   o Central tendency
	   o Contrast
	   o First impression
	   o Halo
	   o Leniency/Severity
	   o Overemphasizing positive or negative performance
	   o Recency

	○ Similar to me ○ Stereotyping - Awareness of the common rating errors and a willingness for management teams to support and hold each other accountable will help Rating and Reviewing Officials avoid making the common rating errors

Appendix G – Common Rating Errors/Biases Job Aid

While most Rating Officials have good intentions when assigning ratings and want to be equitable to their employees, errors can still be introduced into the process. Below are a number of common rating errors and how they can be avoided.

Error	Example	How to Avoid
Central Tendency- Giving similar ratings to all individuals, despite differences in their performance.	Rater: "My team has really pulled together and worked hard to reach our goals. Everyone has done a great job pulling their weight and deserves 4s."	To distinguish among employee performance levels, try this: Pick one performance element (e.g., communication) and rate each employee on it. Then, pick another element and do the same. By rating all employees on one element and then another, differences in employee performance levels become more clear.
Contrast- Basing ratings of an individual on a comparison of that individual to others rather than the performance standards.	Rater: "There's a night and day difference between Maria's reports and Julian's reports. Compared to Julian, Maria is definitely a 5 in Communication."	Ensure that assigned ratings are based on performance standards, not relative comparisons between employees.
First Impression- Basing ratings on performance exhibited early on rather than on performance exhibited throughout the evaluation period.	Rater: "The whole fiasco at the beginning of the rating period when Jose sent the wrong report to the customer was really a mess. I've never seen the customer so mad. I'm rating Jose a 2."	Consider performance from the *entire* evaluation period, not just first impressions. Take notes throughout the performance evaluation period.
Halo- Ratings on multiple competencies are based on an overall impression (either positive or negative) rather than on the individual's performance relative to each performance area.	Rater: "Pasha is the most technical savvy employee I have. I don't know what I'd do without her. I'll give her 4's across the board."	Evaluate an individual's performance in each element and objective separately. Do not let performance in one area influence your rating of other areas.

Error	Example	How to Avoid
Leniency/Severity- Giving unnecessarily lenient (or harsh) ratings to all individuals.	Rater: "My team has really tried hard this year. It's not their fault we had a few bumps along the way. After all, it would only discourage them to get a low rating. I'll give them 4's and 5's."	Carefully read the performance standards and work with other managers to ensure you are applying them consistently and equitably across employees.
Overemphasizing Positive or Negative Performance- Relying too heavily on either the positive or negative aspects of an individual's performance when assigning ratings.	Rater: "Our customer is still talking about the statistical report Leon whipped together in record time three years ago. Leon is definitely a 5 in Critical Thinking."	Equally consider all aspects of an employee's performance, both positive and negative. There is a tendency for raters to consider positive performance to a much greater extent than negative performance, thus resulting in a higher rating than earned.
Recency- Basing ratings on recent performance rather than on performance exhibited throughout the evaluation period.	Rater: "The way Janelle conducted our last customer brief was outstanding. She deserves a 4, no question."	Consider performance from the *entire* evaluation period, not just recent events. Keep notes of critical performance incidents throughout the year so your final rating accurately reflects them.
Similar to Me- Assigning higher ratings because someone is similar to you.	Rater: "Devon deserves a 5. Besides, I wouldn't expect anything less from a fellow Penn State graduate."	Make a conscious effort to ignore any similarities or differences you may have with particular individuals. Focus on examples of performance relevant to the standards when you make your ratings.
Stereotyping- Basing ratings of an individual on membership (e.g., ethnicity, gender, religion) rather than on performance.	Rater: "Max did alright for someone his age, definitely better than I thought he would. I'll give him a 4."	Be aware of the stereotypes that you hold about different groups and make a conscious effort to ignore your stereotypes when assigning performance ratings.

Appendix H –General Standards tables

DoDI 1400.25-V2011, Table 1. Performance Objectives and Element Rating Descriptors GENERAL STANDARDS		
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.
EXCELLENT (4)	The employee surpassed expected results in a substantial manner on the objective. At the summary level, the employee surpassed expected results overall and in a substantial manner on most of the objectives with an average rating within the "Exceptional" range in Table 2.	The employee demonstrated mastery-level performance of the key behaviors on the element. At the summary level, the employee demonstrated mastery-level performance on most key elements with an average rating within the "Exceptional" range in Table 2.
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.
MINIMALLY SUCCESSFUL (2)	The employee only partially achieved expected results on the performance objective. At the summary level, the employee only partially achieved expected results for assigned objectives with an average rating within the "Minimally Successful" range in Table 2.	The employee's performance requires improvement on one or more of the key behaviors for the objective. At the summary level, the employee's behavior requires improvement with an average rating that falls within the "Minimally Successful" range in Table 2.
UNACCEPTABLE (1)	The employee failed to achieve expected results in one or more assigned performance objectives.	The employee failed to adequately demonstrate key behaviors for the performance element. At the summary level, the employee received a rating of "Unacceptable" on average for the performance elements.

NR	The employee did not have the opportunity to complete the objective because it became obsolete due to changing mission requirements or because of extenuating circumstances beyond the control of the employee and supervisor (e.g., resources diverted to higher-priority programs, employee in long-term training, deployed, on leave without pay).	Not used for performance elements.

DoDI 1400.25-V2011, Table 2. Converting Average Rating to Evaluation of Record		
AVERAGE RATING RANGE	EVALUATION OF RECORD RATING/DESCRIPTOR	GENERAL STANDARD
4.6-5.0	OUTSTANDING (5)	The employee's overall contribution, both in terms of results achieved and the manner in which those results were achieved, has had extraordinary effects or impacts on mission objectives that would not otherwise have been achieved.
3.6-4.5	EXCELLENT (4)	The employee's overall contribution, both in terms of results achieved and the manner in which those results were achieved, has had a significant impact on mission objectives.
2.6-3.5	SUCCESSFUL (3)	The employee's overall contribution, both in terms of results achieved and the manner in which those results were achieved, has made a positive impact on mission objectives.
2.0-2.5	MINIMALLY SUCCESSFUL (2)	The employee's overall contribution to mission, although positive, has been less than that expected.
<2 on any objective	UNACCEPTABLE (1)	The employee received an unacceptable rating on one or more performance objectives.

Appendix I – Work Level Definitions

Source: DoDI 1400.25-V2007, DCIPS Occupational Structure

Work levels apply within the context of the assigned work category. Not all work levels are found in all work categories because the work is not expected to be performed within that work category (e.g. within the Supervision/Management work category, there is no Entry/Developmental work level because that level of work is not expected to be performed within that work category). In the graded environment, work levels encompass work at multiple grades (except at the Expert level). Descriptions of work (e.g. work roles, position descriptions (PDs)) should also be consulted when determining appropriate work for a position.

Entry/Developmental. In both the Professional and the Technician/Administrative Support Work Categories, work at this level includes learning and applying basic procedures and acquiring competencies through training or on-the-job experience. Positions in the Technician/Administrative Support Work Category at this level may involve independent performance of duties. Technician/Administrative Support positions should be placed in this work level when their primary function is the execution of established office procedures and standard program practices, and when typical career patterns for the occupation do not extend to the complexity, variety, and scope of the Full Performance Work Level.

Full Performance. Work at this level involves independently performing the full range of non-supervisory duties assigned to the employee. Employees at this level have successfully completed required entry-level training or developmental activities either within the employing organization or prior to joining the organization. Employees at this work level have a full understanding of the technical or specialty field, independently handle situations or assignments with minimal day-to-day instruction or supervision, and receive general guidance and direction on new projects or assignments. Within established priorities and deadlines, Full Performance employees exercise independent judgment in selecting and applying appropriate work methods, procedures, techniques, and practices in accomplishing their duties and responsibilities. Actions at this level may have impact beyond the work unit and, as a result, employees at this level typically collaborate internally and externally with their peers.

Senior. Work at this level involves a wide range of complex assignments and non-routine situations that require extensive knowledge and experience in the technical or specialty field. Receiving broad objectives and guidelines from the supervisor, Senior Work Level employees independently handle a wide range of complex assignments and non-routine situations and exercise independent judgment to identify and take alternative courses of action. Following broad objectives and guidelines, employees act independently to establish priorities and deadlines within expectations established by the supervisor and exercise individual judgment to choose alternative guidelines to complete assignments. Employees may lead and coordinate special projects, teams, tasks, and initiatives and may be required to build and utilize collaborative networks with key contacts within and outside of their immediate organization. Actions at this level are likely to have an impact beyond the employee's immediate organization.

Expert. Work at this level involves an extraordinary degree of specialized knowledge or expertise to perform highly complex and ambiguous assignments that normally require integration and synthesis of a number of unrelated disciplines and disparate concepts. Employees at this level set priorities, goals, and deadlines and

make final determinations on how to plan and accomplish their work. DoD Components with DCIPS positions rely on employees at this level for the accomplishment of critical mission goals and objectives and, as a result, employees may lead the activities of senior and other expert employees, teams, projects, or task forces. Employees at this level create formal networks involving coordination among groups across the Intelligence Community and other external organizations.

Appendix J – DCIPS Occupational Structure diagram

Source: DoDI 1400.25-V2007, DCIPS Occupational Structure
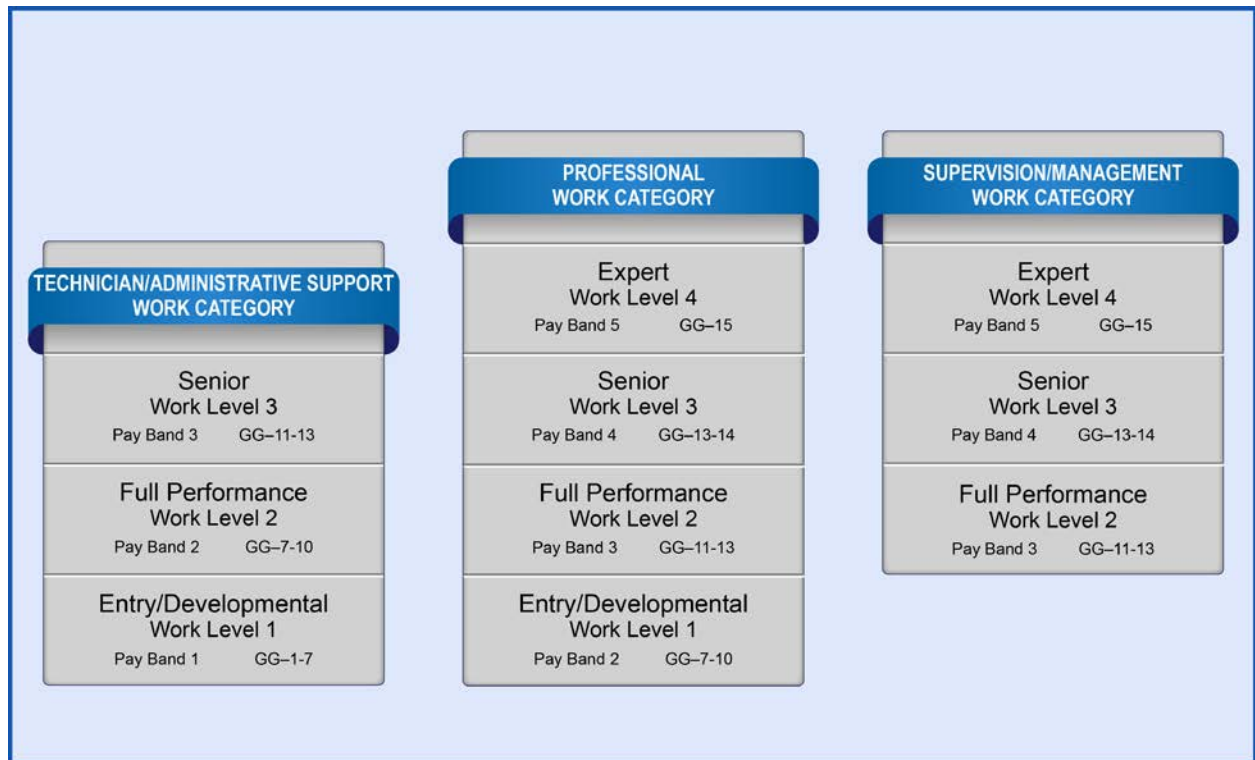
Appendix K – DoDI 1400.25-V2007, DCIPS Occupational Structure

*Please see separate file that should have accompanied this handbook.

Appendix L – DoDI 1400.25-V2011, DCIPS Performance Management

*Please see separate file that should have accompanied this handbook.

Appendix M – Intelligence Community Performance Standards

*Please see separate file that should have accompanied this handbook.

Note: This document is in the process of being updated. Continue to use the 23 April 2009 version until a new version is available.

DCIPS Resource Checklist for Military Supervisors
Managing Civilian Intelligence Employees

	Document Name	Where to Find
☑	Volume 2011 – DCIPS Performance Management	The DCIPS Volumes are the 2000 series volumes under DoD Instruction (DoDI) 1400.25. They can be found on the DoD issuances website: http://www.dtic.mil/whs/directives/corres/html/CPM_table2.html
☑	Volume 2010 – DCIPS Professional Development	
☑	Volume 2007 – DCIPS Occupational Structure	
☑	General Standards for Rating Performance Objectives and Elements	Tables 1 and 2 in DoDI 1400.25, Volume 2011
☑	Position Descriptions	Contact your HR Professional or Supervisor
☑	Mission Statement(s)	Contact your HR Professional or Supervisor
☑	DCIPS Occupational Structure Diagram	http://dcips.dtic.mil/structure.html
☑	PAA Tool Guide	http://dcips.dtic.mil/perfmgt.html

	Training Courses/Handbook	Where to Find
☑	Rater Consistency Handbook	DCIPS Training Website: http://dcips.dtic.mil/training.html
☑	Overcoming Challenges in Writing Performance Objectives WBT	
☑	Setting Performance Expectations WBT	
☑	COACH for Success WBT	
☑	Putting Yourself in the Other Person's Shoes WBT	
☑	Evaluating Performance and Preparing Performance Narratives WBT	
☑	How to Hold a Formal Feedback Review WBT	

DoDI 1400.25-V2011, Table 1. Performance Objectives and Element Rating Descriptors		
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NR	The employee did not have the opportunity to complete the objective because it became obsolete due to changing mission requirements or because of extenuating circumstances beyond the control of the employee and supervisor (e.g., resources diverted to higher-priority programs, employee in long-term training, deployed, on leave without pay).	Not used for performance elements.

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IC Performance Standards

Version 1
23 April 2009

TABLE OF CONTENTS

Background

This document contains the following sections.

- **Occupational Structure** – Primary components of the occupational structure as defined in ICD 652. These components include the Work Categories and Work Levels.
- **Performance Element Model** – Definitions of each performance element and the key work behaviors that comprise each element. These work behaviors are the building blocks of the performance standards.
- **Performance Standards** – A separate set of standards has been defined for the Professional, Supervision/Management, and Technician/Administrative Support Work Categories. Within each of these categories, the performance standards define expectations for each Work Level (i.e., Entry/Developmental, Full Performance, Senior, and Expert). Within each Work Level, standards are anchored at two levels of performance: "Successful" and "Outstanding."

Occupational Structure

Separate performance standards have been defined for the Professional, Supervision/Management, and Technician/Administrative Support Work Categories. Definitions for each of these categories are presented below.

- **Professional** – Positions with duties and responsibilities that primarily involve professional or specialized work that requires the interpretation and application of concepts, theories, and judgment. Some groups in this category may have a positive education requirement (i.e., a requirement for a particular type or level of academic degree). Such work features multiple career progression stages and work levels.

- **Technician/Administrative Support** – Positions with duties and responsibilities that primarily involve support for the operations and functions of a particular type of work or organizational unit. Such support activities are technical or administrative in nature, and qualifications generally are acquired through practical experience, supplemented by on-the-job and/or skills-specific training. Such work tends to have fewer career progression stages and work levels. Positions in this category typically are covered by the Fair Labor Standards Act.

- **Supervision/Management** – Positions with duties and responsibilities that primarily involve planning, directing, and coordinating the operation of units within components, developing and/or executing strategy, formulating and/or implementing policies, overseeing daily operations, and managing material, financial, and/or human resources.

The Work Levels within each of the Work Categories are presented in Figure 1.

Figure 1. Work Levels within each Work Category[1]
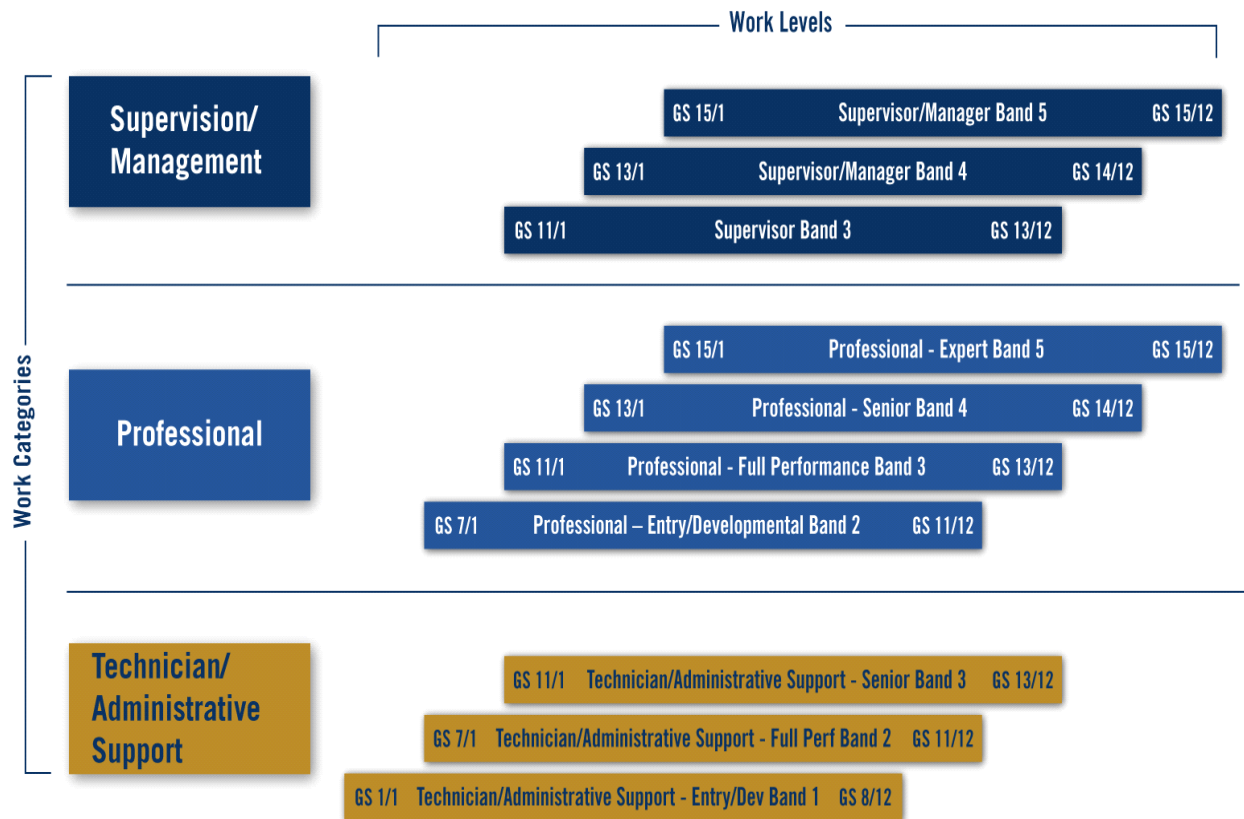
Work levels are defined as follows in ICD 652:

- **Entry/Developmental.** Work at this level involves acquiring competencies needed to perform successfully at the full performance level through appropriate formal training, actual on-the-job experience, or both, as appropriate for the Professional Work Category.

- **Full Performance.** Work at this level involves independently performing the full range of nonsupervisory duties appropriate for the Professional Work Category. Employees at this level have successfully completed required entry-level training and/or developmental activities, have a full understanding of the technical or specialty field, independently handle situations or assignments with minimal day-to-day instruction or supervision, and receive general guidance and direction on new projects or assignments. Full performance employees exercise independent judgment in selecting and applying appropriate work methods, procedures, techniques, and practices in accomplishing their duties and responsibilities. Actions at this level may have impact beyond the work unit and, as a

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[1] Note: Supervisors may be designated at different work levels based on the types of employees supervised and the scope of related functions, responsibilities, and resources. Managers may be designated at different work levels based on the scope of the functions, responsibilities, resources, and interactions. (ICD 652, p. 7).

result, employees at this level typically collaborate internally and externally with their peers.

- **Senior.** Work at this level involves a wide range of complex assignments and non-routine situations that require extensive knowledge and experience in the technical or specialty field as appropriate for the Professional Work Category. Receiving broad objectives and guidelines from the supervisor, senior employees independently handle a wide-range of complex assignments and non-routine situations and exercise independent judgment to identify and take alternative courses of action. Following broad objectives and guidelines, employees act independently to establish priorities and deadlines within expectations established by the supervisor and exercise individual judgment to choose alternative guidelines to complete assignments. Employees may lead and coordinate special projects, teams, tasks, and initiatives and may be required to build and utilize collaborative networks with key contacts within and outside of their immediate organization. Actions at this level are likely to have an impact beyond the employee's immediate organization.

- **Expert.** Work at this level involves an extraordinary degree of specialized knowledge or expertise to perform highly complex and ambiguous assignments that normally require integration and synthesis of a number of unrelated disciplines and disparate concepts. Employees at this level set priorities, goals, and deadlines; and make final determinations on how to plan and accomplish their work. Components rely on employees in this level for the accomplishment of critical mission goals and objectives and as a result, employees may lead the activities of other senior and expert employees, teams, projects, or task forces. Employees in this level create formal networks involving coordination among groups across the IC and other external organizations.

Performance Element Content Models
Professional and Technician/Administrative Support Work Categories

1. **Accountability for Results –** *This performance element measures the extent to which the employee takes responsibility for his or her work, sets and meets priorities, and organizes and utilizes time and resources efficiently and effectively to achieve desired results, consistent with the organization's goals and objectives.*

    ▪ Demonstrates accountability and responsibility for own work.
    ▪ Plans, prioritizes, and balances assignments to ensure timely and effective completion of tasks; makes adjustments as needed to adapt to changing situations.
    ▪ Makes effective and efficient use of time and other available resources.
    ▪ Achieves meaningful results by putting in the necessary time and effort, and following through to ensure quality outcomes that support organizational goals and objectives.

2. **Communication –** *This performance element measures the extent to which an employee is able to comprehend and convey information with and from others in writing, reading, listening, and verbal and non-verbal action. Employees are expected to use a variety of media in communicating and making presentations appropriate to the audience.*

    ▪ Actively attends and appropriately responds to written, verbal, and non-verbal forms of communication.
    ▪ Writes in an accurate, clear, concise, and well-organized manner.
    ▪ Orally communicates in an accurate, clear, concise, and well-organized manner.
    ▪ Tailors communication (e.g., language, tone, level of specificity) to the audience's level of understanding, using a variety of media as appropriate.

3. **Critical Thinking –** *This performance element measures an employee's ability to use logic, analysis, synthesis, creativity, judgment, and systematic approaches to gather, evaluate, and use multiple sources of information to inform decisions and outcomes.*

    ▪ Gathers information or data that is necessary and appropriate for identifying or addressing issues and problems.
    ▪ Analyzes and integrates relevant information or data to draw sound and logical conclusions.
    ▪ Identifies and evaluates alternative solutions, courses of action, and strategies to address issues and problems.
    ▪ Makes sound and timely decisions or recommendations.

4.   **Engagement and Collaboration** – *This performance element measures the extent to which the employee is able to recognize, value, build, and leverage collaborative and constructive networks of diverse coworkers, peers, customers, stakeholders, and teams within an organization and/or across the IC to share knowledge and achieve results.*

- Builds collaborative and constructive relationships that facilitate working across boundaries, groups, or organizations.
- Recognizes responsibility to provide information to others and appropriately shares information and knowledge to achieve desired goals.
- Seeks out and integrates diverse perspectives from coworkers, peers, customers, stakeholders, and teams within an organization and/or across the IC.

5.   **Personal Leadership and Integrity** – *This performance element measures the extent to which the employee is able to demonstrate personal initiative and innovation and to demonstrate honesty, integrity, openness, and respect in dealings with coworkers, peers, customers, stakeholders, teams, and collaborative networks across the IC. IC employees are also expected to demonstrate core organizational and IC values, including selfless service, a commitment to excellence, and the courage and conviction to express their professional views.*

- Takes initiative and/or uses innovation to identify and understand emerging issues relevant to assignments and adapts products and services.
- Demonstrates integrity, honesty, openness, and respect in dealings with coworkers, peers, customers, stakeholders, teams, and others across the IC.
- Demonstrates an appreciation for the value of diversity.
- Demonstrates core organizational and IC values, including selfless service, a commitment to excellence, and the courage and conviction to express one's professional views when representing one's self, unit, or agency.

6.   **Technical Expertise** – *This performance element measures an employee's ability to acquire and apply knowledge, subject matter expertise, tradecraft, and/or technical competency necessary to achieve results.*

- Demonstrates and applies relevant and appropriate knowledge, subject matter expertise, tradecraft, and/or technical competency to achieve work objectives and outcomes.
- Stays up-to-date in professional/technical specialties by acquiring, developing, and maintaining relevant knowledge and skills.
- Solicits, listens to, and acts on constructive feedback to enhance technical or professional skills.

Supervision/Management Work Category

1. **Accountability for Results** – *This performance element measures the extent to which the employee takes responsibility for his or her work, sets and meets priorities, and organizes and utilizes time and resources efficiently and effectively to achieve desired results, consistent with their organization's goals and objectives. In addition, IC supervisors are expected to use these same skills to accept responsibility for and achieve results through the actions and contributions of their subordinates and their organization as a whole.*

   - Demonstrates accountability and responsibility for own work and the work of others.
   - Plans, prioritizes, and balances assignments or projects to ensure timely and effective completion of tasks; makes adjustments as needed to adapt to changing situations.
   - Makes effective and efficient use of time and other available resources.
   - Achieves meaningful results by putting in the necessary time and effort, and following through to ensure quality outcomes through own work and the actions and contributions of subordinates and the organization as a whole.

2. **Communication** – *This performance element measures the extent to which an employee is able to comprehend and convey information with and from others in writing, reading, listening, and verbal and non-verbal action. In addition, IC supervisors are expected to use effective communication skills to build cohesive work teams, develop individual skills, and improve performance.*

   - Actively attends and appropriately responds to written, verbal, and non-verbal forms of communication.
   - Writes in an accurate, clear, concise, and well-organized manner.
   - Orally communicates in an accurate, clear, concise, well-organized, and timely manner.
   - Tailors communication (e.g., language, tone, level of specificity) to the audience's level of understanding, using a variety of media as appropriate.
   - Uses effective communication skills to build cohesive work teams, develop individual skills, and improve performance.

3. **Critical Thinking** – *This performance element measures an employee's ability to use logic, analysis, synthesis, creativity, judgment, and systematic approaches to gather, evaluate, and use multiple sources of information to inform decisions and outcomes. In addition, IC supervisors are expected to establish a work environment where employees feel free to engage in open, candid exchanges of information and diverse points of view.*

   - Gathers information or data that is necessary and appropriate for identifying or addressing issues and problems.
   - Analyzes and integrates relevant information or data to draw sound and logical conclusions.
   - Identifies and evaluates alternative solutions, courses of action, and strategies to address issues and problems.

- Makes sound and timely decisions or recommendations.
- Establishes a work environment where employees feel free to engage in open, candid exchanges of information and diverse points of view.

4. **Engagement and Collaboration** – *This performance element measures the extent to which the employee is able to recognize, value, build, and leverage collaborative and constructive networks of diverse coworkers, peers, customers, stakeholders, and teams within an organization and/or across the IC to share knowledge and achieve results. In addition, IC supervisors are expected to create an environment that promotes engagement, collaboration, integration, and the sharing of information and knowledge.*

- Builds effective, collegial relationships that facilitate working across boundaries, groups, or organizations.
- Recognizes responsibility to provide information to others and appropriately shares information and knowledge to achieve desired goals.
- Leverages diversity by seeking out and integrating diverse perspectives from subordinates, coworkers, peers, customers, stakeholders, and teams within an organization and/or across the IC.
- Creates an environment that promotes engagement, integration, and knowledge sharing.

5. **Leadership and Integrity** – *This performance element measures the extent to which the employee is able to demonstrate personal initiative and innovation and to demonstrate honesty, integrity, openness, and respect in dealings with coworkers, peers, customers, stakeholders, teams, and collaborative networks across the IC. Leaders are expected to achieve organizational goals and objectives through effective leadership, creating a shared vision and mission, and mobilizing employees in support of their objectives. Leaders are also expected to demonstrate core organizational and IC values, including selfless service, a commitment to excellence, and the courage and conviction to express their professional views. In addition, they must establish and promote equal opportunity and collaboration and reward and recognize individual and team accomplishments.*

- Takes initiative and/or uses innovation to identify and understand emerging issues relevant to assignments and adapts products and services.
- Demonstrates integrity, honesty, openness, and respect in dealings with subordinates, coworkers, peers, customers, stakeholders, teams, and others across the IC.
- Demonstrates and advances core organizational and IC values, including selfless service, a commitment to excellence, and the courage and conviction to express one's professional views when representing one's self, unit, or agency.
- Creates a shared vision and mission within one's organization and mobilizes employees, stakeholders, and collaborative networks in support of organizational objectives.
- Establishes a work environment and organizational culture that values and promotes equal opportunity, diversity (of both persons and points of view), critical thinking, collaboration, and information sharing.

- ▪ Recognizes and rewards individual excellence, enterprise focus, innovation, and collaborative action.

6. **Management Proficiency** – *This performance element measures an employee's technical proficiency as it relates to his or her mission area and to his or her role as supervisor or manager. Expertise is acquired through a combination of education, training, and experience. Leaders and managers are expected to leverage their skills in planning for, acquiring, organizing, integrating, developing, and prioritizing human, financial, material, information, and other resources to accomplish objectives. Managers are expected to focus on the development and productivity of their subordinates by setting clear expectations and objectives, providing ongoing coaching and feedback, evaluating contributions, and linking performance ratings and rewards to accomplishments.*

- ▪ Demonstrates and applies relevant and appropriate knowledge, subject matter expertise, tradecraft, leadership, and managerial competency to achieve work objectives and outcomes.
- ▪ Stays up-to-date by acquiring, developing, and maintaining relevant and appropriate knowledge and skills.
- ▪ Solicits, listens to, and acts on constructive feedback to enhance leadership and managerial knowledge and skills.
- ▪ Plans for, acquires, organizes, integrates, develops, and prioritizes the human, financial, material, information, and other resources to accomplish the organization's mission and objectives.
- ▪ Sets clear performance objectives and provides ongoing coaching and feedback.
- ▪ Accurately and fairly evaluates individual employee's contributions to organizational results and links rewards to the accomplishment of those results.

Example Indicators of "Outstanding" Performance

- Demonstrates ability to interact effectively with a wide range of individuals under varying circumstances in a manner that far exceeds expectations.

- Proactively strives to improve work unit and organizational performance through innovative methods.

- Demonstrates unusual creativity – comes up with new products, services, or work products that break new ground and/or greatly improve the organization's reputation, effectiveness, or efficiency.

- Outcomes have broad and significant impact beyond what would ordinarily be expected for his/her band.

- Generally performs at a level more consistent with the band above his or her current level.

- Operates more independently than would be expected at his/her band level.

- Is proactive rather than reactive: anticipates obstacles and actively plans to overcome them; persists in overcoming obstacles or solving problems when others typically give up.

- Achieves outcomes and results that are far superior in quality and depth to what would be expected ordinarily at the individual's band level; work quality is recognized by peers and customers for excellence; work submitted for review requires few, if any, substantive revisions.

- Serves as a model performer for peers; is sought out by others for advice and guidance and to handle highly visible, difficult, sensitive, complex, or ambiguous tasks.

- Seeks out new responsibilities and assignments outside immediate area of responsibility, leading to additional contributions to the work unit or organization at large.

- Puts forth extra effort to accomplish work assignments in the most efficient and effective manner possible – even when demands are very heavy and it is personally inconvenient.

- Productivity is above what would be expected normally for the individual's band level.

- Continually strives to improve his or her performance by seeking feedback and through self-directed learning opportunities.

- Demonstrates ability to handle more complex, subtle, or unusual problems than would be expected for his/her pay band.

- Demonstrates a higher level of knowledge and skill than what would be expected for his/her band.

- Recognizes patterns and trends in information or data and pulls together seemingly disparate pieces of information to develop new insights or solve problems.

Performance Standards

Professional Work Category –Entry/Developmental Band 2

Performance Standards for Entry/Developmental Band 2 Employees in Professional Work Category		
Accountability 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.
Communication		
Successful		*Outstanding*
• Interprets and appropriately responds to written, verbal, and non-verbal communications.		• Effectively recognizes even subtle written, verbal, and nonverbal cues and responds appropriately.
• With guidance, prepares routine written materials that are clear, organized, concise, in the correct format, and that contain proper spelling and grammar.		• Incorporates feedback to produce written materials that exceed expectations for organization, clarity, and quality.
• With guidance, communicates clearly and concisely, conveying ideas and information in an organized, logical fashion; responds to routine questions in a timely, accurate, and courteous manner.		• Explains complicated information in a manner that is easy to understand; responds to difficult questions in a timely, accurate, concise, and courteous manner.
• With guidance, effectively adjusts communications for audience level of understanding; uses appropriate media in communications.		• Tailors communications to meet audience needs and enhance their understanding.
Critical Thinking		
Successful		*Outstanding*
• With guidance, gains a basic understanding of straightforward situations or problems and collects information from routine sources.		• Takes initiative to identify additional sources of information from non-routine sources for a more comprehensive understanding of issues and problems.
• With guidance, evaluates, analyzes, and integrates basic data/information to identify issues or trends and to draw reasonable, logical conclusions for straightforward problems.		• Independently evaluates, analyzes, and integrates basic data/information to identify issues or trends and to draw reasonable, logical conclusions for a variety of problems.
• With guidance, applies well-defined and established strategies and/or procedures to effectively solve straightforward problems.		• Suggests alternative solutions when the original course of action will not work.
• With guidance, makes sound and timely decisions in well-defined, low-risk situations affecting own work.		• Makes sound, timely, and effective decisions with minimal guidance.

Performance Standards for Entry/Developmental Band 2 Employees in Professional Work Category			
Engagement and Collaboration			
Successful			**Outstanding**
• Interacts collaboratively and demonstrates flexibility within own work unit to accomplish shared unit goals; willingly assists others.			• Builds effective partnerships that contribute to work unit outcomes; seeks opportunities to assist others.
• Recognizes responsibility to provide information and willingly shares knowledge, skills, and lessons learned in own work unit.			• Seeks opportunities to share relevant knowledge and skills with others.
• Considers diverse perspectives from coworkers, peers, customers/partners and stakeholders within or who interact directly with own work unit.			• Actively seeks diverse perspectives from coworkers, peers, customers/partners and stakeholders and uses this information to enhance own work.
Personal Leadership and Integrity			
Successful			**Outstanding**
• Demonstrates awareness of factors relevant to own work and, with guidance, adapts products and services as needed.			• Demonstrates a more complete understanding of factors relevant to work unit assignments; proposes innovative ideas for improving products and services.
• Treats everyone fairly, honestly, and respectfully.			• Actively seeks and considers the perspectives, needs, and concerns of others and adjusts own interpersonal style accordingly.
• Shows respect for diversity in the workplace by demonstrating inclusiveness and sensitivity to individual differences.			• Serves as a role model of respectful and inclusive behavior to others.
• Demonstrates professional behavior and good judgment in routine interactions with others; behavior consistently reflects organizational and IC values, including selfless service, a commitment to excellence, and the courage and conviction to express own professional view.			• Demonstrates a high degree of composure in interactions with others, even in challenging and sensitive situations.
Technical Expertise			
Successful			**Outstanding**
• Participates in developmental opportunities to acquire or enhance professional knowledge, tradecraft, and subject matter expertise.			• Takes initiative to expand or enhance professional knowledge, tradecraft, and subject matter expertise.
• Demonstrates progress in applying basic professional knowledge, tradecraft, and subject matter expertise to perform straightforward work activities with guidance.			• Applies professional knowledge, tradecraft, and subject matter expertise to perform more advanced tasks with minimal supervision.
• Responds appropriately to feedback.			• Seeks and responds appropriately to feedback.
• Uses acquired knowledge and skills to continually improve own performance.			• Applies new approaches to perform more advanced and difficult tasks.

Professional Work Category – Full Performance Band 3

Performance Standards for Full Performance Band 3 Employees in Professional Work Category		
Accountability for Results		
Successful		**Outstanding**
• Takes responsibility for own actions, whether or not they are successful.		• Takes responsibility for own actions and work unit outcomes, even in the face of significant criticism or challenges; proactively seeks to resolve issues.
• Plans, organizes, and prioritizes own work activities to complete assignments in a timely and effective manner and makes adjustments to respond to changing situations, demands, or obstacles.		• Persists in overcoming obstacles to accomplish assignments; rapidly adjusts plans, goals, and priorities to meet deadlines.
• Identifies and advocates for resources necessary to support and contribute to mission requirements; uses time and resources in an efficient and effective manner.		• Anticipates changes in workload requirements and advocates for resources well in advance of when they are needed; suggests flexible and innovative approaches to stretch limited resources.
• Takes action to achieve meaningful results in support of organizational goals and objectives; ensures work adheres to applicable authorities, standards, policies, procedures, and guidelines.		• 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.
Communication		
Successful		**Outstanding**
• Interprets and appropriately responds to written, verbal, and non-verbal communications.		• Adeptly reads interpersonal interactions and nonverbal cues and adjusts own style or behavior to more effectively communicate with others.
• Prepares routine and complex written materials that are clear, concise, organized, in the correct format, and that contain proper spelling and grammar.		• Rapidly adapts to feedback to produce written materials that exceed expectations for organization, clarity, and quality.
• Communicates clearly and concisely, conveying ideas and information in an organized and logical fashion; responds to a range of questions in a timely, accurate, concise, and courteous manner.		• Shows exceptional skill in presenting complex information; effectively conveys information in a variety of situations, explaining main ideas and subordinate points clearly and concisely; deftly handles questions and challenges.
• Effectively tailors communications for audience level of understanding; uses a variety of media in communicating to facilitate audience understanding.		• Shows exceptional skill in tailoring communications to fully meet audience needs and maximize their understanding.

Performance Standards for Full Performance Band 3 Employees in Professional Work Category		
Critical Thinking		
Successful		**Outstanding**
• Gains a thorough understanding of moderately complex situations or problems by identifying key issues and assumptions and collecting accurate, relevant, and complete information. • Evaluates, analyzes, and integrates moderately complex data/information to identify issues, trends, and relationships and draw reasonable, logical conclusions. • Applies effective solutions, strategies, and/or procedures to solve moderately complex problems that directly impact immediate work environment. • Makes sound and timely recommendations or decisions for dealing with moderately complex issues.		• Takes initiative to identify additional sources of information from non-routine or nontraditional sources for a more comprehensive understanding of issues and problems. • Evaluates, analyzes, and integrates complex data/information to identify issues, trends, and relationships and draw reasonable conclusions for ambiguous or ill-defined problems. • Identifies potential future problems that may directly impact the work environment and recommends solutions and alternative courses of action. • Makes sound and timely recommendations or decisions, even in stressful, ambiguous, or sensitive situations.
Engagement and Collaboration		
Successful		**Outstanding**
• Contributes to achieving work unit goals by working collaboratively and building effective partnerships across units; readily provides assistance to others when needed. • Demonstrates awareness of responsibility to provide information and actively seeks opportunities to share knowledge, skills, and lessons learned within and beyond own work unit. • Actively seeks diverse perspectives from coworkers, peers, customers/partners and stakeholders, who are in or interact directly with own work unit.		• Develops relationships with a wide range of individuals across the organization; demonstrates exceptional skill in building and maintaining these relationships. • Seeks opportunities to increase knowledge and skill transfer within and beyond own work unit; encourages and promotes knowledge and skill sharing by mentoring others and/or developing informal knowledge-sharing channels. • Promotes the communication of diverse perspectives within and beyond own work unit.

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Performance Standards for Full Performance Band 3 Employees in Professional Work Category			
Personal Leadership and Integrity			
Successful			Outstanding
• Takes initiative and puts forth effort needed to interpret emerging issues that affect work unit assignments and, with minimal guidance, develops innovative solutions for adapting products and services as needed. • Treats everyone fairly, honestly, and respectfully, thereby contributing to a positive team atmosphere that fosters cooperation, trust, and inclusion. • Shows respect for diversity in the workplace by demonstrating inclusiveness and sensitivity to individual differences. • Demonstrates a high degree of professional behavior, composure, and sound judgment when representing self or unit; behavior consistently reflects organizational and IC values, including selfless service, a commitment to excellence, and the courage and conviction to express own professional view.			• Consistently puts forth effort needed to excel in understanding and solving moderately complex and challenging issues; proposes highly innovative ideas to ensure quality of products and services. • Actively seeks and consistently considers the perspectives, needs, and concerns of others; uses this information to tailor own behavior to work more effectively with others across situations and to foster a team environment. • Serves as a role model of respectful and inclusive behavior to others. • Demonstrates exceptional professionalism, composure, and sound judgment and promotes a positive image of the work unit and organization to internal and/or external parties, even in challenging and sensitive situations.
Technical Expertise			
Successful			Outstanding
• Participates in professional development activities in order to expand professional knowledge, tradecraft, and subject matter expertise. • With minimal guidance, develops, maintains, and applies professional knowledge, tradecraft, and subject matter expertise to perform assigned work activities. • Seeks and responds appropriately to feedback. • Stays current in professional/ technical area of expertise and uses this knowledge and skill to improve own performance.			• Proactively seeks new opportunities for self-development of professional knowledge, tradecraft, and subject matter expertise. • Applies depth and breadth of professional knowledge, tradecraft, and subject matter expertise to perform well on complex and varied assignments. • Seeks feedback and uses it to improve own and work unit performance. • Applies new approaches to perform ambiguous and complex tasks.

Professional Work Category – Senior Band 4

Performance Standards for Senior Band 4 Employees in Professional Work Category			
Accountability for Results			
Successful			**Outstanding**
• Takes responsibility for own actions and work unit outcomes, whether or not they are successful; where appropriate, acknowledges accomplishments of others.			• Takes responsibility for own and work unit actions and outcomes, even in the face of significant criticism or challenges; proactively seeks to resolve complex issues.
• Coordinates work across assigned projects or programs, effectively balancing competing work demands to achieve timely and positive outcomes; makes adjustments to plans, priorities, and timelines to respond to changing situations, demands, or obstacles.			• Persists in overcoming obstacles to accomplish assignments; monitors the execution of plans and schedules that have high organizational impact; rapidly makes adjustments to plans, goals, and priorities in complex and difficult situations to meet deadlines.
• Identifies and effectively advocates for the resources necessary to support and contribute to mission requirements; uses time and resources in an efficient and effective manner.			• Anticipates changes in workload requirements and advocates for resources well in advance of when they are needed; develops and implements flexible and innovative approaches to stretch limited resources, resulting in greater contributions to the organization.
• Coordinates projects across multiple work units and ensures that meaningful results in support of organizational goals and objectives are achieved; ensures work adheres to applicable authorities, standards, policies, procedures, and guidelines.			• 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.
Communication			
Successful			**Outstanding**
• Interprets and appropriately responds to written, verbal, and non-verbal communications.			• Adeptly reads interpersonal interactions and nonverbal cues, and adjusts own style or behavior to more effectively communicate with others.
• Prepares a variety of written materials that are clear, concise, organized, accurate, and in the correct format; reviews and/or edits written materials to ensure they meet expectations for organization, clarity, and accuracy; provides effective guidance to others when reviewing and editing written materials.			• Produces written communications that are of exceptional quality; provides insightful guidance to others when reviewing and editing written materials.
• Communicates complex concepts and issues clearly and effectively in an accurate, confident, and compelling manner, conveying ideas and information in an organized, logical fashion; responds to a range of questions in a timely, accurate, concise, and courteous manner.			• Shows exceptional skill in presenting complex information orally; deftly handles questions and challenges; presentations are notable for clarity and depth of information and analysis, even with highly complex or unusual topics; presentations are used as examples for others to follow.
• Recognizes potential implications of communications and tailors communications to audience needs and level of understanding; uses a variety of media in communicating to facilitate audience understanding.			• Shows exceptional skill in tailoring communications to fully meet audience needs and maximize their understanding; takes other perspectives into account, even when addressing controversial topics.

Performance Standards for Senior Band 4 Employees in Professional Work Category		
Critical Thinking		
Successful		**Outstanding**
• Gains a complete understanding of complex situations or problems that impact the organization by identifying key issues and assumptions and collecting accurate and relevant data from traditional and non-traditional sources.		• Takes initiative and displays exceptional persistence in finding critical, yet hard-to-obtain information.
• Efficiently and effectively evaluates, analyzes, and integrates complex data/information to identify issues, relationships, and emerging trends and draw reasonable, logical conclusions.		• Evaluates, analyzes, and integrates data/information to identify creative and workable solutions for very difficult and ambiguous problems; draws on evaluations and interpretations to form sound conclusions and identify reasonable, logical solutions.
• Develops and applies the most appropriate solutions, strategies, and/or procedures to effectively solve difficult or complex problems or issues that impact the organization.		• Evaluates the impact of events outside own organization and uses this information to develop alternative strategies or processes.
• Makes sound and timely recommendations or decisions in a variety of complex situations by considering the costs, risks, and benefits and choosing courses of action in which the benefits outweigh the risks.		• Makes sound and timely recommendations or decisions when circumstances are stressful, sensitive, highly ambiguous, or complete information is not available; considers future consequences of alternatives.
Engagement and Collaboration		
Successful		**Outstanding**
• Contributes to achieving work unit and organizational objectives by working cooperatively and building and maintaining effective partnerships internal and external to the organization; recognizes when others need assistance and provides support to achieve organizational goals.		• Demonstrates exceptional skill in building and maintaining a broad range of professional relationships within and beyond own organization; leverages professional networks to make greater contributions to the mission.
• Engages in open communication and information sharing with other work units or organizations to ensure that others have the information necessary to accomplish their goals.		• Promotes open, candid, and regular exchanges and sharing of information within and outside of own organization; facilitates exchanges of information that increase contributions to the mission.
• Actively seeks diverse perspectives from coworkers, peers, customers/partners and stakeholders internal and external to the organization.		• Promotes the communication of diverse perspectives within and among work units and organizations as a means for developing deeper and more innovative insights to address issues and problems.

Performance Standards for Senior Band 4 Employees in Professional Work Category		
Personal Leadership and Integrity		
Successful		**Outstanding**
• Takes initiative and puts forth effort needed to identify and interpret how emerging issues will affect assignments within and across units; coordinates and ensures the appropriate adaptation of products and services as needed.		• Consistently seeks opportunities to learn about emerging issues; develops highly innovative and integrative ideas for coordinating the adaptation of products and services.
• Treats everyone fairly, honestly, and respectfully; creates a positive team atmosphere that fosters cooperation, trust, and inclusion by modeling and encouraging this behavior in others.		• Proactively solicits ideas to gain an understanding of the priorities, needs, and concerns of others and address them as appropriate; tailors own behavior to work more effectively with others and to foster a team environment even in difficult situations.
• Shows respect for diversity in the workplace by demonstrating inclusiveness and sensitivity to individual differences.		• Serves as a role model of respectful and inclusive behavior and encourages others to do the same.
• Demonstrates a high degree of professional behavior, composure, and sound judgment when representing self, unit, or organization, promoting a positive image to internal and external parties and consistently reflecting organizational and IC values, including selfless service, a commitment to excellence, and the courage and conviction to express own professional view.		• Consistently demonstrates exceptionally sound judgment, professionalism, and composure, even in highly challenging or sensitive situations; exemplifies a strong commitment to IC values and strives to promote a positive image of the IC.
Technical Expertise		
Successful		**Outstanding**
• Seeks feedback and participates in challenging professional development activities to continually develop professional knowledge, tradecraft, and subject matter expertise; applies lessons learned to improve work unit and organizational performance.		• Proactively seeks new opportunities and feedback to continually develop and expand professional knowledge, tradecraft, and subject matter expertise; applies lessons learned to significantly improve work unit and organizational performance.
• Applies depth and breadth of professional knowledge, tradecraft, and subject matter expertise to perform a wide range of complex assignments that impact own organization.		• Applies depth and breadth of knowledge, tradecraft, and subject matter expertise to perform exceptionally well on the full range of complex or varied assignments that impact the reputation, effectiveness, or efficiency within and beyond own organization.
• Stays current in professional/ technical area of expertise, and uses this knowledge and skill to improve own, work unit, and organizational performance.		• Translates new developments in own technical field into concrete advances that significantly improve the work unit and organization performance.

Professional Work Category – Expert Band 5

Performance Standards for Expert Band 5 Employees in Professional Work Category			
Accountability for Results			
Successful			**Outstanding**
• Takes responsibility for own actions and organizational outcomes, whether or not they are successful; takes responsibility for organizational results; where appropriate, acknowledges accomplishments of others.			• Takes responsibility for own, work unit, and organization actions and outcomes, even in the face of significant criticism or challenges; proactively seeks to resolve issues; actively promotes and communicates the accomplishments of others.
• Coordinates work across assigned projects, programs, or units, effectively balancing competing work demands to achieve timely and positive outcomes; makes adjustments to plans, priorities, and schedules to respond to changing situations, demands, or obstacles.			• Persists in overcoming obstacles to accomplish assignments; monitors the execution of very complex or sophisticated plans and schedules that have high organizational impact; makes adjustments to plans, goals, and priorities in complex and fluid situations to achieve optimal outcomes.
• Identifies and effectively advocates for the resources necessary to support and contribute to mission requirements; actively contributes to resource planning efforts and competently defends resource requirements; uses time and resources in an efficient and effective manner.			• Anticipates changes in workload requirements and advocates for resources well in advance of when they are needed; balances competing resource requirements to ensure alignment with mission objectives; develops and implements flexible and innovative approaches to stretch limited resources, resulting in greater contributions to the organization.
• Coordinates projects across multiple work units and organizations and ensures that meaningful results in support of organizational goals and objectives are achieved; ensures work adheres to applicable authorities, standards, policies, procedures, and guidelines.			• 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.
Communication			
Successful			**Outstanding**
• Interprets and appropriately responds to written, verbal, and non-verbal communications.			• Adeptly reads interpersonal interactions and nonverbal cues and adjusts own behavior to more effectively communicate with others.
• Consistently prepares, reviews, and/or edits complex written materials, properly emphasizing key issues and considering potential implications; ensures written materials are thorough, logical, concise, complete, accurate, consistent, and organized; provides effective guidance to others.			• Produces written materials that are of superior quality; delivers exceptional guidance when reviewing that improves the quality of the materials.
• Communicates complex, controversial, and sensitive concepts and issues clearly and effectively in an accurate, confident, and compelling manner, conveying ideas and information in an organized, logical fashion; responds to a range of questions in a timely, accurate, concise, and courteous manner.			• Shows exceptional skill in presenting even the most complex information orally; presentations are notable for clarity and depth of information and analysis, even with highly complex or unusual topics; anticipates potential issues, and communicates persuasively to make his/her points; deftly handles questions and challenges; presentations are used as examples for others to follow.
• Recognizes potential implications of communications and tailors communications to a wide range of audience needs and level of understanding; uses a variety of media in communicating to facilitate audience understanding.			• Shows exceptional skill in tailoring communications to fully meet audience needs and maximize their understanding across the organization; takes other perspectives into account, even when addressing controversial topics.

Performance Standards for Expert Band 5 Employees in Professional Work Category

Critical Thinking

Successful		Outstanding
• Gains a complete understanding of a variety of highly-complex or high-visibility issues that impact the work unit and organization; places issues in a larger context by identifying key issues and assumptions and collecting accurate and relevant data; identifies sources for specialized or uncommon data.		• Focuses on the most critical information needed to define and understand issues; takes initiative and displays exceptional persistence in finding critical, yet hard-to-obtain information.
• Expertly evaluates, analyzes, and integrates highly complex data/information to detect issues, relationships, emerging trends, and/or opportunities for action; draws reasonable, logical conclusions.		• Identifies significant connections between seemingly unrelated pieces of data/information to draw innovative conclusions or to resolve the most difficult or ambiguous problems; draws on evaluations and interpretations to form sound conclusions and identify reasonable, logical solutions.
• Develops and applies creative and insightful solutions to highly complex or visible problems/issues that impact the organization and IC; develops effective strategies to address problems associated with new and emerging issues.		• Takes the initiative to resolve problems of particular difficulty, sensitivity, or strategic importance in order to maximize contributions to the organization and IC; evaluates the impact of outside events and uses this information to develop alternative strategies or processes.
• Makes timely and logical recommendations or decisions in highly complex, difficult, high pressure, and/or ill-defined situations by considering the costs, risks, and benefits and choosing courses of action in which the benefits outweigh the risks.		• Makes decisions or recommendations in the most sensitive, difficult, and ambiguous situations and consistently offers sound counsel, effectively balancing costs, benefits, and future consequences.

Engagement and Collaboration

Successful		Outstanding
• Contributes to achieving organizational objectives by modeling collaboration and building effective partnerships internal and external to the IC; recognizes when others need assistance and provides support to achieve organizational or cross-organizational goals.		• Demonstrates exceptional skill in building and maintaining professional relationships internal and external to the IC; leverages extensive professional networks to maximize contributions to the mission.
• Consistently models open, direct, candid, and regular exchanges of information within and outside of the organization; establishes communication processes that ensure work activities are well-integrated across organizations; clearly articulates and promotes the importance and the value of information, skills, and knowledge sharing; encourages sharing of knowledge, skills, and lessons learned within and across work units and organizations.		• Actively works to ensure the continuous transfer of knowledge and skills across the organization, IC, and externally by serving as a resource or initiating and overseeing the development of knowledge-sharing and collaboration systems.
• Actively seeks diverse perspectives from coworkers, peers, customers/partners, and stakeholders internal and external to the IC; integrates these perspectives to develop new and deeper insights on issues of interest.		• Promotes the communication of diverse perspectives within and beyond the IC; fosters a climate in the organization reinforcing the value of trust, respect, and diverse perspectives; champions respect for and value of individual differences and diversity, resulting in greater information sharing.

Performance Standards for Expert Band 5 Employees in Professional Work Category

Personal Leadership and Integrity

Successful		Outstanding
• Takes initiative and puts forth the effort needed to understand difficult, challenging, and ambiguous issues that affect the organization and IC; proposes and implements innovative programs and initiatives designed to improve products and services.		• Consistently seeks opportunities to learn about emerging issues; excels at understanding and developing solutions for highly complex, high stakes issues across the organization and IC; champions the implementation of improved products and services throughout the IC.
• Treats everyone fairly, honestly, and respectfully; creates a positive team atmosphere that fosters cooperation, trust, and inclusion by modeling and encouraging this behavior in others.		• Proactively solicits ideas to gain an understanding of the priorities, needs, and concerns of others internal and external to the IC and address them as appropriate; tailors own behavior to work more effectively with others and to foster a team environment, even in difficult situations.
• Shows respect for diversity in the workplace by demonstrating inclusiveness and sensitivity to individual differences.		• Serves as a role model of respectful and inclusive behavior and encourages others to do the same.
• Represents self, unit, or organization in a manner that enhances its image and reputation through his/her judgment, professionalism, composure, credibility, preparation, and commitment, even in challenging or sensitive situations, thus promoting the IC image and core values, including selfless service, a commitment to excellence, and the courage and conviction to express own professional view.		• Consistently sets an example of excellence as a representative of the organization or IC; is called upon to handle the most difficult, politically sensitive, or highly visible situations in a manner embodying exceptional professionalism, composure, judgment, and demonstration of the IC core values.

Technical Expertise

Successful		Outstanding
• Develops, maintains, and applies expert-level professional knowledge, tradecraft, and subject matter expertise to perform a full range of highly complex work activities; applies expertise to improve own and organizational performance; serves as recognized authority in area of expertise within the IC.		• Serves and is consulted as a recognized authority within and beyond the IC for depth and breadth of professional knowledge, tradecraft, and subject matter expertise; applies expertise to handle the most complex and difficult assignments.
• Continually seeks information and feedback to enhance technical and professional competencies; identifies and pursues challenging development opportunities and applies lessons learned to improve the organization and IC.		• Proactively identifies new methods of obtaining information and organizational feedback that lead to concrete improvements that have a broad organizational and community impact.
• Stays current in professional/ technical area of expertise and uses this knowledge and skill to improve own, work unit, organizational, and/or IC performance.		• Translates new developments in own technical field into concrete advances that have a broad organizational and community impact.

Technician/Administrative Support Work Category – Entry/Developmental Band 1

Performance Standards for Entry/Developmental Band 1 Employees in Technician/Administrative Support Work Category		
Accountability for Results		
Successful		**Outstanding**
• Accepts responsibility for own actions, whether or not they are successful. • Adheres to schedules and, with guidance, organizes and prioritizes own tasks to complete assignments in a timely and effective manner, making adjustments as needed. • 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 efficiently. • Takes action to achieve meaningful results in support of organizational goals and objectives.		• Proactively takes responsibility for own actions, even when faced with challenges or criticism. • Takes appropriate initiative to make adjustments to plans, goals, and priorities to meet deadlines. • 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. • Consistently takes action to achieve outcomes and results that far exceed expectations for quality, quantity, and/or impact.
Communication		
Successful		**Outstanding**
• Interprets and appropriately responds to written, verbal, and non-verbal communications. • With direction, prepares written materials that meet expectations for organization, clarity, accuracy, grammar, and spelling. • With guidance, communicates clearly and concisely, conveying ideas and information in an organized, logical fashion; responds to routine inquiries in a timely, accurate, and courteous manner. • With guidance, effectively adjusts communications for audience level of understanding; uses appropriate media in communications.		• Adeptly interprets nonverbal cues and adjusts personal style or behavior to effectively interact with others. • Incorporates feedback to consistently produce written materials that exceed expectations for organization, clarity, and quality. • Responds to inquiries in a timely, accurate, concise, and courteous manner, explaining technical information in a manner that is easy to understand. • With minimal guidance, tailors communications to meet audience needs.
Critical Thinking		
Successful		**Outstanding**
• Seeks and uses appropriate guidance to gain a basic understanding of straightforward situations or problems and collect information from routine sources. • With guidance, evaluates, analyzes, and integrates basic data/information to identify issues and clear trends and to draw reasonable, logical conclusions for straightforward problems. • With guidance, applies well-defined and established strategies, and/or procedures to effectively solve straightforward problems. • With guidance, makes sound and timely recommendations in well-defined, low-risk situations affecting own work.		• Demonstrates persistence in gathering information that is difficult to locate. • With minimal guidance, evaluates, analyzes, and integrates basic data/information to identify clear issues and clear trends and to draw reasonable, logical conclusions for a variety of problems. • Suggests alternative solutions when the original course of action will not work. • Makes sound, timely, and effective recommendations with minimal guidance.

Performance Standards for Entry/Developmental Band 1 Employees in Technician/Administrative Support Work Category		
Engagement and Collaboration		
Successful		**Outstanding**
• Interacts collaboratively within own work unit to accomplish shared goals; willingly assists others.		• Builds effective partnerships that contribute to work unit outcomes; seeks opportunities to assist others.
• Recognizes responsibility to provide information and willingly shares knowledge, skills, and lessons learned in own work unit.		• Seeks opportunities to share relevant knowledge and skills in own work unit.
• Considers diverse perspectives from coworkers, peers, and customers/partners internal and external to the work unit.		• Actively seeks diverse perspectives from coworkers, peers, and customers/partners and uses this information to enhance own work.
Personal Leadership and Integrity		
Successful		**Outstanding**
• Treats everyone fairly, honestly, and respectfully.		• Actively seeks and considers the perspectives, needs, and concerns of others and adjusts own interpersonal style accordingly.
• Demonstrates awareness of factors relevant to own work and, with guidance, adapts products and services as needed.		• Demonstrates a more complete understanding of factors relevant to work unit assignments; proposes innovative ideas for improving products and services.
• Shows respect for diversity in the workplace by demonstrating inclusiveness and sensitivity to individual differences.		• Exemplifies respectful and inclusive behavior.
• Demonstrates professional behavior and good judgment in routine interactions with others; behavior consistently reflects organizational and IC values, including selfless service, a commitment to excellence, and the courage and conviction to express own professional view.		• Demonstrates a high degree of composure in interactions with others, even in challenging and sensitive situations.
Technical Expertise		
Successful		**Outstanding**
• Participates in developmental opportunities to acquire or enhance appropriate knowledge, tradecraft, and subject matter expertise.		• Takes initiative to expand or enhance own knowledge, tradecraft, and subject matter expertise.
• Demonstrates progress in applying basic knowledge, tradecraft, and subject matter expertise to perform straightforward work activities with guidance.		• Applies knowledge, tradecraft, and subject matter expertise to perform more advanced tasks with minimal supervision.
• Responds appropriately to feedback to enhance technical skills.		• Seeks and responds appropriately to feedback to enhance technical skills.
• Uses acquired professional knowledge, tradecraft, and subject matter expertise to continually improve own performance.		• Applies new approaches to perform more advanced tasks.

Technician/Administrative Support Work Category – Full Performance Band 2

Performance Standards for Full Performance Band 2 Employees in Technician/Administrative Support Work Category		
Accountability for Results		
Successful		**Outstanding**
• Accepts responsibility for own actions, whether or not they are successful.		• Proactively takes responsibility for own actions and work unit outcomes, even in the face of significant criticism or challenges.
• Plans, organizes, and prioritizes own work activities to complete assignments in a timely and effective manner and makes adjustments to respond to changing situations, demands, or obstacles.		• Persists in overcoming obstacles and takes action necessary to accomplish assignments; takes appropriate initiative to make adjustments to plans, goals, and priorities to meet deadlines.
• Identifies and advocates for resources necessary to support and contribute to mission requirements; uses time and resources efficiently and effectively.		• Anticipates changes in workload requirements and advocates for resources well in advance of when they are needed; suggests flexible and innovative approaches to stretch limited resources.
• Takes action to achieve meaningful results in support of organizational goals and objectives; ensures work adheres to applicable authorities, standards, policies, procedures, and guidelines.		• Consistently takes action to achieve outcomes and results that far exceed expectations for quality, quantity, and/or impact.
Communication		
Successful		**Outstanding**
• Interprets and appropriately responds to written, verbal, and non-verbal communications.		• Adeptly interprets nonverbal cues and adjusts personal style or behavior to effectively interact with others.
• Prepares routine and complex written materials that are clear, concise, organized, in the correct format, and that contain proper spelling and grammar.		• Rapidly adapts to feedback to consistently produce written materials that exceed expectations for organization, clarity, and quality.
• Communicates clearly and concisely, conveying ideas and information in an organized and logical fashion; responds to a range of inquiries in a timely, accurate, concise, and courteous manner.		• Shows exceptional skill in presenting complex information; explains technical information in a manner that is easy to understand.
• Effectively tailors communications for audience level of understanding; uses a variety of media in communicating to facilitate audience understanding.		• Shows exceptional skill in tailoring communications to fully meet audience needs and maximize their understanding.

Performance Standards for Full Performance Band 2 Employees in Technician/Administrative Support Work Category		
Critical Thinking		
Successful		Outstanding
• Gains a thorough understanding of moderately complex situations or problems by identifying key issues and assumptions and collecting accurate, relevant, and complete information.		• Takes initiative to identify additional sources of information from non-routine or nontraditional sources for a more comprehensive understanding of issues and problems.
• Evaluates, analyzes, and integrates moderately complex data/information to identify issues, trends, and relationships and draw reasonable, logical conclusions.		• Evaluates, analyzes, and integrates data/information to identify issues, trends, and relationships and draw reasonable conclusions for ill-defined problems.
• Applies effective solutions, strategies, and/or procedures to solve moderately complex problems that directly impact immediate work environment.		• Identifies potential future problems that may directly impact the work environment and recommends solutions and alternative courses of action.
• Makes sound and timely recommendations or decisions for dealing with moderately complex issues.		• Makes sound and timely recommendations or decisions, even in stressful or sensitive situations.
Engagement and Collaboration		
Successful		Outstanding
• Contributes to achieving work unit goals by working collaboratively with others and building effective partnerships across units; readily provides assistance to others when needed.		• Demonstrates exceptional skill in building and managing professional relationships.
• Recognizes responsibility to provide information and actively seeks opportunities to share knowledge, skills, and lessons learned within and beyond the work unit.		• Seeks opportunities to increase knowledge and skill transfer within and beyond the work unit; encourages and promotes knowledge and skill sharing by providing guidance to others and developing informal knowledge sharing channels.
• Actively seeks diverse perspectives from coworkers, peers, customers/partners and stakeholders, internal or external to the work unit.		• Promotes the communication of diverse perspectives internal and external to the work unit.

Performance Standards for Full Performance Band 2 Employees in Technician/Administrative Support Work Category			
Personal Leadership and Integrity			
Successful			**Outstanding**
• Treats everyone fairly, honestly, and respectfully; contributes to a positive team atmosphere which fosters cooperation, trust, and inclusion.			• Actively seeks and consistently considers the perspectives, needs, and concerns of others; uses this information to tailor own behavior to work more effectively with others across situations and to foster a team environment.
• Takes initiative to interpret emerging issues that affect work unit assignments and, with minimal guidance, develops innovative solutions for adapting products and services as needed.			• Consistently excels in understanding and solving moderately complex and challenging issues; proposes highly innovative ideas to continually improve products and services.
• Shows respect for diversity in the workplace by demonstrating inclusiveness and sensitivity to individual differences.			• Serves as a role model of respectful and inclusive behavior.
• Demonstrates a high degree of professional behavior, composure, and sound judgment when representing self or unit; behavior consistently reflects organizational and IC values, including selfless service, a commitment to excellence, and the courage and conviction to express own professional view.			• Demonstrates exceptional professionalism, composure, and sound judgment and promotes a positive image of the work unit and organization to internal and/or external parties, even in challenging and sensitive situations.
Technical Expertise			
Successful			**Outstanding**
• Participates in professional development activities in order to develop and expand knowledge, tradecraft and subject matter expertise.			• Proactively seeks new opportunities for self-development of knowledge, tradecraft, and subject matter expertise.
• With minimal guidance, applies knowledge, tradecraft, and subject matter expertise to perform assigned work activities.			• Applies depth and breadth of knowledge, tradecraft, and subject matter expertise to perform well on complex and varied assignments.
• Seeks and responds appropriately to feedback to enhance technical skills.			• Seeks feedback to enhance technical skills and to improve work unit performance.
• Stays current in professional/ technical area of expertise and uses this knowledge and skill to improve own performance.			• Applies new approaches to perform more complex tasks.

Technician/Administrative Support Work Category – Senior Band 3

Performance Standards for Senior Band 3 Employees in Technician/Administrative Support Work Category		
Accountability for Results		
Successful		**Outstanding**
• Takes responsibility for own actions and work unit outcomes, whether or not they are successful; where appropriate, acknowledges accomplishments of others.		• Takes responsibility for own and work unit actions and outcomes, even in the face of significant criticism or challenges; proactively seeks to resolve complex issues.
• Coordinates work across assigned projects or programs, effectively balancing competing work demands to achieve timely and positive outcomes; makes adjustments to plans, priorities, and timelines to respond to changing situations, demands, or obstacles.		• Persists in overcoming obstacles to accomplish assignments; monitors the execution of plans and schedules that have high organizational impact; rapidly makes adjustments to plans, goals, and priorities in complex and difficult situations to meet deadlines.
• Identifies and effectively advocates for resources necessary to support and contribute to mission requirements; uses time and resources efficiently and effectively.		• Anticipates changes in workload requirements and adapts or advocates for resources well in advance of when they are needed; develops and implements flexible and innovative approaches to stretch limited resources, resulting in greater contributions to the organization.
• Coordinates projects across multiple work units to achieve meaningful results in support of organizational goals and objectives; ensures work adheres to applicable authorities, standards, policies, procedures, and guidelines.		• Consistently takes action to achieve outcomes and results that far exceed expectations of quality, quantity, and/or impact.
Communication		
Successful		**Outstanding**
• Interprets and appropriately responds to written, verbal, and non-verbal communications.		• Adeptly interprets nonverbal cues and adjusts personal style or behavior to effectively interact with others.
• Prepares a variety of written materials that are clear, concise, organized, accurate, and in the correct format; reviews and/or edits written materials to ensure they meet expectations for organization, clarity, and accuracy.		• Produces written materials that are of exceptional quality; provides insightful guidance to others when reviewing and editing written materials.
• Informs leadership of issues that impact the work unit; communicates complex concepts and issues clearly and effectively in an accurate, confident, and compelling manner, conveying ideas and information in an organized, logical fashion; responds to a range of inquiries in a timely, accurate, concise, and courteous manner.		• Anticipates potential issues that may impact the work unit and proactively informs leadership; shows exceptional skill in presenting complex information; deftly handles inquiries and challenges; presentations are notable for clarity and depth of information and analysis with highly complex or unusual topics; presentations are used as examples for others to follow.
• Recognizes potential implications of communications and tailors communications to audience needs and level of understanding; uses a variety of media in communicating to facilitate audience understanding.		• Shows exceptional skill in tailoring communications to fully meet audience needs and maximize their understanding; takes other perspectives into account when addressing controversial topics.

Performance Standards for Senior Band 3 Employees in Technician/Administrative Support Work Category		
Critical Thinking		
Successful		**Outstanding**
• Gains a complete understanding of complex situations or problems that impact own or other work units by identifying key issues and assumptions and collecting accurate and relevant data from traditional and non-traditional sources.		• Takes initiative and displays exceptional persistence in finding critical, yet hard-to-obtain information.
• Efficiently and effectively evaluates, analyzes, and integrates complex data/information to identify issues, relationships, and emerging trends and draw reasonable, logical conclusions.		• Evaluates, analyzes, and integrates data/information to identify creative and workable solutions for very difficult and ambiguous problems; draws on evaluations and interpretations to form sound conclusions and identify reasonable, logical solutions.
• Evaluates, identifies, and applies the most appropriate solutions, strategies, and/or procedures to effectively solve difficult or complex problems or issues that impact the organization.		• Evaluates the impact of events outside own organization and uses this information to develop alternative strategies or processes.
• Makes sound and timely recommendations or decisions in a variety of complex situations by considering the costs, risks, and benefits and choosing courses of action in which the benefits outweigh the risks.		• Makes sound and timely recommendations or decisions when circumstances are stressful, sensitive, highly ambiguous, or complete information is not available; considers future consequences of alternatives.
Engagement and Collaboration		
Successful		**Outstanding**
• Contributes to achieving work unit and organizational objectives by working cooperatively and building and maintaining effective partnerships internal and potentially external to the organization; recognizes when others need assistance and provides support to achieve organizational goals.		• Demonstrates exceptional skill in building and maintaining a broad range of professional relationships internal and external to the organization; leverages professional networks to make greater contributions to the mission.
• Engages in open communication and information sharing with other work units or organizations to ensure that others have the information necessary to accomplish their goals.		• Promotes open, candid, and regular exchanges and information sharing internal and external to own organization; facilitates exchanges of information that increase contributions to the mission; works to ensure the continuous transfer of knowledge and skills by serving as a resource for initiating and overseeing the development of knowledge-sharing and collaboration systems.
• Actively seeks diverse perspectives from coworkers, peers, customers/partners and stakeholders internal and external to the organization.		• Promotes the communication of diverse perspectives within and among work units and organizations as a means for developing deeper and more innovative insights to address issues and problems.

Performance Standards for Senior Band 3 Employees in Technician/Administrative Support Work Category			
Personal Leadership and Integrity			
Successful			**Outstanding**
• Treats everyone fairly, honestly, and professionally; creates a positive team atmosphere which fosters cooperation, trust, and inclusion by modeling and encouraging this behavior in others.			• Proactively solicits ideas to gain an understanding of priorities, needs, and concerns across the organization and address them as appropriate; tailors own behavior to work more effectively with others even in difficult situations.
• Takes initiative to identify and interpret how emerging issues will affect organizational goals; coordinates and ensures the appropriate adaptation of products and services as needed.			• Consistently seeks opportunities to learn about emerging issues; develops highly innovative ideas for coordinating the adaptation of products and services internal and external to the organization.
• Shows respect for diversity in the workplace by demonstrating inclusiveness and sensitivity to individual differences.			• Serves as a role model of respectful and inclusive behavior and encourages others to do the same.
• Demonstrates a high degree of professional behavior, composure, and sound judgment when representing self, unit, or agency, promoting a positive image to internal and external parties and consistently reflecting organizational and IC values, including selfless service, a commitment to excellence, and the courage and conviction to express own professional view.			• Consistently demonstrates exceptionally sound judgment, professionalism, and composure, even in highly challenging or sensitive situations; exemplifies a strong commitment to IC values.
Technical Expertise			
Successful			**Outstanding**
• Seeks feedback and participates in challenging professional development activities to develop knowledge, tradecraft, and subject matter expertise; applies lessons learned to improve work unit and organizational performance.			• Proactively seeks new opportunities and feedback to develop knowledge, tradecraft, and subject matter expertise; applies lessons learned to significantly improve work unit and organizational performance.
• Applies depth and breadth of knowledge, tradecraft, and subject matter expertise to perform a wide range of complex assignments.			• Applies depth and breadth of knowledge, tradecraft, and subject matter expertise to perform exceptionally well on complex and varied assignments.
• Stays current in professional/ technical area of expertise and uses this knowledge and skill to improve own, work unit, and organizational performance.			• Translates new developments in own technical field into concrete advances that significantly improve work unit and organizational performance.

Supervision/Management Work Category – Supervisor Band 3

Performance Standards for Supervisor Band 3 Employees in Supervision/Management Work Category		
Accountability for Results		
Successful		Outstanding

• Takes responsibility for own actions and the actions of work unit, whether or not they are successful; holds employees accountable for their actions and recognizes their accomplishments.		• Takes responsibility for own and work unit actions, even in the face of significant criticism or challenges; proactively seeks to resolve issues; brings employee accomplishments to the attention of others.
• Coordinates work for an assigned project or program; balances competing work demands to achieve timely and positive outcomes; effectively manages employee assignments to ensure they can be completed successfully and on time; adjusts plans, priorities, and timelines to respond to changing situations, demands, or obstacles.		• Persists in overcoming obstacles and takes action necessary to accomplish assignments; motivates employees to do the same; effectively leverages resources to overcome challenges.
• Identifies and advocates for resources necessary to support and contribute to mission requirements; uses time and resources efficiently and effectively.		• Anticipates changes in workload requirements and advocates for resources well in advance of when they are needed; suggests flexible and innovative approaches to stretch limited resources.
• With minimal guidance, ensures that the work unit achieves meaningful results in support of organizational goals and objectives; ensures work adheres to applicable authorities, standards, policies, procedures, and guidelines.		• Leads the work unit to produce outcomes and results that far exceed expectations for quality, quantity, and/or impact.

Communication		
Successful		**Outstanding**
• Interprets and appropriately responds to written, verbal, and non-verbal communications.		• Adeptly interprets nonverbal cues and adjusts personal style or behavior to effectively interact with others.
• Ensures written materials meet expectations for organization, clarity, accuracy, grammar, and spelling.		• Produces written materials that far exceed expectations for organization, clarity, and quality.
• Orally communicates clearly and concisely, conveying ideas and information in an organized and logical fashion; responds to a range of questions in a timely, accurate, concise, and courteous manner.		• Shows exceptional skill in presenting complex information orally; effectively conveys information in a variety of situations, explaining main ideas and subordinate points clearly and concisely; deftly handles questions and challenges.
• Effectively tailors communications for audience level of understanding; uses a variety of media in communicating to facilitate audience understanding.		• Shows exceptional skill in tailoring communications to fully meet audience needs and maximize their understanding.
• Uses effective communication skills to build cohesive work units, develop individual skills, and improve performance.		• Demonstrates exceptional skill in using communication to build cohesive and high performing work units.

Performance Standards for Supervisor Band 3 Employees in Supervision/Management Work Category		
Critical Thinking		
Successful		**Outstanding**
• Gains a thorough understanding of moderately complex situations or problems by identifying key issues and assumptions and collecting accurate, relevant, and complete information.		• Takes initiative to identify additional sources of information from non-routine or nontraditional sources, and appropriately framing the issue for more comprehensive understanding.
• Evaluates, analyzes, and integrates moderately complex data/information to identify issues, trends, and relationships and draw reasonable, logical conclusions.		• Evaluates, analyzes, and integrates data/information to identify issues and draw reasonable conclusions for ambiguous or ill-defined problems.
• Develops effective solutions, strategies, and/or procedures to solve moderately complex problems that directly impact immediate work environment.		• Identifies potential future problems that may directly impact the work environment and recommends solutions and alternative courses of action.
• Makes sound and timely recommendations or decisions for dealing with moderately complex issues.		• Makes sound and timely recommendations or decisions, even in stressful, ambiguous, or sensitive situations.
• Establishes a work environment where employees feel free to engage in open, candid exchanges of information and diverse points of view.		• Actively seeks diverse viewpoints and promotes a climate that facilitates critical review of ideas.
Engagement and Collaboration		
Successful		**Outstanding**
• Contributes to achieving organizational goals by working collaboratively and building effective partnerships across work units.		• Demonstrates exceptional skill in building and maintaining relationships with a wide range of individuals and work units across the organization.
• Ensures employees understand their responsibility to provide information and creates opportunities to share knowledge, skills, and lessons learned within and beyond the work unit.		• Seeks opportunities to increase knowledge and skill transfer within and beyond the work unit; champions information exchange by developing informal knowledge sharing channels.
• Actively seeks diverse perspectives from coworkers, peers, customers/partners, and stakeholders.		• Promotes the communication of diverse perspectives within and beyond the work unit.
• Fosters an environment that promotes engagement, integration, and knowledge sharing.		• Demonstrates exceptional skill in creating a climate that fosters engagement, integration, and knowledge sharing.

Performance Standards for Supervisor Band 3 Employees in Supervision/Management Work Category		
Leadership and Integrity		
Successful		**Outstanding**
• Takes initiative to identify and understand emerging issues that affect work unit assignments and, with minimal guidance, develops and proposes innovative solutions for adapting products and services as needed.		• Excels in understanding and solving moderately complex and challenging issues; develops and proposes innovative ideas and/or solutions to ensure quality of products and services.
• Treats everyone fairly, honestly, and respectfully; creates a positive team atmosphere that fosters cooperation, trust, and inclusion.		• Actively seeks and consistently considers other perspectives, needs, and concerns; uses this information to tailor own behavior to work more effectively with others across situations and to foster a team environment.
• Demonstrates professional behavior, composure, and sound judgment when representing self or unit; behavior consistently reflects organizational and IC values, including selfless service, a commitment to excellence, and the courage and conviction to express own professional view.		• Demonstrates exceptional professional behavior, composure, and sound judgment and promotes a positive image of the work unit and organization to internal and/or external parties, even in challenging and sensitive situations.
• With minimal guidance, fosters a shared vision and mission within own work unit and ensures employees understand how their work contributes to organizational objectives.		• Motivates employees to make significant contributions to the organization's mission, going above and beyond what is expected of them.
• Fosters a work environment and organizational culture that values and promotes equal opportunity, diversity (of both persons and points of view), and collaboration; demonstrates inclusiveness and sensitivity to individual differences.		• Establishes practices to ensure equal opportunity, diversity, and collaboration within the organization; serves as a role model of respectful and inclusive behavior to others.
• Recognizes and rewards individual excellence, enterprise focus, innovation, and collaborative action.		• Develops and implements innovative methods of recognizing and rewarding individual excellence, enterprise focus, innovation, and collaborative action.

Performance Standards for Supervisor Band 3 Employees in Supervision/Management Work Category		
Management Proficiency		
Successful		Outstanding
• Develops and applies the managerial and professional knowledge, tradecraft, and subject matter expertise needed to perform assignments.		• Applies depth and breadth of managerial and professional knowledge, tradecraft, and subject matter expertise to perform more effectively on complex or varied assignments.
• Stays current in managerial and professional knowledge, tradecraft, and subject matter expertise, and uses this knowledge and skill to improve own and work unit performance.		• Uses acquired expertise to apply innovative approaches and ideas to improve own and work unit performance.
• Seeks and responds appropriately to feedback and participates in developmental opportunities to expand managerial and professional knowledge, tradecraft, and subject matter expertise.		• Proactively identifies new opportunities for self-development of managerial and professional knowledge, tradecraft, and subject matter expertise; uses feedback to improve own and work unit performance.
• With guidance, plans for, acquires, organizes, integrates, develops, and prioritizes the human, financial, material, information, and other resources necessary to accomplish the work unit mission and objectives.		• Manages work unit human, financial, material, information, and other resources in anticipation of changes; effectively addresses problems regarding the acquisition, organization, integration, and development of resources.
• Sets clear performance objectives and provides candid and useful feedback and coaching to improve performance; in accordance with applicable policies and procedures, addresses performance and conduct problems in a fair, timely, honest, and respectful manner.		• Demonstrates exceptional skill in coaching and mentoring employees; identifies potential performance problems before they become serious and gives early feedback to eliminate these problems.
• Accurately and fairly evaluates individual employee contributions to organizational results and links rewards to the accomplishment of those results.		• Uses the performance management system to reinforce and foster superior performance.

Supervision/Management Work Category – Supervisor/Manager Band 4

Performance Standards for Supervisor/Manager Band 4 Employees in Supervision/Management Work Category		
Accountability for Results		
Successful		**Outstanding**
• Takes responsibility for own actions and the actions of the work unit, whether or not they are successful; holds employees accountable for their actions and ensures their accomplishments are recognized at higher levels.		• Takes responsibility for own and work unit actions and outcomes, even in the face of significant criticism or challenges; proactively seeks to resolve complex issues; provides opportunities for employees to showcase their accomplishments externally.
• Coordinates work across assigned projects or programs; balances competing work demands to achieve timely and positive outcomes; effectively manages employee assignments to ensure they can be completed successfully; adjusts plans, priorities, and timelines to respond to changing situations.		• Persists in overcoming obstacles to accomplish difficult and complex assignments; motivates the work unit to do the same; effectively leverages resources to overcome challenges.
• Identifies and effectively advocates for the resources necessary to support and contribute to mission requirements; uses time and resources efficiently and effectively.		• Anticipates changes in workload requirements, and adapts or advocates for resources well in advance of when they are needed; develops and implements flexible and innovative approaches to stretch limited resources, resulting in greater contributions to the organization.
• Ensures that the work unit achieves meaningful results in support of organizational goals and objectives; ensures work adheres to applicable authorities, standards, policies, procedures, and guidelines.		• Leads the work unit to produce outcomes and results that far exceed expectations for quality, quantity, and/or impact.
Communication		
Successful		**Outstanding**
• Interprets and appropriately responds to written, verbal, and non-verbal communications.		• Adeptly interprets nonverbal cues and adjusts personal style or behavior to effectively interact with others.
• Prepares a variety of written materials that are clear, concise, organized, accurate, and in the correct format; reviews and edits written materials to ensure they meet expectations for organization, clarity, and accuracy; provides effective guidance to others when reviewing and editing written materials.		• Produces written materials that are of exceptional quality; provides insightful guidance to others when reviewing and editing written materials.
• Orally communicates complex concepts and issues clearly and effectively in an accurate, confident, and compelling manner, conveying ideas and information in an organized, logical fashion; responds to a range of questions in a timely, accurate, concise, and courteous manner.		• Shows exceptional skill in presenting complex information orally; deftly handles questions and challenges; presentations are notable for clarity of presentation and depth of information and analysis, even with highly complex or unusual topics; presentations are used as examples for others to follow.
• Recognizes potential implications of communications and tailors communications to audience needs and level of understanding; uses a variety of media to influence decision-making and facilitate audience understanding.		• Shows exceptional skill in tailoring communications to fully meet audience needs, maximize their understanding, and influence decision-making; takes other perspectives into account, even when addressing controversial topics.
• Uses effective communication skills to build cohesive work units, develop individual skills, and improve performance.		• Demonstrates exceptional skill in using communication to build cohesive and high performing work units.

Performance Standards for Supervisor/Manager Band 4 Employees in Supervision/Management Work Category			
Critical Thinking			
Successful			**Outstanding**
• Gains a complete understanding of complex situations or problems that impact own or other work units by identifying and framing key issues and assumptions and collecting accurate and relevant data/information from traditional and non-traditional sources.			• Takes initiative and displays exceptional persistence in finding critical and/or hard-to-obtain information and appropriately frames the issue for a more comprehensive understanding.
• Efficiently and effectively evaluates, analyzes, and integrates complex data/information to identify issues, relationships, and emerging trends and draw reasonable, logical conclusions.			• Evaluates, analyzes, and integrates data/information to identify creative and workable solutions for very difficult or highly ambiguous problems; makes connections between pieces of divergent information that are difficult to recognize; draws on evaluations and interpretations to form sound conclusions and identify reasonable, logical solutions.
• Develops solutions, strategies, and/or procedures to effectively solve difficult or complex problems or issues that impact the organization.			• Evaluates the impact of events outside own organization and uses this information to develop alternative strategies or processes.
• Makes sound and timely recommendations or decisions in a variety of complex situations by considering the costs, risks, and benefits and choosing appropriate courses of action.			• Makes sound and timely recommendations or decisions when circumstances are highly ambiguous, complete information is not available, or decisions may be unpopular; considers costs, risks, benefits, and future consequences of alternatives.
• Establishes a work environment where employees feel free to engage in open, candid exchanges of information and diverse points of view.			• Actively seeks diverse viewpoints and promotes a climate that facilitates critical review of ideas; models effective methods for communicating about complex, sensitive, or controversial issues that impact the organization.
Engagement and Collaboration			
Successful			**Outstanding**
• Contributes to achieving work unit and organizational objectives by working cooperatively and building and maintaining effective partnerships internal and external to the organization; effectively leverages these relationships and uses professional networks to address complex organizational issues.			• Demonstrates exceptional skill in building and maintaining a broad range of professional relationships internal and external to own organization; leverages professional networks to make greater contributions to the mission.
• Promotes regular, open communication and information sharing within and across work units; facilitates exchanges of information or skilled resources related to achieving organizational results.			• Ensures open, candid, and regular exchanges and sharing of information within and outside of own organization; facilitates exchanges of information that increase contributions to the mission.
• Actively seeks diverse perspectives from coworkers, peers, customers/partners, and stakeholders internal and external to the organization.			• Promotes the communication of diverse and innovative perspectives within and among work units and organizations as a means for addressing issues and problems.
• Creates an environment that promotes engagement, integration, and knowledge sharing.			• Demonstrates exceptional skill in creating a climate that fosters engagement, integration, and knowledge sharing.

Performance Standards for Supervisor/Manager Band 4 Employees in Supervision/Management Work Category		
Leadership and Integrity		
Successful		**Outstanding**
• Takes initiative to identify and understand emerging issues that affect work unit assignments and, with minimal guidance, develops and implements innovative solutions for adapting products and services.		• Consistently seeks opportunities to expand knowledge of emerging issues; develops and implements highly innovative ideas and/or solutions for adapting products and services beyond the immediate organization that promote continuous improvement.
• Treats everyone fairly, honestly, and respectfully; creates a positive team atmosphere that fosters cooperation, trust, and inclusion by modeling and encouraging this behavior in others.		• Solicits ideas to gain an understanding of priorities, needs, and concerns across the organization and address as appropriate; tailors own behavior to work more effectively with others and to foster a team environment, even in difficult situations.
• Demonstrates a high degree of professional behavior, composure, and sound judgment when representing self or unit, promoting a positive image to internal and external parties and consistently reflecting organizational and IC values, including selfless service, a commitment to excellence, and the courage and conviction to express own professional view.		• Consistently demonstrates exceptional professional behavior, composure, and sound judgment and promotes a positive image of the work unit and organization to internal and/or external parties, even in challenging and sensitive situations; exemplifies a strong commitment to IC values and actively strives to promote a positive community image.
• Creates a shared vision and mission within own work unit and organization; ensures employees understand how their work contributes to organizational objectives.		• Motivates employees to make significant contributions to the organization's mission, going above and beyond what is expected of them.
• Promotes a work environment and organizational culture that values and promotes equal opportunity, diversity (of both persons and points of view), and collaboration; demonstrates inclusiveness and sensitivity to individual differences.		• Establishes practices to ensure equal opportunity, diversity, and collaboration within the organization; serves as a role model of respectful and inclusive behavior to others.
• Recognizes and rewards individual excellence, enterprise focus, innovation, and collaborative action.		• Develops and implements innovative methods of recognizing and rewarding individual excellence, enterprise focus, innovation, and collaborative action.

Performance Standards for Supervisor/Manager Band 4 Employees in Supervision/Management Work Category		
Management Proficiency		
Successful		**Outstanding**
• Develops and applies the managerial and professional knowledge, tradecraft, and subject matter expertise needed to perform complex assignments.		• Applies depth and breadth of managerial and professional knowledge, tradecraft, and subject matter expertise to far exceed expectations on complex or varied assignments that have an impact beyond the immediate organization.
• Stays current in managerial and professional knowledge, tradecraft, and subject matter expertise, and uses this expertise to improve own, work unit, and organizational performance.		• Translates innovative approaches and ideas into concrete advances that impact work unit and organizational performance.
• Seeks feedback to develop managerial and professional knowledge, tradecraft, and subject matter expertise; participates in challenging development activities that offer feedback opportunities and applies lessons learned to improve work unit and organizational performance.		• Identifies new opportunities to develop managerial and professional knowledge, tradecraft, and subject matter expertise; translates feedback into concrete improvements that are directly linked to work unit and organizational performance.
• Plans for, acquires, organizes, integrates, develops, and prioritizes the human, financial, material, information, and other resources necessary to accomplish the work unit mission and objectives.		• Manages work unit resources in anticipation of changes; consistently develops new and innovative ways to maximize resource acquisition and value in support of the organization's mission and objectives; effectively addresses complex problems regarding the acquisition, organization, integration, and development of human, financial, material, information, and other resources.
• Sets clear performance objectives and provides candid and useful feedback and coaching to improve performance; in accordance with applicable policies and procedures, addresses performance and conduct problems in a fair, timely, honest, and respectful manner.		• Demonstrates exceptional skill in coaching and mentoring employees; inspires employees through feedback and coaching to perform beyond set objectives and standards; identifies potential performance problems before they become serious and gives early feedback to eliminate these problems.
• Accurately and fairly evaluates individual employee contributions to organizational results and links rewards to the accomplishment of those results.		• Uses the performance management system to reinforce and foster superior performance.

Supervision/Management Work Category – Supervisor/Manager Band 5

Performance Standards for Supervisor/Manager Band 5 Employees in Supervision/Management Work Category		
Accountability for Results		
Successful		Outstanding
• Takes responsibility for own actions and the actions of the organization, whether or not they are successful; holds employees accountable for their actions and provides opportunities for employees to showcase their accomplishments internally and externally.		• Takes responsibility for own, work unit, and organizational actions and outcomes, even in the face of significant criticism or challenges; proactively seeks to resolve issues; actively promotes and communicates the accomplishments of others.
• Coordinates work across assigned projects, programs, or organizations, effectively balancing competing work demands to achieve timely and positive outcomes; effectively manages employee assignments to ensure they are completed successfully; adjusts plans, priorities, and timelines to respond to changing situations, demands, or obstacles.		• Persists in overcoming obstacles to accomplish assignments; monitors the execution of complex or sophisticated plans and timelines that have high organizational impact; adjusts plans, goals, and priorities in complex and fluid situations in order to achieve optimal outcomes.
• Identifies and effectively advocates for the resources necessary to support and contribute to mission requirements; actively contributes to resource planning efforts and competently defends resource requirements; uses time and resources efficiently and effectively.		• Anticipates changes in workload requirements, and adapts or advocates for resources well in advance of when they are needed; balances competing resource requirements to ensure alignment with mission objectives; develops and implements flexible and innovative approaches to stretch limited resources, resulting in greater contributions to the organization.
• Coordinates projects across multiple work units and organizations and ensures that meaningful results in support of IC goals and objectives are achieved; ensures work adheres to applicable authorities, standards, policies, procedures, and guidelines.		• Leads the organization in achieving outcomes and results that far exceed expectations for quality, quantity, and/or impact.

Performance Standards for Supervisor/Manager Band 5 Employees in Supervision/Management Work Category			
Communication			
Successful			**Outstanding**
• Interprets and appropriately responds to written, verbal, and non-verbal communications.			• Adeptly interprets nonverbal cues and adjusts personal style or behavior to effectively interact with others.
• Consistently prepares and edits complex written materials, properly emphasizing key issues and considering the political and legal implications; ensures written materials are thorough, logical, concise, complete, accurate, consistent, and organized.			• Produces written materials that are of superior quality; delivers exceptional guidance when reviewing that improves the quality of the materials.
• Orally communicates complex, controversial, and sensitive concepts and issues clearly and effectively in an accurate, confident, and compelling manner, conveying ideas and information in an organized, logical fashion; responds to a range of questions in a timely, accurate, concise, and courteous manner.			• Shows exceptional skill in presenting even the most complex information orally; deftly handles questions and challenges; presentations are notable for clarity and depth of information and analysis, even with highly complex or unusual topics; anticipates potential issues, and communicates persuasively to make his/her points; presentations are used as examples for others to follow.
• Recognizes potential implications of communications and tailors communications to audience needs and level of understanding; uses a variety of media to influence decision-making and facilitate audience understanding.			• Shows exceptional skill in tailoring communications to fully meet audience needs, maximize understanding across the organization, and influence decision-makers; takes other perspectives into account, even when addressing controversial topics.
• Uses effective communication skills to build cohesive work units and/or organizations, develop individual skills, and improve performance.			• Demonstrates exceptional skill and serves as a role model in using communication to build cohesive and high performing work units and/or organizations.

Performance Standards for Supervisor/Manager Band 5 Employees in Supervision/Management Work Category		
Critical Thinking		
Successful		**Outstanding**
• Gains a complete understanding of a variety of highly-complex or high-visibility issues that impact the work unit and organization; places issues in a larger context by identifying and framing key issues and assumptions and collecting accurate and relevant data/information; identifies sources for specialized or uncommon data/information.		• Focuses on the most critical information needed to understand, define, and re-define issues as needed; displays exceptional persistence in finding critical and/or hard-to-obtain information.
• Expertly evaluates, analyzes, and integrates highly complex data/information to detect issues, relationships, emerging trends, or opportunities for action; draws reasonable, logical conclusions.		• Identifies significant connections between seemingly unrelated pieces of data/information to draw innovative conclusions or to resolve the most difficult or ambiguous problems; draws on evaluations and interpretations to form sound conclusions and identify reasonable, logical solutions.
• Develops creative and insightful solutions to highly complex or visible problems/issues that impact the work unit, organization, and IC; develops effective strategies to address problems associated with new and emerging issues.		• Takes the initiative to resolve problems of particular difficulty, sensitivity, or strategic importance in order to maximize contributions to the work unit, organization, and IC; evaluates the impact of outside events and uses this information to develop alternative strategies or processes.
• Makes sound, timely, and logical recommendations or decisions in highly complex, difficult, high pressure, and/or ill-defined situations by considering the costs, risks, and benefits and choosing appropriate courses of action.		• Makes sound, timely, and logical recommendations or decisions in the most sensitive, difficult, and ambiguous situations and consistently offers good counsel, effectively balancing costs, risks, benefits, and future consequences.
• Establishes a work environment where employees feel free to engage in open, candid exchanges of information and diverse points of view.		• Actively seeks diverse viewpoints and promotes a climate that facilitates critical review of ideas; models effective methods for communicating about complex, sensitive, or controversial issues that impact the organization and IC.

Performance Standards for Supervisor/Manager Band 5 Employees in Supervision/Management Work Category		
Engagement and Collaboration		
Successful		Outstanding
• Contributes to achieving organizational objectives by modeling collaboration and flexibility and building and maintaining effective partnerships internal and external to the organization; uses these networks to deal with complex organizational and cross-organizational issues.		• Leverages internal and external relationships to create synergy and influence decision making; understands the political and cultural environment within the organization and the IC to effectively promote cross-functional and cross-organizational teamwork; implements effective strategies for getting the most complex, interdependent programs accomplished across organizational units.
• Establishes communication processes that ensure work activities are well-integrated both internally and externally as appropriate; initiates and oversees the development of knowledge sharing and collaboration systems and ensures that relevant information is being transferred and integrated.		• Seeks, encourages, and facilitates opportunities and processes to exchange information internal and external to the organization to successfully leverage related efforts.
• Actively seeks diverse perspectives from coworkers, peers, customers/partners, and stakeholders internal and external to the organization; integrates these perspectives to develop new and deeper insights on issues and problems.		• Promotes the communication of diverse perspectives internal and external to the organization; fosters a climate in the organization reinforcing the value of trust, respect, and diverse perspectives; champions respect for and value of individual differences and diversity, resulting in greater information sharing.
• Creates an environment that promotes engagement, integration, and knowledge sharing.		• Demonstrates exceptional skill in creating a climate that fosters engagement, integration, and knowledge sharing in which input is regularly sought, valued, and used to significantly improve work processes, products, and services.

Performance Standards for Supervisor/Manager Band 5 Employees in Supervision/Management Work Category		
Leadership and Integrity		
Successful		**Outstanding**
• Takes initiative to identify and understand difficult, challenging, and ambiguous issues that affect units internal and external to the organization; implements innovative initiatives designed to improve products and services.		• Consistently seeks opportunities to expand knowledge of emerging issues; excels at understanding and developing solutions for highly complex, high-stakes issues internal and external to the organization; facilitates the implementation of initiatives designed to improve the organization and/or IC.
• Treats everyone fairly, honestly, and respectfully; creates a positive team atmosphere that fosters cooperation, trust, and inclusion by modeling and encouraging this behavior in others.		• Solicits ideas to gain an understanding of priorities, needs, and concerns internal and external to the organization and address them as appropriate; tailors own behavior to work more effectively with others and foster a team environment, even in difficult situations.
• Represents self, unit, organization, or the IC in a manner that enhances its image and reputation through his/her judgment, professional behavior, composure, credibility, preparation, and commitment, even in challenging or sensitive situations, thus promoting a positive IC image and the core values, including selfless service, a commitment to excellence, and the courage and conviction to express own professional view.		• Sets an example of excellence as a representative of the organization or IC; is called upon to handle the most difficult, politically sensitive, or highly visible situations in a manner embodying exceptional professionalism, composure, judgment, and demonstration of the IC core values.
• Creates a shared vision and mission within own organization and ensures employees understand how their work contributes to organizational objectives.		• Motivates employees to make significant contributions to the organization's mission, going above and beyond what is expected of them.
• Enables a work environment and organizational culture that values and promotes equal opportunity, diversity (of both persons and points of view), and collaboration; demonstrates inclusiveness and sensitivity to individual differences.		• Establishes practices to ensure equal opportunity, diversity, and collaboration within the organization; serves as a role model of respectful and inclusive behavior to others.
• Recognizes and rewards individual excellence, enterprise focus, innovation, and collaborative action.		• Develops and implements innovative methods of recognizing and rewarding individual excellence, enterprise focus, innovation, and collaborative action.

Performance Standards for Supervisor/Manager Band 5 Employees in Supervision/Management Work Category		
Management Proficiency		
Successful		Outstanding
• Develops and applies the managerial and professional knowledge, tradecraft, and subject matter expertise needed to perform highly complex or varied assignments that have an impact within and beyond the immediate organization.		• Consistently applies depth and breadth of managerial and professional knowledge, tradecraft, and subject matter expertise to far exceed expectations on the most complex or varied assignments at this level; applies knowledge to improve organizational and IC performance.
• Stays current in managerial and professional knowledge, tradecraft, and subject matter expertise, and uses this expertise to improve performance of oneself, work unit, others across the organization, and across the IC.		• Translates new developments in own technical field into concrete advances that have a broad organizational and IC impact.
• Seeks feedback from multiple sources to enhance managerial and professional knowledge, tradecraft, and subject matter expertise; participates in challenging development activities that offer feedback opportunities and applies lessons learned to improve work unit and organizational performance.		• Identifies new opportunities to develop managerial and professional knowledge, tradecraft, and subject matter expertise; translates feedback into concrete improvements that have broad organizational and IC impact.
• Plans for, acquires, organizes, integrates, develops, and prioritizes the human, financial, material, information, and other resources necessary to accomplish the organization's mission and objectives.		• Manages work unit resources in anticipation of changes; consistently develops new and innovative ways to maximize resource acquisition and value in support of organizational and IC mission and objectives; effectively addresses the most complex, controversial, and sensitive problems regarding the acquisition, organization, integration, and development of human, financial, material, information, and other resources.
• Sets clear performance objectives and provides candid and useful feedback and coaching to improve performance; in accordance with applicable policies and procedures, addresses performance and conduct problems in a fair, timely, honest, and respectful manner.		• Demonstrates exceptional skill in coaching and mentoring employees; inspires employees through feedback and coaching to perform beyond set objectives and standards; identifies potential performance problems before they become serious and gives early feedback to eliminate these problems.
• Accurately and fairly evaluates individual employee contributions to organizational results and links rewards to the accomplishment of those results.		• Uses the performance management system to reinforce and foster superior performance.

PM PRA Responsibilities by Phase

Role Definition: A senior employee or board within the chain of supervision of employees included in the rating and performance management processes for the organization, responsible for the oversight of performance management processes. Except where the PM PRA is the Head of the DoD Component, the PM PRA should be at a level higher within the organizational hierarchy than the most senior Reviewing Official participating in the performance decision process. Where separation is not possible, the PM PRA shall be established as a senior employee or panel not in the chain of supervision for the performance evaluations under consideration.

Plan

- Participates in a rater consistency meeting/discussion/training to establish a shared understanding of the application of the general standards for rating employees, as outlined in the general standards tables in V2011
- Provides oversight of the performance management process

Develop and Monitor

- Provides support and guidance to Rating and Reviewing Officials

Rate

- Provides oversight of the performance evaluation process
- Verifies compliance with merit system principles
- Conducts final review of performance evaluations to ensure consistency and compliance with all applicable laws and regulations
- Ensures compliance with merit system principles and prevention of conflicts of interest in the establishment and operation of pay pools
- Final independent review of employee Performance Evaluation of Record when challenged by an employee

Reward

- Provides oversight of the process to communicate pay pool payout decisions to employees during the Pay Phase of the pay pool process. The pay pool process step of "Pay" governs the Reward Phase. The final Performance Evaluations of Record completed during the Rate Phase are used as primary performance input during the pay pool process. While the Pay Phase of the pay pool process is ongoing, the Plan Phase of the performance management process begins again. The two processes are separate, but interdependent.

Rating Official Responsibilities by Phase

Role Definition: The official in an employee's chain of supervision, generally the supervisor, responsible for conducting performance planning, managing performance throughout the performance evaluation period, and preparing the end-of-year performance evaluation on an employee.

Plan

- Participates in a rater consistency meeting/discussion/training to establish a shared understanding of the application of the general standards for rating employees, as outlined in the general standards tables in V2011
- Cooperatively creates a performance plan and IDP for each employee:
  - Sets performance expectations in the form of performance objectives
  - Discusses appropriate work behavior (performance elements) and explains how they relate to the performance objectives
  - Determines and discusses developmental needs
- Ensures employee objectives are aligned with Component goals
- Ensures employees are trained on the performance management system

Develop and Monitor

- Discusses progress towards performance objectives and elements
- Documents observed employee accomplishments
- Gives feedback and engages in ongoing meaningful dialogue
- Encourages employee performance through training, mentoring, and coaching
- Determines if employee has appropriate tools to do his/her job and addresses shortfalls
- Discusses performance plan and IDP and modifies them as needed
- Conducts at least one documented Midpoint Performance Review and sends review documentation to Reviewing Official for approval

Rate

- Completes closeout and interim performance evaluations as required within established timelines
- Reviews employee self-report of accomplishments
- Makes meaningful distinctions among employees based on performance and contribution
- Writes evaluation narrative of employee performance and rates objectives and elements according to the standards outlined in the policy document DoDI 1400.25,Volume 2011
- Prepares the end-of-year performance evaluation for each employee
- Submits recommendations to the Reviewing Official
- Shares final Performance Evaluation of Record with employees after the Reviewing Official and PM PRA have completed their review

Reward

- Communicates pay pool payout decisions to employees during the Pay Phase of the pay pool process. The pay pool process step of "Pay" governs the Reward Phase. The final Performance Evaluations of Record completed during the Rate Phase are used as primary performance input during the pay pool process. While the Pay Phase of the pay pool process is ongoing, the Plan Phase of the performance management process begins again. The two processes are separate, but interdependent.

Reviewing Official Responsibilities by Phase

Role Definition: An individual in the Rating Official's direct chain of supervision designated by the Head of the DoD Component with DCIPS positions to assess supervisor preliminary performance ratings for accuracy, consistency, and compliance with policy. The Reviewing Official is the approving official for each performance evaluation within his or her purview.

Plan

- Participates in a rater consistency meeting/discussion/training to establish a shared understanding of the application of the general standards for rating employees, as outlined in the general standards tables in V2011
- Meets with Rating Officials to create a shared understanding of the performance standards and criteria for rating employees
- Ensures that performance plans and IDPs are established for all employees
- Reviews and approves employee performance plans and IDPs
- Provides oversight of timelines and processes in accordance with USDI and Component policies for final approval of performance plans
- Ensures Rating Officials and supervisors are trained in their roles in the performance management system

Develop and Monitor

- Ensures Rating Officials provide performance feedback throughout the performance evaluation period
- Reviews Midpoint Performance Review documentation to ensure consistency
- Reviews employee self-report of accomplishments (if Midpoint self-reports are required by Component)
- Ensures Rating Officials, when not the immediate supervisor of employees for whom they are the Rating Official, are maintaining ongoing dialog with the immediate supervisors of those employees regarding employee performance

Rate

- Ensures performance evaluations are completed within established timeline
- Ensures Rating Officials consistently apply performance standards
- Reviews performance evaluations to ensure consistency, alignment between ratings and supporting narratives, compliance with merit system principles, and adherence to other relevant policies
- Approves performance evaluations

Reward

- Ensures Rating Officials communicate pay pool payout decisions to their DCIPS employees during the Pay Phase of the pay pool process. The pay pool process step of "Pay" governs the Reward Phase. The final Performance Evaluations of Record completed during the Rate Phase are used as primary performance input during the pay pool process. While the Pay Phase of the pay pool process is ongoing, the Plan Phase of the performance management process begins again. The two processes are separate, but interdependent.

Supervisor (when not the Rating Official) Responsibilities by Phase

Role Definition: Supervisors normally will be the Rating Official for employees under their direct supervision. However, in unusual circumstances in which Rating Official responsibilities are assigned to an official in the chain of supervision above the immediate supervisor, the supervisor shall be responsible and accountable for collaborating with the Rating Official in his or her performance management responsibilities.

Plan

- Participates in a rater consistency meeting/discussion/training to establish a shared understanding of the application of the general standards for rating employees, as outlined in the general standards tables in V2011
- Participates with the Rating Official in the development of the employee's performance plan and IDP

Develop and Monitor

- Maintains ongoing dialog with the Rating Official regarding the employee's performance during the performance evaluation period

Rate

- Participates with the Rating Official in the completion of the employee's performance evaluation
- Participates with the Rating Official in the completion of closeout or interim performance evaluations on employees under their supervision for whom they are not the Rating Official

Reward

- Collaborates with the Rating Official in communicating pay pool payout decisions to employees during the Pay Phase of the pay pool process. The pay pool process step of "Pay" governs the Reward Phase. The final Performance Evaluations of Record completed during the Rate Phase are used as primary performance input during the pay pool process. While the Pay Phase of the pay pool process is ongoing, the Plan Phase of the performance management process begins again. The two processes are separate, but interdependent.

Employee Performance Behavior and Results

Tips:
- Keep notes pertaining to both your employee's performance objectives and elements.
- The S.T.A.R. method is one method you can use to take notes: S= Situation; T= Task; A= Action; R= Results.
- Use keywords to jog your memory.
- Identify both the behavior and the results of the behavior.
- Include both positive and negative examples, as appropriate.

Date	Employee	Behavior (Situation, Task, & Action)	Results	Objective/Element(s) Reference