Rater Consistency Handbook

DEFENSE CIVILIAN INTELLIGENCE PERSONNEL SYSTEM

USD(I) DCIPS Rater Consistency, January 2014

FACILITATOR GUIDE

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For more information on any DCIPS-related questions, policies or training events, go to the DCIPS website at http://dcips.dtic.mil/index.html

How to Use this Handbook

Purpose:

The handbook outlines discussions that will ideally take place at 3 different meetings throughout the performance evaluation period. 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 based on DCIPS policy. It 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 that are discussed at 3 different meetings held throughout the performance evaluation period (beginning, midterm, end). 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 K-M are not included in the Attendee Guide, due to the size of the documents, but can be found through the links below. Their guide directs them to these links as well.

  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/perfmgt.html, and choose the Performance Element Job Aid file

What is Rater Consistency? (Slide #3, Attendee Guide (AG) page 3)

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? (Slide #4, AG page 4)

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 (Slide #5, AG page 5)

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 (Slide #6, AG page 7)

Phase		Rater Consistency Activity	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV
Planning: Beginning of Performance Evaluation Period	1	Rating Officials, Reviewing Officials, and PM PRA meet and complete items in Phase #1; Senior Leadership may want to provide a message about performance management	■													
	2	Rating Official and Employee meet and establish a performance plan (IDP and Objectives, talk to Elements)	■													
Managing: Midterm	1	Rating Officials and Reviewing Officials meet and complete items in Phase #2						■								
	2	Rating Official and Employee meet for Mandatory Midpoint Review						■	■							
Evaluation: End of Performance Evaluation Period	1	Employee submits a SRA to Rating Official; Rating Official evaluates performance against standards												■		
	2	Rating Officials and Reviewing Officials (and PM PRA should be engaged) meet and complete items in Phase #3; Senior Leadership makes an announcement pertaining to the close-out of the evaluation period and expectations of the leadership team											■	■		
	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 Performance Evaluation of Record													■	■
Throughout Performance Evaluation Period	1	On-going performance management dialogue between Rating Official and Employee, both informal and formal; UPDATE Objectives if appropriate & address performance improvement	■	■	■	■	■	■	■	■	■	■	■	■	■	■
	2	Recommended training for each role (employee, supervisor/manager, leader) has a corresponding training roadmap located at the DCIPS website	■	■	■	■	■	■	■	■	■	■	■	■	■	■

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Phase 1

Phase 1, Planning: Beginning of the Performance Evaluation Period
(Slide #7, AG page 9)
Rater Consistency Checklist #1

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 checklist contains recommended best practices and optional exercises for rater consistency discussions at the beginning 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 prepares for the rater consistency discussion: • 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, appendices, and/or tools you plan to use during the discussion	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 Checklist #1			
Phase: Beginning of the Performance Evaluation Period			
		• Complete any additional prep work applicable to the rater consistency process followed in your organization	Rater Consistency 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: **(Slide #7, AG page 9)** • Set your management team up for success in achieving consistent, appropriate ratings at the end of the performance evaluation period using the Standards • Enable Rating Officials, Reviewing Officials and the PM PRA to make meaningful distinctions between levels of performance based on the Standards • 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: **(Slide #8, AG page 9)** • 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: You are just going to talk through this list of expectations for your discussion. Throughout the discussion is when you'll explain the levels of performance, work levels, standards, etc. This is just a checklist of what the audience is expected to get out of this discussion.
3		**(Slide #9, AG page 9)** Review the mission goals, strategies, and priorities for your organization for the current evaluation period; an employee's objectives will be aligned to these!	Tip for Meeting Leader: Be prepared to share these items during the meeting
4		Discuss any 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		**(Slide #10, AG page 10)** 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	**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/traini ng.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	
		across offices, and that performance measures are appropriate and focus on impact and results	
7		**(Slide #11, AG page 10)** 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)	
		(Slide #12, AG page 10)	
After the Discussion			
#	✓	**Action Items**	**Resources/Tips**
9		Meeting Leader sends attendees discussion notes, as applicable	
10		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 and IDP • 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 Intro to DCIPS for Military Supervisors*

Rater Consistency Roles and Responsibilities #1 (Slide #13, AG page 11)

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 #1
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: o 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 o Outline and clarify performance expectations o 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
	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 #1
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
	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 #1
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
	Throughout Performance Evaluation Period	• Provides support and guidance to Rating and Reviewing Officials

Employee

Role	Phase	Rater Consistency Responsibilities #1
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
	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

(Slide #14, AG page 13)

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Phase 2

Phase 2, Managing: Midterm of the Performance Evaluation Period

Rater Consistency Checklist #2 (Slide #15-16, AG page 15)

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 checklist contains recommended best practices and optional exercises for rater consistency discussions at the midterm 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 #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 prepares for the rater consistency discussion: • 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	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

#	✓	Action	Resources/Tips
		rater consistency process followed in your organization	Discussions (see Appendix B)

During the Discussion

#	✓	Action	Resources/Tips
2		**(Slide #17, AG page 15)** 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 standards and expectations agreed upon during the discussion held at the beginning of the evaluation period	Tip: Good opportunity to discuss or role play performance discussions ROs are having with Employees at midpoint
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) Tip: You can also ask ROs to bring in proposed ratings to pass to other ROs for peer review, to ensure a shared understanding of the standards being applied
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	Tip: It is a good time to make necessary changes to objectives
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 Roles and Responsibilities #2 (Slide #18, AG page 16)

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 #2
	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
	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 #2
	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
	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 #2
	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
	Throughout Performance Evaluation Period	• Provides support and guidance to Rating and Reviewing Officials

Employee

Role	Phase	Rater Consistency Responsibilities #2
	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
	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

(Slide #19, AG page 17)

Phase 3

Phase 3, Evaluation: End of the Performance Evaluation Period

Rater Consistency Checklist #3 (Slide #20-21, AG page 19)

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 checklist contains recommended best practices and optional exercises for rater consistency discussions at the 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 #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 prepares for the rater consistency discussion: • 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 • <u>Ask raters to bring proposed ratings/write-ups to share</u> • 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)

	Rater Consistency Checklist #3		
	Phase: End of the Performance Evaluation Period		
During the Discussion			
#	✓	**Action**	**Resources/Tips**
2		**(Slide #22, AG page 19)** 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
3		**(Slide #23, AG page 19)** 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) Tip: Ask raters to bring in specific examples from their proposed ratings
4		Ask raters to share their proposed ratings and write-ups with a colleague; pass around for peer review. 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 • ALWAYS refer back to the standards and appropriate work levels	Job Aid: General Standards table (see Appendix H) Work levels (Appendix I)
5		**(Slide #24, AG page 19)** 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	Training Course*: Overcoming Challenges in Writing Performance Objectives*

		Rater Consistency Checklist #3	
		Phase: End of the Performance Evaluation Period	
		learned be applied to improve employee objectives? • Ensure objectives are aligned to the mission and consistent for employees performing similar work both within and across offices	
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 #3 (Slide #25, AG page 20)

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 #3
	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#3
	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 #3
	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 (may direct a change, if necessary)
	Throughout Performance Evaluation Period	• Provides support and guidance to Rating and Reviewing Officials

Employee

Role	Phase	Rater Consistency Responsibilities #3
	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

(Slide #26, AG page 22)

Appendix A

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

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

Appendix C – Optional Exercise 1 – What the Standards Are and How to Use Them
(AG page 23)

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) • Work Levels (Appendix I)
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 DCIPS 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 BUT BE CAREFUL NOT TO 'STRETCH' TOO MUCH INTO THE NEXT HIGHER RATING • Make sure the objectives are written to the appropriate work level (appendix I) assigned to each employee • It's important to note that employees are rated against the performance standards, not other employees
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) • 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. • Make sure the objectives are written to the appropriate work level (appendix I) assigned to each employee by reading through the description for the work level assigned to the employee and matching the expectations of the behavior (performance elements) or results (performance objectives) of the person you are 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

Appendix D – Optional Exercise 2 – Process for Creating a Shared Understanding of the Standards
(AG page 25)

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

| | 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 |
| Summary Points | • 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 |

Appendix E

Appendix E – Optional Exercise 3 – Impact of Performance Objectives on Rater Consistency
(AG page 27)

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

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

	o Similar to me o 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

Appendix G – Common Rating Errors/Biases Job Aid
(AG page 30)

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

Appendix H –General Standards tables
(AG page 33)

DoDI 1400.25-V2011, <u>Table 1</u>. 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

Appendix I – Work Level Definitions
(AG page 35)

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

Appendix J – DCIPS Occupational Structure diagram
(AG page 37)

Source: DoDI 1400.25-V2007, DCIPS Occupational Structure
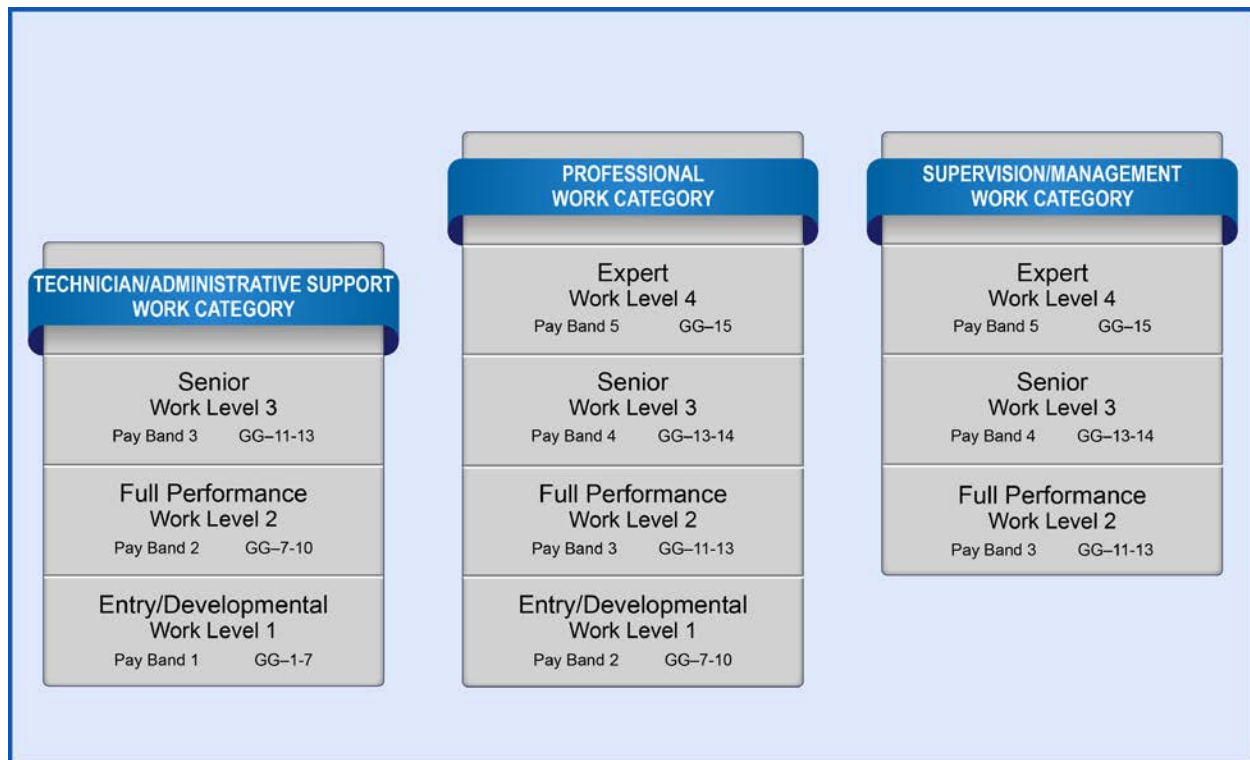
TECHNICIAN/ADMINISTRATIVE SUPPORT WORK CATEGORY

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

Appendix K

SUBJECT: DoD Civilian Personnel Management System: Defense Civilian Intelligence Personnel System (DCIPS) Occupational Structure

References: See Enclosure 1

1. PURPOSE

a. Instruction. This Instruction is composed of several Volumes, each containing its own purpose. The purpose of the overall Instruction, in accordance with the authority in DoD Directive (DoDD) 5124.02 (Reference (a)), is to establish and implement policy, establish procedures, provide guidelines and model programs, delegate authority, and assign responsibilities regarding civilian personnel management within the Department of Defense.

b. Volume.

(1) 2000 Volume Series. The 2000 Volume series of this Instruction, in accordance with the authority in Reference (a) and DoDDs 5143.01, 1400.25, and 1400.35 (References (b), (c), and (d)), establishes policy, assigns responsibilities, and provides guidance for DCIPS. Hereinafter the 2000 Volume series of this Instruction shall be referred to as "the DCIPS Volumes."

(2) This Volume. In accordance with the authority in References (a) and (c), and in accordance with Intelligence Community Directive 652 (Reference (e)) and pursuant to sections 1601-1614 of title 10, United States Code (U.S.C.) (Reference (f)), this Volume of this Instruction reissues DoD Instruction 1400.25-V2007 (Reference (g)) to update the policies and responsibilities for the design and administration of the DCIPS occupational structure and supports the application of the occupational structure to individual positions covered by DCIPS.

2. APPLICABILITY. This Volume:

a. Applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other

organizational entities within the Department of Defense that employ individuals under DCIPS (hereinafter referred to collectively as the "DoD Components with DCIPS Positions").

    b. Does not apply to:

        (1) Employees covered by the Federal Wage System or equivalent, non-appropriated fund employees, or foreign national employees employed under other than DCIPS authority.

        (2) Members of the Defense Intelligence Senior Executive Service (DISES) or the Defense Intelligence Senior Level (DISL), or other experts (e.g., Highly Qualified Experts (HQE)) who work at the DISES or DISL equivalent, unless specifically addressed in other Volumes of this Instruction.

3. <u>DEFINITIONS</u>. See Glossary.

4. <u>POLICY</u>. It is DoD policy that:

    a. DCIPS positions shall be categorized and aligned in accordance with the provisions of Appendixes 1 through 4 to Enclosure 3 of this Volume and within guidelines on the total number of allowable positions above the Full Performance Work Level of the Professional Work Category expressed as a percentage of the total non-DISES and non-DISL DCIPS positions.
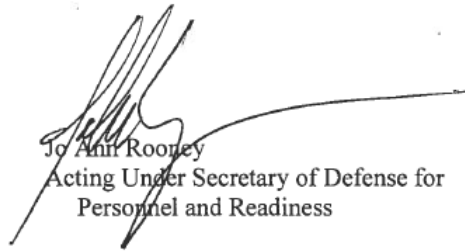
    b. Each position and title shall be mapped to a series and title established by the Office of Personnel Management or this Volume.

5. <u>RESPONSIBILITIES</u>. See Enclosure 2.

6. <u>PROCEDURES</u>. Enclosure 3 provides an overview of the DCIPS occupational structure and procedures for its implementation.

7. <u>RELEASABILITY</u>. UNLIMITED. This Instruction is approved for public release and is available on the Internet from the DoD Issuances Website at http://www.dtic.mil/whs/directives.

8. <u>EFFECTIVE DATE</u>. This Volume is effective on April 17, 2012, pursuant to section 1613 of Reference (f).

Jo Ann Rooney
Acting Under Secretary of Defense for
Personnel and Readiness

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    2. Responsibilities
    3. DCIPS Occupational Structure Procedures
Glossary

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ENCLOSURE 1

REFERENCES

(a) DoD Directive 5124.02, "Under Secretary of Defense for Personnel and Readiness (USD(P&R))," June 23, 2008
(b) DoD Directive 5143.01, "Under Secretary of Defense for Intelligence (USD(I))," November 23, 2005
(c) DoD Directive 1400.25, "DoD Civilian Personnel Management System," November 25, 1996
(d) DoD Directive 1400.35, "Defense Civilian Intelligence Personnel System (DCIPS)," September 24, 2007
(e) Intelligence Community Directive Number 652, "Occupational Structure for the Intelligence Community Civilian Workforce," April 28, 2008
(f) Sections 1601-1614 of title 10, United States Code
(g) DoD Instruction 1400.25-V2007, "DoD Civilian Personnel Management System: Defense Civilian Intelligence Personnel System (DCIPS) Occupational Structure," August 17, 2009 (hereby cancelled)
(h) Chapter 23 and section 9903 of title 5, United States Code
(i) Sections 201-219 of title 29, United States Code
(j) U.S. Office of Personnel Management Standard, "Introduction to the Position Classification Standards," August 2009

ENCLOSURE 2

RESPONSIBILITIES

1. <u>UNDER SECRETARY OF DEFENSE FOR PERSONNEL AND READINESS (USD(P&R))</u>. The USD(P&R), in conjunction with the Under Secretary of Defense for Intelligence (USD(I)), shall develop and maintain DCIPS policies and monitor their effects on DoD-wide personnel readiness.

2. <u>USD(I)</u>. The USD(I) shall, in conjunction with the USD(P&R), prescribe policies governing the design and administration of the DCIPS occupational structure in accordance with References (d) and (f) and chapter 23 of title 5, U.S.C. (Reference (h)), and monitor compliance with these policies within the DoD Components with DCIPS positions.

3. <u>HEADS OF THE DoD COMPONENTS WITH DCIPS POSITIONS</u>. The Heads of the DoD Components with DCIPS positions:

   a. Shall implement the provisions of this Volume within their Components as appropriate, and monitor Component programs for compliance with the provisions of this Volume by:

      (1) Establishing procedures for evaluation of DCIPS positions using systematic application of DCIPS position alignment criteria to ensure an effective and efficient workforce alignment in support of the mission.

      (2) Ensuring that each DCIPS position is reviewed for appropriate alignment as it becomes vacant or as mission requirements change.

   b. May develop and implement supplemental guidance, in coordination with the USD(I), as required to address unique intelligence-related work performed within the Component, provided that such guidance is in compliance with the requirements of this Volume.

ENCLOSURE 3

DCIPS OCCUPATIONAL STRUCTURE PROCEDURES

1. GENERAL STRUCTURE

    a. The DCIPS occupational structure is consistent with Office of the Director of National Intelligence (ODNI) guidance (Reference (e)). It aligns with the ODNI mission and work categories and work levels to ensure positions are established and maintained to accomplish the DoD intelligence mission.

    b. The DCIPS occupational and position structure provides the basis on which organizations operating under either a rank-in-position or rank-in-person personnel management construct shall establish workforce requirements to structure their recruitment, retention, and development programs in support of the intelligence mission.

    c. The DCIPS occupational structure provides the foundation for managing the DCIPS pay structure. It consists of the following elements: mission categories, occupational groups, work categories, work levels, pay band (for those DCIPS Components operating under the DCIPS pay banded structure using pay plan IA) and grades (for those DCIPS Components operating under the GG graded structure using pay plan GG), job titles, and competencies. (See Part II, Definitions.)

    d. DCIPS graded positions shall be grouped in accordance with the work category and work level descriptors in Appendixes 2 and 3 to this enclosure. DoD Components with DCIPS positions shall regularly review positions in accordance with subparagraph 3.a.(2) of Enclosure 2 of this Volume to ensure they are properly aligned to mission category, occupational series and title, work category, work level, and pay band (for those DCIPS Components operating under DCIPS Pay Bands, or GG grade (for those DCIPS Components operating under the GG graded structure) based on work requirements.

2. MAINTAINING COMPONENT POSITION STRUCTURES

    a. DoD Components with DCIPS positions will maintain an ongoing program to assign all DCIPS positions to the appropriate mission category, occupational series, title, work category, and work level in accordance with mission requirements of the Component. Those Components whose positions are also assigned to the GG graded structure will assign such grades to each position, as appropriate in accordance with the grading criteria contained in this Volume.

    b. Prior to the assignment of an employee to a DCIPS position, Components will verify that the position is appropriately aligned to the DCIPS occupational structure in accordance with the guidance provided in this Volume.

c. Those Components operating under a rank-in-person personnel management construct are covered by the guidance contained in this Volume, but may assign personnel to their positions in accordance with staffing practices for rank-in-person organizations established under Volume 2005 of this Instruction.

d. Work level distributions for DoD Components with DCIPS positions will comply with such limitations on numbers of positions above the Full Performance Level of the Professional Work Category as may be established by the USD(I). Heads of the DoD Components with DCIPS positions may request exceptions to established Work Level position limitations if supported through mission-focused workforce analysis and evaluation of Component work against DCIPS criteria for aligning positions to the DCIPS occupational structure.

e. Until DoD or DCIPS guidance on individual occupational titling practices aligned to the requirements of this Volume is published, the DoD Components with DCIPS positions may continue to assign occupational series and titles to DCIPS positions in accordance with policies in effect within their respective Components on the date of publication of this Volume.

f. On publication of DoD or DCIPS occupational titling practices aligned to the requirements of this Volume, all DCIPS positions shall be realigned to occupational series and titles using the procedures established in this Volume.

Appendixes
    1. DCIPS Mission Categories
    2. Work Categories
    3. Work Levels
    4. DCIPS Grading Standard for GG Graded Positions
    5. DCIPS Occupational Structure

APPENDIX 1 TO ENCLOSURE 3

DCIPS MISSION CATEGORIES

1. <u>GENERAL</u>. The mission categories in this appendix are derived from those in the National Intelligence Program budget structure. They shall be used to the extent practical to categorize DCIPS occupations or positions performing similar or related missions or functions. For the purposes of this Volume, the work performed by civilian employees or required by positions may be aligned to a mission category that is different from the funding source of the position. The occupational groups that map to these mission categories may be further defined by the appropriate functional community.

2. <u>DCIPS MISSION CATEGORIES</u>

   a. <u>Collection and Operations</u>. This category includes occupations or positions whose incumbents engage in the collection and reporting of information obtained from intelligence sources by various means, including human and technical means, as well as occupations whose incumbents engage in intelligence and counterintelligence operations and in technical support of collection and operations.

   b. <u>Processing and Exploitation</u>. This category includes occupations or positions whose incumbents engage in the conversion of information collected from various intelligence sources into a form that can be analyzed to produce an intelligence product.

   c. <u>Analysis and Production</u>. This category includes occupations or positions whose incumbents engage in the preparation of a finished intelligence product from information obtained and processed from one or more intelligence sources in support of customer requirements.

   d. <u>Research and Technology</u>. This category includes occupations or positions whose incumbents engage in basic, applied, and advanced scientific and engineering research and development.

   e. <u>Enterprise Information Technology</u>. This category includes occupations or positions whose incumbents support an organization's information systems, such as telecommunications, network operations, operation and maintenance of common user systems, and computing infrastructure. Additionally, this category includes occupations or positions whose incumbents engage in assuring the security of DoD or national security systems and information by providing knowledge and technology to suppliers and clients (i.e., those engaged in information assurance).

APPENDIX 1 TO ENCLOSURE 3

f. Enterprise Management and Support. This category includes occupations or positions whose incumbents engage in sustaining activities that support an organization, to include human resources, finance, logistics, security, legal, acquisition, and other program areas.

g. Mission Management. This category includes occupations or positions whose incumbents engage in the coordination and integration of Intelligence Community-wide requirements, resources, and activities.

APPENDIX 1 TO ENCLOSURE 3

APPENDIX 2 TO ENCLOSURE 3

WORK CATEGORIES

1. GENERAL. Each DCIPS position shall be assigned to a work category according to the criteria in this appendix. These required work categories describe broad sets of related occupational groups characterized by common types of work within the DCIPS enterprise. In applying these criteria, the DoD Components with DCIPS positions shall base their decisions on the work category most applicable to the predominant type of work assigned to the position and performed by the incumbent (e.g., primary purpose of the work, required qualifications).

2. DCIPS WORK CATEGORIES

a. Technician/Administrative Support. This work category includes 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, and qualifications generally are acquired through practical experience supplemented by on-the-job or skills-specific training. Such work tends to have fewer career progression stages and work levels. Positions in this category typically are covered by sections 201-219 of title 29, U.S.C. (Reference (i)), also known as the Fair Labor Standards Act).

b. Professional. This work category includes positions with duties and responsibilities that primarily involve professional or specialized work that requires the interpretation and application of concepts, theories, and judgment. At a minimum, all groups in this category require either a bachelor's degree or equivalent experience for entry. However, some occupations in this category have positive education requirements (i.e., a requirement for a particular type or level of academic degree). This work category features multiple career progression stages and work levels.

c. Supervision/Management. This category includes positions with duties and responsibilities that primarily involve planning, directing, and coordinating the operation of units within DoD Components; overseeing daily operations, managing material, financial or human resources; and developing and executing strategy, formulating and implementing policies.

APPENDIX 3 TO ENCLOSURE 3

WORK LEVELS

1. GENERAL. DoD Components with DCIPS positions shall use the work level descriptions in this appendix to describe and align DCIPS work in each of the work categories established in Appendix 2 of this enclosure. Positions at the Full Performance, Senior, or Expert Work Levels in the Professional Work Category may also be defined as supervisors or managers, if appropriate, based on the functional role the positions are designed to fulfill.

2. DCIPS WORK LEVELS

    a. 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.

    b. 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.

    c. 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.

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d. <u>Expert</u>. 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.

3. <u>APPLYING DCIPS WORK LEVELS TO THE SUPERVISION/MANAGEMENT WORK CATEGORY</u>

a. <u>Supervision</u>. Work of this type involves planning, directing, assigning, leading, and monitoring the work of the unit; hiring or selecting employees; managing and appraising employee and organizational performance; disciplining employees; resolving employee complaints; and supporting the development of employees. Supervisors make decisions that impact the resources (people, budget, materials) of the work unit, ensure the technical quality and timeliness of the work produced by employees in the unit, and collaborate with supervisors across the organization in unstructured situations.

b. <u>Management</u>. Work of this type involves supervision of other subordinate managers or supervisors or direction of units, functions, or projects that may be staffed by civilian or military personnel. Managers are responsible for justification, direction, and allocation of resources (people, budget, material) across the organization through one or more levels of supervision and for setting organizational goals, objectives, and priorities. They handle highly complex, sensitive, or ambiguous challenges facing the organization; interact with, influence, and persuade high-ranking officials within and outside the organization, agency, and other external organizations; and make decisions that have an impact within and outside of the immediate organization and agency.

APPENDIX 4 TO ENCLOSURE 3

DCIPS GRADING STANDARD FOR GG GRADED POSITIONS

1. INTRODUCTION AND PURPOSE

a. DCIPS organizations using the GG graded structure shall use the guidance in this appendix to assign GG grades to nonsupervisory and supervisory/managerial positions following assignment of the DCIPS mission category, work category, and work level using guidance contained in Appendixes 1, 2, and 3 of this enclosure.

b. The DCIPS grading standard for GG positions is the standard for assigning grades in the alignment of all DCIPS positions in the GG grade structure, grades GG-1 through GG-15. The standard is derived from the Office of Personnel Management's Factor Evaluation System Primary Standard (Reference (j)) and has its origins in the standard previously used to classify positions under the Department of Defense Civilian Intelligence Personnel Management System that has been superseded by DCIPS. This standard consists of two parts. Part I provides grading criteria for nonsupervisory positions; Part II provides standards for assigning grades to supervisory and managerial positions.

2. PART I. GRADING CRITERIA FOR NONSUPERVISORY DCIPS POSITIONS. Grading criteria for nonsupervisory DCIPS positions assesses five job-content factors that when appropriately applied and summed allow for consistent placement of DCIPS positions into the DCIPS work level and GG structure across occupations and work categories. For each factor below, a degree of difficulty and its associated point total is assigned to a position. See Table 1 for DCIPS nonsupervisory grade conversion.

a. Factor A Essential Knowledge. This factor measures the nature and extent of information or facts that employees must understand to do acceptable work (e.g., steps, procedures, practices, rules, policies, theories, principles, and concepts) and the nature and extent of the skills needed to apply this knowledge.

(1) Degree A-1 – 5 Points. The work requires knowledge of simple, routine, or repetitive tasks or operations that typically include step-by-step instructions and require little or no previous training, experience; or skill to operate simple equipment requiring little or no previous training or experience.

(2) Degree A-2 – 15 Points. The work requires knowledge of basic or commonly used rules, procedures, or operations that typically require some previous training or experience; or basic skills to operate equipment requiring some previous training or experience, such as keyboard equipment or reproduction equipment.

(3) Degree A-3 – 20 Points. The work requires knowledge of a body of standardized rules, procedures, or operations requiring considerable training and experience in order to

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perform the full range of standard clerical and non-clerical assignments and resolve recurring problems; or the skill, acquired through considerable training and experience, to operate and adjust varied equipment for purposes such as performing numerous standardized tests or operations.

(4) Degree A-4 – 30 Points. The work requires knowledge of an extensive body of rules, procedures, or operations requiring extended training and experience in order to perform a wide variety of interrelated or non-standard procedural assignments and resolve a wide range of problems; or practical knowledge of standard procedures in a technical field, requiring extended training or experience in order to perform such work as adapting equipment, when this requires considering the functioning characteristics of equipment; interpreting results of tests based on previous experience and observations (rather than directly reading instruments or other measures), or extracting information from various sources when this requires considering the applicability of information and the characteristics and quality of the sources.

(5) Degree A-5 – 40 Points. The work requires knowledge (such as would be acquired through a pertinent baccalaureate educational program or its equivalent in experience, training, or independent study) of basic principles, concepts, and methods of a professional or administrative occupation and skill in applying this knowledge in carrying out elementary assignments, operations, or procedures; or, in addition to the practical knowledge of standard procedures in Degree A-4, practical knowledge of technical methods to perform assignments such as carrying out limited projects which involve use of specialized, complicated techniques.

(6) Degree A-6 – 60 Points. The work requires knowledge of the principles, concepts, and methods of a professional or administrative occupation as previously described that has been supplemented either by:

(a) Skill gained through job experience to permit independent performance of recurring assignments;

(b) Expanded professional or administrative knowledge gained through relevant graduate study or experience, which has provided skill in carrying out assignments, operations, and procedures in the occupation that are significantly more difficult and complex than those covered by Degree A-5; or

(c) Practical knowledge of a wide range of technical methods, principles, and practices similar to a narrow area of a professional field and skill in applying this knowledge to such assignments as the design and planning of difficult, but well-precedented projects.

(7) Degree A-7 – 80 Points. The work requires knowledge of a wide range of concepts, principles, and practices in a professional or administrative occupation, such as would be gained through extended graduate study or experience and skill in applying this knowledge to difficult and complex work assignments; or a comprehensive, intensive, practical knowledge of a technical field and skill in applying this knowledge to the development of new methods, approaches, or procedures.

APPENDIX 4 TO ENCLOSURE 3

(8) <u>Degree A-8 – 95 Points</u>. The work requires a mastery of one or more professional or administrative fields. The employee at this level applies experimental theories and new developments to problems not susceptible to treatment by accepted methods or makes decisions or recommendations significantly changing, interpreting, or developing important policies and programs.

(9) <u>Degree A-9 – 115 Points</u>. The work requires a mastery of a professional or administrative field in order to generate and develop new hypotheses and theories. The employee at this level is a leading authority in the specialty not only within the Department or joint organization, but also throughout the Defense establishment and the Intelligence Community.

b. <u>Factor B – Guidelines</u>. This factor measures the nature of the guidelines used (e.g., regulations, procedures, precedents, methods, techniques, and forms of governance over the work) and the degree of interpretation required of these references, including judgment and originality.

(1) <u>Degree B-1 – 10 Points</u>. Specific, detailed guidelines covering all important aspects of the assignments are provided to the employee. The employee works in strict adherence to the guidelines; deviations must be authorized by the supervisor.

(2) <u>Degree B-2 – 25 Points</u>. Procedures for performing the work are established and a number of specific guidelines are available. The number and similarity of guidelines and work situations require the employee to use judgment in locating, selecting, and applying the most appropriate guidelines, references, and procedures for application and in making minor deviations to adapt the guidelines in specific cases. Adaptability and versatility are required to meet changing work situations.

(3) <u>Degree B-3 – 50 Points</u>. Guidelines are available, but are not completely applicable to the work or have gaps in specificity. The employee uses judgment in interpreting and adapting guidelines such as the policies, regulations, precedents, and work directions for application to specific cases or problems. The employee analyzes results and recommends changes.

(4) <u>Degree B-4 – 70 Points</u>. Administrative policies and precedents are applicable but are stated only in very general terms. Guidelines for performing the work are scarce or of limited use. The employee uses initiative and resourcefulness in deviating from traditional methods or researching trends and patterns to develop new methods, criteria, or proposed new policies.

(5) <u>Degree B-5 – 95 Points</u>. Guidelines are broadly stated and nonspecific, such as broad policy statements and basic legislation that require extensive interpretation. The employee must use judgment and ingenuity in interpreting the intent of guides that do exist and in developing applications to specific areas of work. Frequently, the employee is recognized as an authority in the development and interpretation of guidelines.

(6) <u>Degree B-6 – 115 Points</u>. Guidelines are virtually non-existent. Precedents are obscure or not available. Originality, creativity, or extensive experience are required to deal with or to plan theoretical, experimental, or complex programs of such advanced and novel character that new concepts and methods must be developed. The lack of guidelines requires the employee to develop definitive plans and head pioneering efforts to solve problems that require an extension of theory.

c. <u>Factor C – Scope of Authority and Effect of Decisions</u>. This factor covers the relationship between the nature of the work (e.g., purpose, breadth, and depth of assignments) and the effect of the work products or services within and outside the organizational element. Effect also measures such things as whether the work output facilitates the work of others, provides timely service of a personal nature, or impacts on the adequacy of research conclusions.

(1) <u>Degree C-1 – 15 Points</u>. The employee takes or recommends actions on routine assignments or portions of special assignments where errors in decisions or commitments can be readily detected and corrected. The primary consequence of error is localized loss of time.

(2) <u>Degree C-2 – 30 Points</u>. The employee makes decisions on the application of established procedures and initiates actions that affect various organizational units. Errors in decisions or commitments are not immediately apparent but are revealed in subsequent operations. An error may result in loss of time in other organizational units.

(3) <u>Degree C-3 – 50 Points</u>. The employee makes decisions based on the interpretation of regulations and practices and initiates actions that affect various organizational units. Commitments do not involve interpretation of policy or the setting of precedents, but may have an adverse effect upon the activities of the assigned element. Errors could prove costly in terms of delay and waste of time and resources within the element.

(4) <u>Degree C-4 – 70 Points</u>. The employee makes decisions and initiates actions that involve the interpretation of policy or the setting of precedents. The employee makes authoritative determinations and advises on technical problems. Decisions and commitments often involve large expenditures of resources and have a strong impact on important programs.

(5) <u>Degree C-5 – 90 Points</u>. The employee makes recommendations and decisions that materially affect the scope and direction of large, complex, and significant programs, or technical and scientific activities of crucial importance to the Activity's, Component's, Department's, or Intelligence Community's mission. Commitments may result in the initiation of major programs or the cancellation or modification of existing major programs.

d. <u>Factor D – Work Relationships</u>. This factor includes contacts with persons not in the supervisory chain and is based on what is required to make the initial contact, the difficulty of communicating with those contacted, and the degree to which the employee and those contacted recognize their relative roles and authorities. Also considered by this factor are the purposes of the contacts, which range from factual exchanges of information to situations involving significant or controversial issues and differing viewpoints, goals, or objectives.

(1) Degree D-1 – 5 Points. Person-to-person work relationships occur, but generally are of an incidental nature and do not constitute a significant part of the work.

(2) Degree D-2 – 15 Points. Person-to-person work relationships are a regular and necessary part of the job and are for the purpose of giving or obtaining factual information that is easy to convey and simple to understand.

(3) Degree D-3 – 35 Points. Person-to-person work relationships are for the purpose of giving or obtaining information on problems where some explanation or interpretation of facts is required in order to render service, implement regulations and policies, or maintain coordination.

(4) Degree D-4 – 55 Points. Person-to-person work relationships are for the purpose of giving or obtaining information on non-routine problems requiring not only explanation or interpretation of facts but also discussion and inferences in order to gain concurrence or persuade to action.

(5) Degree D-5 – 75 Points. Person-to-person work relationships are for the purpose of discussing policy matters and major changes in program emphasis in order to provide authoritative advice on their effect and feasibility, to gain necessary cooperation and support, or to persuade to action.

(6) Degree D-6 – 95 Points. Person-to-person work relationships are for the purpose of securing acceptance or indispensable support of or explaining and defending policies and programs that represent the most controversial or crucial phases of the DoD, , Intelligence Community, or joint organization's programs. Personal contacts are typically with high-ranking officials at national or international levels, with executives of large industrial firms or with specific policy makers and senior staff of other DoD, federal organizations, , joint organizations, or the Intelligence Community.

e. Factor E – Supervision Received. This factor covers the nature and extent of direct or indirect controls exercised by the supervisor, the employee's responsibility, and the method for reviewing completed work.

(1) Degree E-1 – 5 Points. The supervisor makes specific assignments that are accomplished by clear, detailed, and specific instructions. As the employee gains familiarity with the work, instructions are not detailed for repetitive tasks, but the employee's responsibilities remain clearly defined. The employee works as instructed and consults with the supervisor as required on matters not covered in the original instructions. The supervisor maintains control through review of the work for such things as accuracy, adequacy, and adherence to instructions and established procedures.

(2) Degree E-2 – 20 Points. The supervisor maintains control over work through checking for accuracy, adequacy, and adherence to instructions. Instructions given to the employee are well defined, but the employee may recommend modifications to those instructions if the assignment is new, difficult, or unusual. The employee carries out routine assignments but unforeseen problems and unusual situations may be referred to the supervisor for help or decisions.

(3) <u>Degree E-3 – 35 Points</u>. The supervisor makes assignments by defining objectives, priorities, and deadlines and assists the employee with unusual situations that do not have clear precedents. The employee plans and carries out successive steps and handles problems and deviations in the work assignment in accordance with instructions, previous training, or accepted practices in the occupation. Finished work is reviewed for accuracy, quality, and compliance with more complex instructions and guidelines.

(4) <u>Degree E-4 – 55 Points</u>. The supervisor sets the overall objectives and resources available. The employee and supervisor, in consultation, develop the deadlines and projects. The employee is responsible for planning and carrying out the assignment, resolving most of the conflicts that arise and interpreting policy in terms of established objectives. The supervisor is kept informed of progress and any controversial matters. Finished work and methods are reviewed for accuracy and effectiveness and for compliance with complex instructions and guidelines.

(5) <u>Degree E-5 – 75 Points</u>. The supervisor generally provides only administrative direction, with assignments made in terms of broadly defined missions or functions. The employee has responsibility for planning, designing, and carrying out programs, projects, studies, or other work independently. The supervisor is kept informed of significant developments. Completed work is reviewed only from an overall standpoint in terms of feasibility, compatibility, effectiveness, or expected results and for its contribution to the overall project or program.

(6) <u>Degree E-6 – 95 Points</u>. Assignments are made in terms of overall organization mission and policies. The employee selects objectives, plans, and methods independent of any review. Delegated authority is complete. Broad policy questions or major problems of coordination are resolved in conference with advisors or personnel of other activity or Component elements. Recommendations for new projects and alterations of objectives are usually evaluated for such considerations as availability of funds and other resources, broad program goals, or national priorities. Results of completed work are considered technically authoritative and are normally accepted without significant change.

(7) <u>Degree E-7 – 115 Points</u>. The employee is often the most authoritative professional in a particular field with the Department, Intelligence Community, or joint organization. The work is generally considered to be pioneering in a particular specialty. Supervision is virtually nonexistent. The independence of action inherent at this level is hampered only by the constraint on the availability of funds or other resources or major program goals and national priorities.

Table 1. DCIPS Nonsupervisory Grade Conversion

Total Points	GG Grade Level	DCIPS Work Category and Work Level Descriptor
< 45	1	Entry/ Developmental Work Level for the Technician/Administrative Support Work Category defined in Appendix 2
	2	
	3	
45-79	4	
80-104	5	
105-129	6	
130-159	7	
130-159	7	Entry/ Developmental Work Level for the Professional Work Category; Full Performance Work Level for the Technician/Administrative Support Category
160-179	8	
180-204	9	
205-224	10	
225-244	11	Senior Work Level for the Technician/Administrative Support Work Category; Full Performance Work Level for the Professional Work Category
245-294	12	
295-339	13	
295-339	13	Senior Work Level for the Professional Work Category
340-379	14	
380 and above	15	Expert Work Level for the Professional Work Category
When applying this grade conversion chart, all work is aligned first to the Work Category and Work Level using the guidance contained in this Volume, and then to the appropriate GG grade based on this chart.		

3. PART II. DCIPS SUPERVISORY POSITIONS. The following are the factor and degree descriptors for DCIPS Supervisory and Managerial positions. When applying the grading guidelines below, they should be applied in the context of the total job. For those positions with mixed supervisory and non-supervisory responsibilities, the position should be titled as a supervisor if the position meets the requirements for designation as a supervisor, but the final grade of the position should be assigned based on the highest level of work performed on a regular and recurring basis. See Table 2 for DCIPS supervisory and managerial positions grade conversions.

    a. Factor A – Guidelines. This factor measures the degree to which judgment and originality play a role in the supervisor's assignment. It is the availability and degree to which they apply,

or the degree to which guidelines are absent, that determines the level of independent judgment and initiative in a supervisory position.

(1) <u>Degree A-1 – 15 Points</u>. The supervisor works in strict adherence to guidelines, and deviations must be authorized by the immediate supervisor.

(2) <u>Degree A-2 – 35 Points</u>. The supervisor works in adherence to guidelines but may use some independent discretion in locating and selecting the most appropriate guidelines or references.

(3) <u>Degree A-3 – 55 Points</u>. The supervisor uses judgment, resourcefulness, and initiative in adapting and applying guidelines, and is responsible for analyzing results and recommending changes to deal with the more difficult or unusual assignments.

(4) <u>Degree A-4 – 75 Points</u>. Guidelines exist, but the supervisor must use judgment and ingenuity to interpret the intent of these guides. The supervisor may be required to make major or novel adaptations to existing guides in order to accomplish the mission.

(5) <u>Degree A-5 – 95 Points</u>. Guidelines have only limited application in the most significant areas of work supervised. The supervisor exercises a very high degree of originality and judgment in formulating, evaluating, and monitoring the organization's programs in instances where new concepts or technologies are developed, where there are no precedents or guidelines on which to base or predict expected results, and where few if any existing guidelines can be used to develop appropriate criteria, methods, procedures, and techniques. Inherent in a position at this level are the exercise of judgment and ingenuity in guiding personnel in the analysis of unique problems and the development of new and improved techniques and methods for accomplishing the organization's mission.

(6) <u>Degree A-6 – 115 Points</u>. The only available guidelines are broad statements of policy, and precedents are obscure or non-existent. A supervisor at this level has full and final technical responsibility for the work of the organization and is responsible for developing plans and programs related to pioneering efforts. The limited guidelines pose a significant and continuing requirement for a high level of ingenuity and originality in order to lead and supervise the organization.

b. <u>Factor B – Scope and Variety of Operations</u>. This factor is intended to measure the extent to which size, workload, and variety of functions of the organization supervised contribute to the difficulty of the supervisor's position.

(1) <u>Degree B-1 – 25 Points</u>. The supervisor is responsible for supervising the day-to-day work of an element in which the operations are well defined and work methods are firmly established. Only one kind of work is normally represented. The supervisor directs work-flow, guides employees in the application of established procedures, assigns new or additional work when required, trains new employees, and initiates personnel actions. The supervisor reviews work in progress or upon completion for compliance with instructions and overall quality.

(2) <u>Degree B-2 – 65 Points</u>. The supervisor is responsible for planning and supervising the work of a work unit for which the programs and objectives are clearly defined and the organizational structure fully established. At this level of supervision more than one kind of work may be present, requiring an additional body of knowledge, and moderate variations in workload may be imposed on the supervisor due to cyclic fluctuations. The supervisor plans work flow and makes work assignments, adjusting workloads and adapting or modifying procedures to alleviate backlogs or delays. The supervisor reviews completed work for technical adequacy and for compliance with instructions and is responsible for the quality and quantity of completed work.

(3) <u>Degree B-3 – 95 Points</u>. The supervisor is responsible, directly or through subordinate supervisors, for organizing, planning and directing the work program of an organization for which program objectives and limitations are established. At this level of supervision, a greater variety of work and activities requiring frequently shifting work assignments and diversified occupational specialties exists. The supervisor may be required to alter the organizational structure of the immediate organization under his or her control or work methods to meet changes in requirements and shifts in workload. The supervisor assigns and reassigns personnel and consults with superiors on major technical and administrative problems. He or she is responsible for the effective use of assigned personnel and for the quality and quantity of work produced.

(4) <u>Degree B-4 – 125 Points</u>. The supervisor is responsible for directing and coordinating diverse work programs through intermediate levels of supervision. Within the framework of policy, the supervisor determines organizational structure and approves work plans and methods in order to efficiently and economically manage personnel and material resources. At this level, additional supervisory problems may exist such as subordinates located in widely separate locales; frequent changes to assignments and deadlines; frequent, often abrupt and unexpected changes in work assignments and goals; a wide variety of distinct occupations; or supervision of shift operations, i.e., activities that are carried out over two or more shifts. Work at this level requires the supervisor to be constantly adjusting to the unpredictable consequences of added pressure.

(5) <u>Degree B-5 – 150 Points</u>. The supervisor is responsible for executing a primary mission of the organization by managing and administering a group of major work programs. The supervisor is fully accountable for the economy and efficiency of operations, for compliance with activity or Component policy, and for the attainment of program goals and objectives. The variety and nature of the work supervised is often at the technical frontier of not only the activity or Component, but the Intelligence Community and the Department.

c. <u>Factor C – Work Relationships</u>. This factor measures the difficulty of attaining work goals and objectives through personal contacts within and outside the organization and the nature, frequency, and purpose of person-to-person relationships required by the duties of the position.

(1) <u>Degree C-1 – 15 Points</u>. Contacts are with personnel in the supervisor's immediate organization and are either so highly structured or of such an incidental nature that they do not play a role in overall performance.

(2) <u>Degree C-2 – 35 Points</u>. Person-to-person work relationships are required but are not essential in the overall daily performance. Contacts at this level would normally be within the supervisor's organization to explain changes in work patterns or to explain deviations in work processes or methods. Occasional coordination with other organizations having a similar mission relationship may occur if guidelines or instructions require joint coordination to avoid backlogs or delays.

(3) <u>Degree C-3 – 55 Points</u>. Contacts are a regular and necessary part of the function and are generally to clarify or give facts or information in which the subject matter requires some interpretation. At this level, most contacts are within the supervisor's own assigned organization; however, occasional contacts may be with external organizations whose missions differ considerably from the supervisor's.

(4) <u>Degree C-4 – 75 Points</u>. Daily contact is required with personnel in a wide variety of organizations having mission-related activities and occasionally with operating personnel within the Intelligence Community. The purpose of contacts at this level is to resolve non-routine problems affecting the overall activities of the organization. At this level, the supervisor must persuade or influence others to gain concurrence on major issues that affect the supervisor's organization.

(5) <u>Degree C-5 – 95 Points</u>. Person-to-person work relationships are for the purpose of justifying, demanding, negotiating, or settling matters involving significant or controversial issues. Contacts are generally with high-ranking officials both within and outside the supervisor's organization. The supervisor is expected to provide authoritative advice and guidance, to be a spokesperson for the organization, and be able to win support for the organization's programs.

(6) <u>Degree C-6 – 115 Points</u>. Person-to-person work relationships are to negotiate or solve issues relating to the most significant programs of the organization. The supervisor must defend extremely controversial or critical long-range plans of the organization, frequently at the highest levels of the activity or Component, with ranking officials of other Intelligence Community or Government agencies, or with executives of corporations having dealings with the activity or Component.

d. <u>Factor D – Supervision Exercised</u>. This factor measures the degree to which the supervisor is responsible for the various facets of technical and administrative supervision or management; his or her involvement in such things as work planning and organization, work assignment and review, and the exercise of supervisory personnel functions. This is, in effect, an expression of the extent of supervision received from higher levels and the extent of the supervisor's own responsibility for the work produced.

(1) <u>Degree D-1 – 25 Points</u>. At this level, the supervisor performs only basic supervision, such as ensuring that work schedules are met, staffing is adequate to accomplish assigned tasks, and adequate equipment and supplies are available for employees. The supervisor reviews work in progress or upon completion, explains any special instructions, and ensures that new employees are given proper training to perform the work. The supervisor also oversees attendance and leave, approves sick and annual leave and vacation schedules, and evaluates the performance of subordinates through the DCIPS or other appropriate Intelligence Community performance appraisal systems. Any controversial or disciplinary measures are referred to higher level supervisors for adjudication.

(2) <u>Degree D-2 – 65 Points</u>. At this level of supervision, the supervisor typically:

(a) Plans work schedules and sequences of operations for assigned personnel, ensuring that deadlines are met and that there is even flow of work.

(b) Revises work schedules to meet changes in workload, including use of overtime or alternate work schedules.

(c) Gives special instructions on difficult or different operations, answering technical questions about the work.

(d) Informs higher level supervisors of anticipated vacancies, increases in workload, or other circumstances requiring replacement or additional staff.

(e) Informally recommends promotions, reassignments, and recognition and rewards outstanding performance.

(f) Resolves employees' informal complaints that are within his or her jurisdiction, contacting higher levels of supervision for information and correction of unsatisfactory conditions.

(g) Directs on-the-job training for employees and provides back-up skills by cross training.

(h) Advises employees of the performance requirements of their positions and provides ongoing feedback on progress toward meeting requirements.

(i) Holds correcting interviews with employees and refers disciplinary problems to higher level supervisors in the chain of command in accordance with local policies and procedures.

(j) Prepares formal evaluations of employee performance and provides feedback on the evaluation.

APPENDIX 4 TO ENCLOSURE 3

(k) Explains to employees the main features and general procedures of promotion plans, training programs, and other opportunities, and seeks answers to more technical questions from higher level supervisors or staff specialists.

(l) Informs employees about the policies, procedures, and goals of management as they relate to the work of the organization.

(3) Degree D-3 – 95 Points. The supervisor at this level has authority to plan for and make changes in the organization of work in order to achieve efficient and economical operations within allowable budget, staffing levels, and policies established by higher organizational levels. While the normal work situation typically provides sources to which the supervisor can turn for advice and assistance on particularly difficult and out-of-the-ordinary technical problems, the supervisor does have substantial responsibility for the technical soundness of work, including the authority to define work quality standards and to prepare and issue internal instructions and procedures for work accomplishment. In addition to responsibilities for keeping employees and higher level supervisors informed of administrative, budgeting, and personnel matters that affect them, the supervisor at this level has authority to prepare formal and follow-up actions for most supervisory personnel functions, including providing the primary input for promotions and award recommendations.

(4) Degree D-4 – 125 Points. At this level, the supervisor has full technical responsibility for the work of the organization and oversees an organization through one or more levels of subordinate supervisors. In addition to the authority to make changes in the organization of work within allowable budget and established policy, the supervisor has the authority to develop plans and schedules that guide subordinate supervisors in meeting program goals, objectives, and broad priorities established by higher level management. The supervisor establishes quality standards and internal instructions and procedures, and establishes operating guidelines to coordinate activities of subordinate supervisors in all substantive and management areas. The supervisor at this level approves, modifies, or rejects personnel actions initiated by subordinate supervisors.

e. Factor E – Complexity of Work Supervised. This factor measures the nature, level, and difficulty of the nonsupervisory work being supervised or managed. The degree level selected for this factor should represent the highest full-performance level of nonsupervisory work found in the subordinate work unit.

(1) Degree E-1 – 35 Points. Supervises grades GG-1 through GG-4.

(2) Degree E-2 – 40 Points. Supervises grades GG-5 and GG-6.

(3) Degree E-3 – 45 Points. Supervises grades GG-7 and GG-8.

(4) Degree E-4 – 50 Points. Supervises grades GG-9 and GG-10.

(5) Degree E-5 – 55 Points. Supervises grade GG-11.

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(6) <u>Degree E-6 – 60 Points</u>. Supervises grade GG-12.

(7) <u>Degree E-7 – 65 Points</u>. Supervises grade GG-13.

(8) <u>Degree E-8 – 70 Points</u>. Supervises grade GG-14.

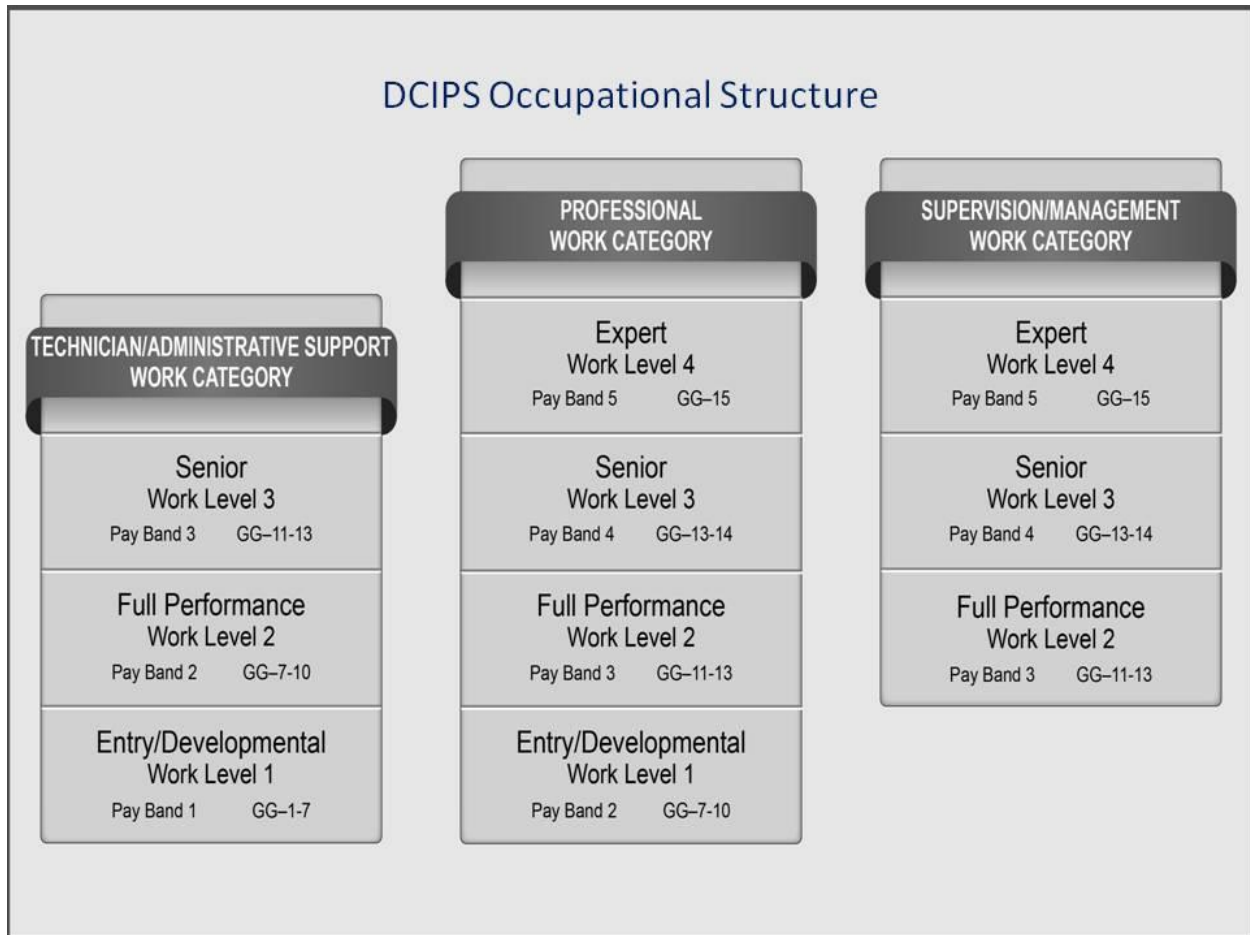(9) <u>Degree E-9 – 75 Points</u>. Supervises grade GG-15.

<u>Table 2</u>. <u>Grade Conversion Chart for DCIPS Supervisory and Managerial Positions</u>

Total Points	GG Grade Level	DCIPS Work Category and Work Level Descriptor
228-249	11	DCIPS supervisory and managerial work is considered to be professional work, and begins at the Full Performance Work Level (2) in the Professional Work Category. Positions that are found to have point totals less than the minimum shown on this chart are to be aligned using the DCIPS nonsupervisory grading criteria.
250-289	12	
290-344	13	
290-344	13	Senior Work Level for the Supervision/Management Work Category.
345-394	14	
395 and above	15	Expert Work Level for the Supervision/Management Work Category.
When applying this grade conversion chart, all work is aligned first to the Work Category and Work Level using the guidance contained in this Volume, and then to the appropriate GG grade based on this conversion chart.		

APPENDIX 4 TO ENCLOSURE 3

APPENDIX 5 TO ENCLOSURE 3

DCIPS OCCUPATIONAL STRUCTURE GRAPHIC

<u>Figure</u>. <u>DCIPS Occupational Structure</u>

DCIPS Occupational Structure

TECHNICIAN/ADMINISTRATIVE SUPPORT WORK CATEGORY	PROFESSIONAL WORK CATEGORY	SUPERVISION/MANAGEMENT WORK CATEGORY
	Expert Work Level 4 Pay Band 5 GG–15	Expert Work Level 4 Pay Band 5 GG–15
Senior Work Level 3 Pay Band 3 GG–11-13	Senior Work Level 3 Pay Band 4 GG–13-14	Senior Work Level 3 Pay Band 4 GG–13-14
Full Performance Work Level 2 Pay Band 2 GG–7-10	Full Performance Work Level 2 Pay Band 3 GG–11-13	Full Performance Work Level 2 Pay Band 3 GG–11-13
Entry/Developmental Work Level 1 Pay Band 1 GG–1-7	Entry/Developmental Work Level 1 Pay Band 2 GG–7-10	

GLOSSARY

PART I. ACRONYMS AND ABBREVIATIONS

DCIPS   Defense Civilian Intelligence Personnel System
DISES   Defense Intelligence Senior Executive Service
DISL   Defense Intelligence Senior Leader
DoDD   Department of Defense Directive

ODNI   Office of the Director of National Intelligence

U.S.C.   United States Code
USD(I)   Under Secretary of Defense for Intelligence
USD(P&R)   Under Secretary of Defense for Personnel and Readiness

PART II. DEFINITIONS

These terms and their definitions apply only to this Volume and serve as the basic occupational structure taxonomy for DCIPS positions.

activity. Independent organizational entities subordinate to a DoD component.

competencies. The measurable or observable knowledge, skills, abilities, behaviors, and other characteristics needed to perform a type of work or function.

component. The principal organizational elements within the DoD Defense Intelligence framework that include the Defense Agencies, the Military Departments, the Defense Security Service, and the Office of the Under Secretary of Defense for Intelligence.

DCIPS elements. The elements that comprise the DCIPS occupational structure, as follows. Elements are listed in the order most useful for understanding each and its relationship to the others, beginning with the broadest designation of mission categories and moving downward through occupational groups, work categories and levels, job titles, and competencies that encompass individual positions.

DoD Components with DCIPS positions. Defined in Volume 2001 of this Instruction.

DoD intelligence mission. Those activities that fall within the responsibility of the USD(I) as defined in Reference (b).

GG. The pay plan used for DCIPS positions in the graded structure.

grade. The numerical designation, GG-1 though GG-15, grouped by work levels, which differentiate within the work level qualifications required, difficulty, and responsibility.

IA. The pay plan used for DCIPS positions in the pay banded structure.

job titles. The labels applied by the Defense Intelligence Components to systematically defined sets of work activities that identify specialized tasks and competencies needed to perform a specific job.

mission categories. Broad classifications of work that reflect the various Defense Intelligence Component missions and functions, and that align to designated budget categories for the National Intelligence Program and the Military Intelligence Program.

occupational groups. One or more functionally related occupations, specialties, families, or classes of positions that share distinct, common technical qualifications, competency requirements, career paths, and progression patterns.

occupational series. Classes of positions that share distinct, common technical qualifications, competency requirements, career paths, and progression patterns.

pay band. A single rate range within the DCIPS compensation structure that establishes the range of pay for a work category, occupational group, and work level.

work categories. Broad sets of related occupational groups that are characterized by common types of work (i.e., Technician/Administrative Support; Professional; and Supervision and Management).

work levels. General descriptions that define work in terms of increasing complexity, span of authority and responsibility, level of supervision (received or exercised), scope and impact of decisions, and work relationships associated with a particular work category.

Appendix L

Department of Defense

INSTRUCTION

SUBJECT: DoD Civilian Personnel Management System: Defense Civilian Intelligence
            Personnel System (DCIPS) Performance Management

References: See Enclosure 1

1. PURPOSE

a. Instruction. This Instruction is composed of several volumes, each containing its own
purpose. The purpose of the overall Instruction, in accordance with the authority in DoD
Directive (DoDD) 5124.02 (Reference (a)), is to establish and implement policy, establish
procedures, provide guidelines and model programs, delegate authority, and assign
responsibilities regarding civilian personnel management within the Department of Defense.

b. Volumes

(1) 2000 Volume Series. The 2000 Volume series of this Instruction, in accordance with
the authority in Reference (a) and DoDDs 5143.01, 1400.25, and 1400.35 (References (b), (c),
and (d)), establishes policy, assigns responsibilities, and provides guidance for DCIPS. Hereafter
the 2000 Volume series of this Instruction shall be referred to as "the DCIPS Volumes."

(2) This Volume. This Volume, pursuant to section 1601 of title 10, United States Code
(U.S.C.) (Reference (e)), establishes performance management policies, assigns responsibilities,
and prescribes procedures for the DCIPS performance management system. Policies regarding
performance pay pool structure and funding, performance-driven pay-decision processes, and
calculations related to performance payouts will be established and implemented in Volume
2006 of this Instruction.

2. APPLICABILITY. This Volume:

a. Applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs
of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the
Department of Defense, the Defense Agencies, the DoD Field Activities, and all other

organizational entities in the Department of Defense (hereafter referred to collectively as the "DoD Components").

    b. Applies to members of the Defense Intelligence Senior Executive System and the Defense Intelligence Senior Level as rating officials, performance review authorities, or when performing other similar functions, unless specifically addressed in other Volumes of this Instruction.

    c. Does not apply to employees covered by the Federal Wage System or equivalent, non-appropriated fund employees, or foreign national employees.

3. <u>DEFINITIONS</u>. See Glossary.

4. <u>POLICY</u>. It is DoD policy that:

    a. DCIPS is an essential tool supporting the transformation of the Defense Intelligence Enterprise called for in Under Secretary of Defense for Intelligence (USD(I)) Statement of Strategic Intent (Reference (f)).

    b. The DCIPS performance management system shall:

        (1) Ensure the alignment of individual performance objectives to the intelligence goals and objectives of the DoD Components with DCIPS positions.

        (2) Ensure ongoing feedback between employees and supervisors on progress toward accomplishment of those objectives.

        (3) Provide a basis for measuring and assigning accountability for individual and organizational performance for accomplishment of those objectives.

        (4) Provide 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.

        (5) Identify the developmental needs of DCIPS employees.

        (6) Be consistent with the merit system principles set forth in chapter 23 of title 5, U.S.C. (Reference (g)).

5. <u>RESPONSIBILITIES</u>

    a. <u>Under Secretary of Defense for Personnel and Readiness (USD(P&R))</u>. The USD(P&R) shall, in conjunction with the USD(I), coordinate on the development of DCIPS performance management policies and monitor their effects on DoD-wide personnel readiness.
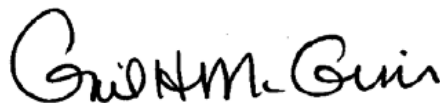
b. <u>USD(I)</u>. The USD(I) shall, in conjunction with the USD(P&R), establish a common performance management system for DCIPS employees and positions that is in accordance with the core requirements of the intelligence community (IC) performance management framework set forth in Intelligence Community Directive Number 651 (Reference (h)).

c. <u>Heads of the DoD Components With DCIPS Positions</u>. The Heads of the DoD Components with DCIPS positions may issue internal policy, procedures, and guidance to supplement this Volume insofar as the supplementing issuances are in accordance with References (c), (d), and (e) and Volume 2001 of this Instruction.

6. <u>PROCEDURES</u>. Enclosure 2 provides procedures for DCIPS performance management. Enclosure 3 provides specific guidance for preparing supervisory and managerial objectives. Specific performance standards that operationalize performance elements to the career field and pay level of the employee will be published in Enclosure 4.

7. <u>RELEASABILITY</u>. UNLIMITED. This Volume is approved for public release and is available on the Internet from the DoD Issuances Web Site at http://www.dtic.mil/whs/directives.

8. <u>EFFECTIVE DATE</u>. This ~~Instruction~~ *Volume* is effective ~~60 days from the date published~~ *on October 8, 2009*.

Gail H. McGinn
Deputy Under Secretary of Defense (Plans)
Performing the Duties of the
    Under Secretary of Defense
    (Personnel and Readiness)

Enclosures
    1. References
    2. Procedures
    3. Guidelines for Writing Performance Objectives
    Glossary

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REFERENCES

(a) DoD Directive 5124.02, "Under Secretary of Defense for Personnel and Readiness USD(P&R))," June 23, 2008
(b) DoD Directive 5143.01, "Under Secretary of Defense for Intelligence (USD(I))," November 23, 2005
(c) DoD Directive 1400.25, "DoD Civilian Personnel Management System," November 25, 1996
(d) DoD Directive 1400.35, "Defense Civilian Intelligence Personnel System (DCIPS)," September 24, 2007
(e) Section 1601 of title 10, United States Code
(f) Under Secretary of Defense for Intelligence Statement of Strategic Intent, "Strategic Intent for the Defense Intelligence Enterprise," August 2007[1]
(g) Chapter 23 of title 5, United States Code
(h) Intelligence Community Directive Number 651, "Human Capital Performance Management for the Intelligence Community Civilian Workforce," November 28, 2007
(i) Director of National Intelligence Strategy, "The National Intelligence Strategy of the United States of America," October 2005[2]

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[1] Copies are available to authorized users at
https://usdi.dtic.mil/usdi_docs/keyref/dcs/keydocs/USDI_Statement_of_Strategic_Intent_10112007.pdf
[2] Available through the Internet at http://www.dni.gov/publications/NISOctober2005.pdf

ENCLOSURE 1

ENCLOSURE 2

PROCEDURES

1. <u>GENERAL ROLES AND RESPONSIBILITIES</u>. Performance management has one primary purpose: to achieve organizational results and mission objectives through the effective management of individual and organizational performance. To achieve that purpose, performance management shall be a priority for all Defense Intelligence executives, managers, supervisors, and employees. The performance expectations of organizations and their senior leaders shall be linked to the Director of National Intelligence Strategy (Reference (i), hereafter referred to as the "National Intelligence Strategy" (NIS)) and applicable strategies of the Department of Defense and the DoD Components with DCIPS positions. Performance expectations shall cascade from the senior levels of the organization through subordinate managers and supervisors to individual employees. Successful performance management requires commitment to performance planning, measurement, and management practices. All participants in the performance management process must invest adequate time and effort throughout the evaluation period to ensure performance management is effective.

   a. <u>Performance Management Performance Review Authority (PM PRA)</u>. The PM PRA is responsible for:

      (1) Oversight of performance evaluations conducted under his or her purview to ensure the consistency of DCIPS performance management practices within the DoD Components with DCIPS positions.

      (2) Ensuring compliance with merit system principles and prevention of conflicts of interest in the establishment and operation of pay pools.

      (3) Final independent review of employee evaluation of record when challenged by an employee. (See section 9 of this enclosure.)

   b. <u>Reviewing Officials</u>. Reviewing officials are the approving official for each individual evaluation of record within their purview. Reviewing officials are responsible and shall be held accountable for ensuring accuracy of performance management within the subordinate organizations and units for which they are responsible. This includes but is not limited to ensuring that:

      (1) Performance and individual development plans (IDPs) are in place in accordance within established timelines for all employees.

      (2) Subordinate rating officials and supervisors (when the supervisor is not the rating official) are trained in their roles. (See paragraphs 1.d. and 1.e. of this enclosure for rating official and supervisor responsibilities).

(3) Subordinate rating officials are providing performance feedback throughout the evaluation period and rating officials have documented at least one midpoint performance review feedback session with each employee.

(4) Subordinate 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.

(5) All evaluations of record within subordinate organizations and units are completed within established timelines.

(6) Performance standards are consistently applied among those rating officials for whom they are the reviewing official.

(7) Subordinate rating officials are executing their responsibilities consistent with merit system principles.

c. Rating Officials. Rating officials are responsible and shall be held accountable for effectively managing the performance of assigned employees. This includes but is not limited to:

(1) Executing the requirements of this Volume in accordance with the merit system principles set forth in Reference (g).

(2) Ensuring employees are trained in the performance management system.

(3) Developing and communicating performance objectives and expectations within the established timelines and holding employees accountable for accomplishing them.

(4) Preparing jointly with employees, to the extent practicable, development objectives for the performance year and recording them in an IDP.

(5) Aligning performance objectives and employee development with organizational goals and objectives.

(6) Discussing with employees the relevance of performance elements to individual performance objectives.

(7) Providing employees meaningful, constructive, and candid feedback relative to progress against performance expectations including at least one documented midpoint review.

(8) Ensuring employees are aware of the requirement to document their accomplishments at the end of the evaluation period.

(9) Fostering and rewarding excellent performance.

(10) Addressing poor performance.

(11) Making meaningful distinctions among employees based on performance and contribution.

(12) Completing closeout and interim performance evaluations as required within established timelines.

(13) Ensuring eligible employees are assigned an evaluation of record as prescribed by this Volume.

(14) Collaborating with reviewing officials to complete evaluations of record.

d. <u>Supervisors When Not the Rating Official</u>. 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. This includes the responsibility for:

(1) Ensuring he or she maintains ongoing dialog with the rating official regarding the employee's performance during the evaluation period.

(2) Participating with the rating official in the completion of the employee's evaluation of record.

(3) Participating 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.

e. <u>Employees</u>. Employees are accountable for:

(1) Engaging in dialog with rating officials and supervisors (when the supervisor is not the rating official) to develop performance objectives and their IDP at the beginning of each evaluation period.

(2) Identifying and recording their accomplishments and results throughout the evaluation period.

(3) Participating in midpoint performance reviews and end-of-year performance evaluation discussions with their rating officials.

(4) Preparing their end-of-year accomplishments as input to their annual performance evaluations.

(5) Understanding the link between their performance objectives and the organizational mission and goals.

(6) Accepting accountability for their actions.

2. <u>THE PERFORMANCE MANAGEMENT PROCESS</u>

a. The DCIPS performance management process consists of three distinct phases: performance planning, managing performance throughout the evaluation period, and evaluation of performance at the end of the performance evaluation period. The standard evaluation period for DCIPS runs from October 1 through September 30 of each year unless an exception has been granted by the USD(I). The performance evaluation period officially begins on October 1 of each year with the performance planning process. During the performance planning process, rating officials (in collaboration with the supervisor when the supervisor is not the rating official) and employees shall engage in dialog to establish performance objectives that they shall be expected to accomplish during the performance evaluation period. The objectives set the expectations for "what" specifically each employee is expected to accomplish during the coming year. The rating official and employee planning process shall also include discussion of the six behaviorally-based DCIPS performance elements (the "how" of performance) described in subparagraph 3.b.(2)(b) of this enclosure. These six elements are evaluated independently of the performance objectives.

b. Rating officials (in collaboration with the supervisor when the supervisor is not the rating official) and employees shall engage in continuing dialog throughout the performance evaluation period to manage performance. Dialog shall focus on progress against performance objectives and events or obstacles that may occur during the evaluation period that could prevent successful achievement of those objectives. Any resulting modifications or formal changes in the objectives against which the employee is working should be documented at the time they are identified up to the final 90 days of the evaluation period. Additional dialog should also be ongoing throughout the evaluation period, focused on the developmental needs of the employee to increase effectiveness and on other factors within the control of the employee or supervisor that may contribute to the success of the employee and the organization. At least once during the performance evaluation period, generally at the midpoint of the period, the supervisor (in conjunction with the rating official when the supervisor is not the rating official) shall document formally the performance discussion with the employee.

c. At the end of the performance evaluation period, the employee shall document his or her accomplishments and submit them to the rating official (through the supervisor when the supervisor is not the rating official) as an element of the formal evaluation of performance for the year. The formal evaluation of the employee's performance shall include an evaluation of the extent to which the employee achieved his or her performance objectives, an evaluation of how the employee performed against the six performance elements that contribute to success, and an overall summary evaluation of record. The evaluation of the employee's performance against performance elements shall consider the extent to which the employee fulfilled his or her accountabilities under paragraph 1.f. of this enclosure.

3. <u>PERFORMANCE PLANNING</u>

a. <u>Elements of Performance Planning</u>. Performance planning shall include dialog between the rating official (in collaboration with the supervisor when the supervisor is not the rating official) and the employee to:

(1) Establish performance objectives, generally three to six, that are aligned to the goals and objectives of the NIS, the Department of Defense, and the employee's organization and that set specific performance targets for the individual.

(2) Ensure employee understanding of the relationship between the performance elements discussed in subparagraph 3.b.(2)(b) of this enclosure and the performance objectives.

(3) Establish specific developmental objectives in an IDP that are keyed to the attainment of competencies and skills critical to success in the job and the employee's career field, but that may not have been required qualifications for selection to the position.

(4) Establish the criteria against which the employee's success shall be measured.

b. <u>Annual Performance Plan</u>

(1) <u>Purpose and Requirements</u>. The annual performance plan shall be prepared as a record of the performance planning process in accordance with these requirements:

(a) Every eligible employee shall be issued a written performance plan and IDP by the rating official (in collaboration with the supervisor when the supervisor is not the rating official) at the beginning of the annual evaluation period each year.

(b) Employees assigned to a position at the beginning of the evaluation period shall have approved performance plans and IDPs not later than 30 days after the beginning of the evaluation period.

(c) Employees newly-appointed or newly-assigned to a position shall have approved performance plans and IDPs not later than 30 days from the date of appointment to the position.

(d) Rating officials (in collaboration with the supervisor when the supervisor is not the rating official) shall establish performance plans in consultation with their employees.

(e) Reviewing officials shall review and approve each performance plan to ensure its consistency with organizational goals and objectives; appropriateness to employee experience, developmental needs, and work level; and equity with other plans within the purview of the reviewing official.

(2) <u>Performance Objectives and Elements</u>. The performance plan shall address:

(a) <u>Performance Objectives</u>. Each performance plan generally should include three to six performance objectives aligned with the objectives of the NIS, the Department of Defense, and the employee's organization.

     1. <u>Non-Supervisory Performance Objectives</u>

       <u>a</u>. Each non-supervisory employee shall be assigned performance objectives appropriate to the employee's pay band and career or occupational category. Each objective shall be derived from organizational goals and objectives and shall be a critical element of the employee's job. Each objective shall also be structured such that it is specific, measurable, achievable, relevant, and time-bounded (SMART) in accordance with guidance provided in Enclosure 3.

       <u>b</u>. Each performance objective shall include specific information on how achievement of the objective shall be measured.

     2. <u>Supervisory and/or Managerial Performance Objectives</u>

       <u>a</u>. Supervisors and managers under a DCIPS performance plan are accountable for achieving work results through subordinates. Therefore, performance objectives for supervisors and managers shall be prepared to reflect their progressively more demanding leadership role. Individual objectives shall be appropriate to the level of supervisory or managerial responsibility and pay. Objectives for the first-level supervisor should reflect responsibility for leading and managing the work and professional development of his or her direct report employees. Objectives for second- or higher-level managers should reflect their responsibility for setting the goals and direction of the unit, acquiring resources necessary for success, engaging in ongoing evaluation of results, and implementing necessary course corrections in pursuit of results. Enclosure 3 provides specific guidance for preparing supervisory and managerial objectives.

       <u>b</u>. Rating officials shall provide subordinate supervisors and managers specific information on how achievement of objectives will be measured.

(b) <u>Performance Elements for All Employees</u>. All employees, both non-supervisory and those holding supervisory or managerial positions, shall be rated against the six behaviorally-based performance elements described in subparagraphs 3.b.(2)(b)<u>1</u>. through 3.b.(2)(b)<u>6</u>. of this enclosure. For supervisors and managers, the focus of each performance element shifts from the behaviors inherent in non-supervisory positions to those required of supervisors and managers responsible for leading the work of the organization. Performance expectations, even if not stated in a specific performance objective, include certain behavioral expectations that are related to an employee's conduct in the workplace and his or her approach to accomplishing specific performance objectives, including carrying out performance management responsibilities of this Volume. These aspects of an employee's performance are captured in the performance elements against which all employees shall be rated. Enclosure 4 to this Volume will contain specific performance standards that operationalize performance elements to the career field and pay level of the employee.

1. 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.

2. 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.

3. 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.

4. 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.

5. 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.

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

(c) Performance Elements for Supervisors and Managers. DCIPS supervisors and managers shall be evaluated on the managerial portion of the elements in subparagraphs 3.b.(2)(b)1. through 3.b.(2)(b)4. of this enclosure. In addition, in place of those elements in subparagraphs 3.b.(2)(b)5. and 3.b.(2)(b)6. of this enclosure, they shall be covered by:

1. 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.

2. 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.

(3) Communicating the Performance Plan. Communications between rating officials (in collaboration with the supervisor when the supervisor is not the rating official) and employees is critical to the success of the performance management process; therefore, communication between the employee and the supervisor regarding the content and expectations contained in the performance plan is critical to setting the tone for the annual performance management process. The initial dialog between the employee and the supervisor sets the stage for follow-up midpoint and evaluation reviews throughout the evaluation period.

(a) Performance objectives shall be communicated to the employee in writing within 30 days after the beginning of the evaluation period and whenever there is a need to modify an existing objective or add new objectives as a result of changes in mission priorities.

(b) Dialog on the performance plan shall include but not be limited to:

1. The relationship between the employee's performance objectives, the goals and objectives of the local work unit, and the broader strategic objectives for the current and future years contained in the NIS, Defense Intelligence guidance, and the goals and objectives of the employee's organization.

2. Examples of how the supervisor shall assess employee accomplishments against performance objectives (quantitative and qualitative).

3. The relationship between the performance elements and standards against which the employee shall be assessed and the accomplishment of performance objectives.

c. Annual IDP

(1) Every eligible employee shall be issued a written IDP by the rating official (developed in collaboration with the supervisor when the supervisor is not the rating official) at the beginning of the annual evaluation period.

(2) Employees assigned to a position at the beginning of the evaluation period shall have approved IDPs not later than 30 days after the beginning of the period.

(3) Employees newly-appointed or newly-assigned to a position shall have approved IDPs not later than 30 days from the date of appointment to the position.

(4) Rating officials (in collaboration with the supervisor when the supervisor is not the rating official) shall establish IDPs considering input from their employees.

(5) Reviewing officials shall review and approve each IDP to ensure its consistency with organizational goals and objectives; appropriateness to employee experience, developmental needs, and pay level; and equity with other IDPs within the purview of the reviewing official.

(6) Volume 2010 of this Instruction will contain guidance for the development of IDPs.

d. Approval of Performance Plans. 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 the performance plan and IDP and the manner in which it was communicated (face-to-face, e-mail, fax, etc.) to the employee.

4. MANAGING PERFORMANCE

a. Monitoring. Rating officials are responsible for managing the performance of subordinates to achieve the goals and objectives of the organization. To be effective in their role, rating officials shall (in collaboration with the supervisor when the supervisor is not the rating official):

(1) Engage in dialog throughout the evaluation period with their employees concerning their progress toward achieving performance objectives, behaviors related to successful performance, and their individual development.

(2) Hold one or more formal performance reviews with each employee during the evaluation cycle and document at least one review conducted at the midpoint of the evaluation period.

(3) Maintain performance and development information on their employees to be used to provide feedback and conduct the end-of-year performance evaluation.

(4) Update performance objectives in consultation with the employee when changing priorities or conditions beyond the control of the employee and/or supervisor indicate a need for change.

(5) Anticipate and address performance deficiencies as they appear.

(6) Acknowledge and reinforce effective behaviors demonstrated by the employee in the accomplishment of his or her job objectives.

b. <u>Active Engagement</u>. Actively managing employee performance during the evaluation period serves to increase the productivity and morale of the work unit by reinforcing the effective behaviors of the most productive employees and ensuring early intervention to address performance deficiencies when they may occur.

c. <u>Dialog and Feedback</u>

(1) Rating officials (in collaboration with the supervisor when the supervisor is not the rating official) shall provide regular and timely feedback to all employees throughout the evaluation period regarding their performance. Regular dialog regarding performance is the primary means by which rating officials and employees ensure optimal accomplishment of organizational objectives. Feedback should be provided in the form of a two-way dialog during which the employee and rating official identify what is going well, how performance may be improved, and whether performance objectives require adjustment. Face-to-face is the preferred method of rating official and employee dialog. However, where geographic or other forms of separation make routine face-to-face meetings difficult or impossible, other means such as telephone or e-mail exchanges should be used to ensure that ongoing dialog takes place.

(2) Although rating officials are primarily accountable 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 their rating officials to ensure there is a common understanding of expectations and progress against performance objectives.

d. <u>Minimum Period of Performance</u>. Unless otherwise excluded, this Volume applies to employees who at a minimum have been or are expected to be appointed or assigned to a DCIPS position and performing under an approved DCIPS performance plan for at least 90 days during the current evaluation period, but not to extend beyond the September 30 end-of-rating-period date. Periods of less than 90 days not included in the current evaluation period will be covered in the subsequent evaluation period.

(1) Only continuous performance in a DCIPS position or in an approved detail or assignment to a non-DCIPS position may be used to satisfy the 90-day minimum period described in paragraph 4.d. of this enclosure.

(2) Employees who have performed the minimum period shall be issued an evaluation of record in accordance with the procedures prescribed by this Volume.

(3) Employees who have not completed the minimum period of performance during the applicable evaluation period shall not be rated, and therefore generally will not be eligible for a performance payout except as specifically authorized by the policies and procedures in Volume 2006. Employees who are not ratable because they have not or will not have performed the minimum required period of service shall be advised by the rating official during the initial performance planning session.

e. Adjustment of Performance Objectives During the Evaluation Period. Performance objectives should be reviewed regularly by the employee and the rating official and adjusted when necessary to reflect changing priorities of the organization or when unanticipated events beyond the control of the employee and rating official make the performance objective unachievable. When adjusting performance expectations, supervisors and employees must follow the requirements for planning, communicating, monitoring, and assessing expectations established in this Volume. Adjustments to or changes in performance objectives shall be approved by the reviewing official prior to effecting any change. An employee must be assigned a modified or new objective for at least 90 days to be rated on that objective.

f. Adding Performance Objectives. When new performance objectives are assigned to an employee during the evaluation period (e.g., due to a job change, additional duties, promotion, change in organizational objectives), the new objectives must be structured such that they can be accomplished during the remaining portion of the evaluation period. New objectives must be added to the performance plan at least 90 days prior to the end of the evaluation period to be included in the annual evaluation of performance.

g. Mandatory Midpoint Performance Review. Feedback between the rating official and employee should be continuous throughout the evaluation period. However, in addition to ongoing feedback, rating officials shall conduct and document at least one formal performance review for each of his or her employees at or near the midpoint of the evaluation period. During this review, the rating official and employee shall discuss achievements to date against performance objectives and any areas for improvement. Both the supervisor and employee shall examine current performance objectives to determine whether adjustments are necessary, and shall formally document any required changes to the objectives for the remainder of the year in accordance with the instructions in paragraph 2.b. of this enclosure.

(1) For employees who are on track to meet or exceed expectations for their performance objectives, the rating official shall 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. Any documentation will be maintained as a part of that employee's official performance record.

(2) For employees who are experiencing difficulties in achieving their objectives or are otherwise at risk of receiving a rating lower than "Successful," the rating official shall document and retain for the record all performance deficiencies and all actions the rating official and employee will take during the period leading to the evaluation of record to improve performance

to the "Successful" level. Documentation for the record shall be maintained as part of the official performance record.

(3) The employee shall be given a copy of the midpoint review document. The rating official shall record in the performance evaluation system the employee's receipt of the midpoint review and the manner in which the review was communicated.

(4) If the rating official is not available to conduct the mandatory midpoint review, the reviewing official or other more senior management official in the employee's direct chain of supervision with knowledge of the employee's performance shall conduct the review.

5. DEVELOPING PERFORMANCE

a. Employee Development. Developing employee skills and abilities to contribute to the intelligence mission is an integral part of the performance management process. Rating officials (in collaboration with the supervisor when the supervisor is not the rating official) are responsible for including in performance management dialog the individual developmental needs of each of their employees.

b. Monitoring Progress Against the IDP

(1) Rating officials (in collaboration with the supervisor when the supervisor is not the rating official) and employees shall jointly review progress against the objectives of the IDP as part of the ongoing dialog process during the evaluation period. Volume 2010 of this Instruction will provide specific guidance on the IDP process.

(2) During the formal midpoint performance review, rating officials (in collaboration with the supervisor when the supervisor is not the rating official) shall address progress against the IDP and its relationship to accomplishment of employee performance objectives. Rating officials should make specific reference to the relationship between IDP objectives and improving competence in areas addressed by the performance elements, and to other career-group-specific and occupational-category-specific competencies from which the performance elements were derived. The performance elements and related competencies form the basis for supervisors to assist their employees with the individual development required for continued improvements in their ability to contribute to the intelligence mission.

(3) Rating officials are responsible for ensuring that employees have access to resources including internal and external training, mentoring, and assignments throughout the IC; individual coaching by the rating official (and the supervisor when the supervisor is not the rating official); and other resources that contribute to the success of employees when measured against their performance plans and IDPs and to improved productivity of the organization. Volume 2010 of this Instruction will provide additional guidance on development and the IDP process.

c. <u>Addressing Needs for Performance Improvement</u>. Rating officials are accountable for early identification of employee performance issues that may lead to an annual summary rating of less than "Successful." They are also accountable for early identification of employees who are not on track to meet their performance expectations. Early action is essential to improving performance or setting the stage for further action when performance does not improve to the "Successful" level or higher, including adverse personnel action in accordance with procedures to be prescribed in Volume 2009 of this Instruction.

(1) <u>Early and Frequent Dialog</u>. At the first indication that an employee is not on track to meet his or her performance expectations for the year, the rating official (in collaboration with the supervisor when the supervisor is not the rating official) shall schedule a feedback session with the employee to explore the performance issues and set a documented course of action for improving performance during the remainder of the evaluation period. Feedback shall include:

(a) Discussion of the specific areas in which performance improvement is required including restatement of the expectations for specific results and behaviors, exploration of barriers to success, and specific actions that the employee and supervisor shall take to improve performance.

(b) Identification of resources available to improve performance including offering the employee the support that is most likely to contribute to performance improvement, such as additional job-specific training, performance coaching, frequent follow-up performance review sessions, or such other support as may be indicated.

(2) <u>Documentation</u>. If, in the rating official's judgment, an employee's performance is such that failure to improve could result in a summary evaluation of "Unacceptable" or "Needs Improvement" at the end of the evaluation period, the rating official shall document feedback sessions with the employee throughout the remainder of the evaluation period. Documentation shall be provided to the employee and shall include, at a minimum, a statement of the performance requiring improvement, the performance improvement actions that the supervisor and employee have agreed to implement, and the consequences of failure to demonstrate acceptable performance improvement.

(3) <u>Disciplinary and Adverse Action</u>. If the rating official believes an employee's performance may warrant adverse action at or before the end of the evaluation period, he or she shall follow the procedures in Volume 2009 of this Instruction. Rating officials should seek advice from their servicing human resources professional on the appropriate actions to be followed in accordance with Volume 2009.

6. <u>END-OF-YEAR PERFORMANCE EVALUATION</u>. The end-of-year performance evaluation prepared by the rating official (in collaboration with the supervisor when the supervisor is not the rating official) provides the official documentation of the performance evaluation period. If done in the manner prescribed in this Volume, the evaluation of record provides an official record of the ongoing performance dialog between the rating official and employee that has taken place over the course of the evaluation period. The written evaluation

captures for the record the employee's accomplishments against agreed-upon performance objectives and his or her performance against the standards for the six performance elements, and provides an official evaluation of record that will inform the pay-setting process in the annual performance-based pay-decision process.

a. <u>Rating Performance Objectives</u>

(1) <u>Employee Self-Report of Accomplishments</u>

(a) Employees are the most knowledgeable source of their individual accomplishments against their objectives. To continue the performance dialog between supervisors and employees into the performance evaluation process, employees are expected to submit a personal report of their accomplishments for the evaluation period. The report shall address accomplishments against each performance objective. The employee self-report of his or her accomplishments should also address performance elements. It will become a part of the performance record and shall be used by the rating official as input to his or her evaluation of the employee's accomplishment in the end-of-year performance evaluation. When employees and rating officials differ in their perceptions of accomplishments, the rating official shall address the differences in the end-of-year performance dialog.

(b) To facilitate completion of the self-report of accomplishments, employees are encouraged to maintain a record of their accomplishments throughout the evaluation period.

(c) Employees will complete their self-report of accomplishments and forward it to the rating official according to a schedule determined by the Component, but not later than 15 calendar days following the end of the evaluation period. Component guidance may require that self-reports be completed prior to the end of the evaluation period, but shall ensure that all performance during the period is documented and considered in the evaluation process.

(2) <u>Rating Official Evaluation of Performance</u>. The rating official (in collaboration with the supervisor when the supervisor is not the rating official) shall prepare a narrative and numerical evaluation for each eligible employee in accordance with guidelines prescribed in this Volume.

(a) The rating official shall prepare a brief narrative evaluation of the employee's accomplishments for each performance objective with appropriate consideration of the employee's self-report. The effects of the employee's accomplishments on the organizational goals and objectives should also be addressed.

(b) Accomplishment of performance objectives shall be rated using a 5-point rating scale as described in Table 1.

(c) Separate numerical ratings shall be assigned to each performance objective. Each numerical rating shall take into account the degree to which the objective was achieved in accordance with the guidance in Table 1. A rating of "1," "Unacceptable," on any performance

objective shall result in a summary objective rating of "Unacceptable" and an overall summary rating of "Unacceptable."

(d) An overall rating for accomplishment of performance objectives shall be assigned by computing the arithmetic average of all assigned performance objective ratings. The overall rating for performance objectives shall be rounded to the nearest tenth of a point using standard rounding procedures.

(e) Objective ratings of "Not Rated (NR)" shall not be included in the computation of overall summary average ratings.

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.	The employee consistently performed all key behaviors at an exemplary level on the element.
	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.	At the summary level, the employee consistently performed at an exemplary level on all performance elements.
	Such exemplary achievements serve as a role model for others.	The employee served as a role model for others.
EXCELLENT (4)	The employee surpassed expected results in a substantial manner on the objective.	The employee demonstrated mastery-level performance of the key behaviors on the element.
	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.	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.

ENCLOSURE 2

Table 1. Performance Objectives and Element Rating Descriptors, Continued

GENERAL STANDARDS		
PERFORMANCE RATING	OBJECTIVES DESCRIPTORS	ELEMENT DESCRIPTORS
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.

b. Rating Performance Elements

(1) Each performance element for an employee shall be rated using the 5-point rating scale in Table 1. Performance against each element shall be rated by comparing employee performance against the narrative behavioral descriptors for each element contained in the performance standards arranged by career cluster and pay-band level. The rating for an element shall be the highest level within the standard descriptors for which the employee fully meets the letter and intent of the element rating. If the employee does not fully meet the behavioral descriptor, the rating shall be assigned to the next lower level. The "NR" rating may

not be used for performance elements. Any employee who has met the minimum requirements for receiving a performance rating shall be rated on all performance elements.

(2) The rating official shall prepare a brief narrative summary of the employee's performance against each of the six DCIPS performance elements. The narrative shall highlight brief examples of employee actions that support the numerical rating assigned in accordance with Table 1.

(3) An employee's overall rating against the six performance elements shall be computed by taking the arithmetic average of the individual ratings for all of the performance elements. The overall rating for performance elements shall be rounded to the nearest 10th of a point using standard rounding procedures.

c. Performance Evaluation of Record

(1) All employees shall receive an overall performance evaluation of record that reflects the combined accomplishments against objectives and performance against the six performance elements. The evaluation of record shall be computed by calculating the arithmetic average of the overall performance objectives rating and the overall performance elements rating, except when the employee has received an overall rating of "1" for accomplishment of performance objectives. This overall average rating will be the arithmetic average of the average performance objectives rating and the average performance elements rating, except that an overall summary evaluation of record of "1" shall be assigned if an evaluation of "Unacceptable" is assigned to any performance objective. The average rating shall be rounded to the nearest tenth of a point and converted to an evaluation of record rating and descriptor using the standards in Table 2 as a guide. Ratings of record will be converted to and recorded as a whole number using Table 2.

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.

(2) Any employee who receives a summary rating of "1" on the performance objectives shall receive an evaluation of record of "1" or "Unacceptable."

(3) Rating officials shall complete their evaluation of employee performance within 30 days following the end of the evaluation period.

d. Reviewing Official's Evaluation of Performance

(1) The rating official shall forward the completed evaluation of record to the reviewing official prior to discussing the evaluation with the employee. The inclusion of the reviewing official in the performance evaluation process prior to providing feedback to the employee is not intended to limit ongoing dialog between the rating official and the employee. Rather, it is to ensure that the rating official has considered the perspective of the reviewing official from his or her vantage point over several organizational units to ensure there is common understanding and interpretation of expectations and standards across the organizational units.

(2) The reviewing official normally shall be the rating official's rater; however, it may also be another official in the management chain above the rating official.

(3) Reviewing officials shall review numerical and narrative ratings provided by the supervisor for consistency with guidance provided by the reviewing official at the beginning of the evaluation period; congruence between numerical ratings assigned and supporting narrative; consistency across rating officials within the reviewing official's organizational elements; compliance with merit system principles; and adherence to other relevant policy.

(4) On completion of his or her review, if the reviewing official agrees with the evaluation provided by the rating official, he or she shall provide concurrence and may provide additional narrative based on first-hand knowledge of the employee's work and impact that would further clarify the employee's contributions for consideration during the pay pool decision process.

(5) If the reviewing official does not agree with the narrative or numerical ratings provided by the rating official, the reviewing official shall return the evaluation to the rating official. The rating official and reviewing official will discuss the areas of disagreement, preferably in a face-to-face conversation. However if that is not possible, the reviewing official should provide written feedback to the rating official on the areas of disagreement and the recommended remediation. If the rating official does not accept the reviewing official's suggested changes, the reviewing official may direct a change in the rating necessary to ensure consistency in the application of standards and guidance within the reviewing official's purview. The basis for the directed change in rating shall be documented and maintained by the reviewing official until all actions relative to the annual performance evaluation and pay-decision processes are completed and closed.

(6) The reviewing official shall complete his or her review of all performance evaluations within his or her purview within 45 days following the end of the evaluation period.

e. PM PRA Review of Performance Evaluations of Record. Concurrent with the reviewing official's action, all evaluations of record are forwarded to the PM PRA for final review to ensure consistency across supervisors and reviewing officials and compliance with applicable laws and regulations.

(1) When the PM PRA determines that there are inconsistencies requiring action, the PM PRA shall seek to resolve the apparent discrepancies with the accountable reviewing officials. The PM PRA must consult with legal counsel to ensure his or her actions conform to law.

(2) Where appropriate, the PM PRA may suggest corrective action prior to approval of ratings by the reviewing officials to ensure the integrity of the performance evaluation process.

(3) The PM PRA shall complete the performance evaluation review process not later than 45 days following the end of the evaluation period.

f. Communicating the Evaluation of Record to the Employee

(1) Rating officials are responsible for providing feedback to employees on their evaluation of record on receipt of approval of evaluations from the reviewing official and the PM PRA. The dialog on the formal performance evaluation document should represent the culmination of year-long ongoing feedback between the supervisor and employee regarding performance.

(2) Feedback provided to the employee should include a discussion of the accomplishments during the year and how work-related behaviors captured in the performance elements may have contributed to or inhibited overall success. The discussion should also focus on achievements against developmental goals for the year and what additional developmental objectives may contribute to continued improvements in employee performance.

(3) If an employee disagrees with the ratings on the performance evaluation, the employee should first contact the rating and reviewing officials within 5 days of the employee's receipt of the rating to resolve the disagreement informally. The rater and/or reviewing official are expected to respond to the employee within 5 days from the day the employee raises the disagreement. If the employee, rater, and reviewer are unable to resolve the employee's issue within this 10-day period, the employee may pursue the formal administrative reconsideration process delineated in paragraph 9.c. of this enclosure.

7. INTERIM PERIODS OF PERFORMANCE DURING THE PERFORMANCE EVALUATION PERIOD. During the annual performance evaluation period, events may occur that result either in a change of the rating official or a reassignment of the employee, or that remove an employee temporarily from direct supervision of the rating official as a result of temporary assignments or deployments that do not result in a change in the rating official. The special procedures intended to address these special situations are:

a. Closeout Performance Evaluation. When the rating official will no longer be the employee's rater, the rating official shall complete a brief narrative description of the employee's performance, accomplishments, and contributions during the current evaluation period and assign numerical evaluations to the performance elements, objectives, and overall evaluation in accordance with the end-of-year performance evaluation process. Closeout performance evaluations shall be approved by a reviewing official and reviewed by the PM PRA as with the evaluation of record. Generally, this situation exists on reassignment or separation of either the employee or rating official.

(1) A closeout performance evaluation is required only when the rating official and employee relationship has existed with an approved performance plan for a period of at least 90 days. However, closeout performance evaluations may be completed for periods of less than 90 days in accordance with Component internal policy or at the request of the employee.

(2) Closeout performance evaluations shall be completed on all employees detailed to another organization and on deployments for periods of 90 days or more. Such evaluations shall be completed by a supervisor or manager responsible for the employee's work while on detail or deployment. The completed closeout evaluation shall be forwarded to the employee's rating official for consideration in the preparation of the evaluation of record.

(3) Rating officials shall consider information contained in all closeout performance evaluations when determining the annual evaluation of record for pay-decision purposes.

(4) A closeout performance evaluation will become the final evaluation of record, rather than input in developing the final evaluation of record, in circumstances where the final evaluation of record can not be completed. When such occurs, employees must be informed and must be advised of the process to resolve disputed ratings under Section 6.f.(3) and Section 9.c. of this enclosure that apply. Timelines begin the date the employee has been informed that the closeout performance evaluation has become the evaluation of record.

b. Interim or Temporary Assignment Report of Performance. Many employees within the DoD Components with DCIPS positions are called upon to accept temporary or interim assignments and deployments in support of the national and Defense Intelligence missions. Often these assignments may be for periods of 90 days or less, but during which time the employee is making significant contributions to the mission of the Department of Defense or the IC. For such assignments it is important that the contributions of the employee be officially documented for consideration during the end-of-year performance evaluation process.

(1) For periods of deployment or temporary assignment for 90 days or less or that otherwise do not require a closeout performance evaluation, the supervisor at the location of deployment or temporary assignment who is knowledgeable of the employee's contributions to that organization shall complete a brief narrative of the employee's contributions during the deployment for submission to the employee's rating official.

(2) In their submission of accomplishments for either the full annual or close-out evaluation period, employees should include a brief summary of their accomplishments during

any deployments or temporary assignments completed during the current performance evaluation period.

(3) Rating officials are responsible for ensuring that all periods of deployment or temporary assignment in support of the DoD and IC mission are considered and documented during the end-of-year performance evaluation.

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 this enclosure.

(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 this enclosure.

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.

9. CHALLENGING THE EVALUATION OF RECORD. This section describes the DoD reconsideration process for DCIPS evaluations of record. If after discussion with the rating and reviewing official as provided by subparagraph 6.f.(3) of this enclosure, or in lieu of such

discussion, the employee continues to disagree with the ratings, the employee may seek formal reconsideration of the rating by the PM PRA. The administrative reconsideration process described is the exclusive formal process by which DCIPS employees may challenge their evaluation of record pursuant to this Volume. Employees may not challenge a midpoint review or an interim assignment report of performance. Allegations that an evaluation of record was based on prohibited considerations such as race, color, religion, sex, sexual orientation, national origin, age, physical or mental disability, or reprisal; on prohibited personnel practices; or on protections against whistleblower reprisal shall be processed through the Equal Employment Opportunity discrimination complaint procedure, DoD Component administrative grievance processes, the DoD Component inspector general or office of special counsel, if applicable, or other appropriate avenues rather than the reconsideration process.

a. Alternative Dispute Resolution. Alternative dispute resolution may be pursued at any time during the reconsideration process consistent with DoD Component policies and procedures.

b. Relationship to Compensation. In the event of a decision to adjust an evaluation of record, all compensation decisions that have been made with regard to the individual based on the adjusted evaluation of record must be reviewed for adjustment as appropriate. Any adjustments to compensation shall be retroactive to the effective date of the original compensation decision. Decisions made through this process shall not result in recalculation of the payout made to other employees in the pay pool.

c. Procedures for Administrative Reconsideration

(1) An employee seeking reconsideration of the evaluation of record must submit a written request for reconsideration to the PM PRA with a copy to the rating official, the reviewing official (if different from the PM PRA), and the servicing human resources office (HRO). The request for reconsideration must state the basis for the disagreement about the ratings and explain how any discussion with the rating and reviewing official has not resolved the matter.

(a) An employee who has attempted to resolve the disagreement informally as described in subparagraph 6.f.(3) of this enclosure shall have 10 days from the date he or she receives a decision from the rater and/or reviewing official about the disagreement to initiate the formal administrative reconsideration process.

(b) An employee who has not pursued an informal resolution of the evaluation of record disagreement shall have 10 days from the receipt of the evaluation of record to initiate the formal administrative reconsideration process.

(2) An employee seeking administrative reconsideration may identify someone to act as his or her representative to assist in pursuing the reconsideration request. The employee representative may not have any conflict of interest with regard to the employee's request for reconsideration. The PM PRA shall determine whether there is any potential conflict of interest that may affect the reconsideration process.

(3) The request for reconsideration must be in writing and may include a request to personally address the PM PRA. The request must include a copy of the evaluation of record being challenged, state what change is being requested, and provide the employee's basis for requesting the change.

(4) Failure to comply with the procedures in this section may result in the PM PRA issuing a written cancellation of the reconsideration request. In this case, a copy of the cancellation shall be furnished to the servicing HRO, the employee's rating official, and the employee.

(5) The PM PRA shall review the request and confer with the rating official and reviewing official (when the reviewing official is not the PM PRA). He or she may conduct further inquiry as he or she deems appropriate. Should the PM PRA direct such additional inquiry, the employee shall be offered the opportunity to review documentation and findings developed during the course of the further inquiry.

(6) If the employee has requested an opportunity to personally address the PM PRA and the PM PRA has approved the request, the PM PRA shall set the date, time, location, and method of communication. To the extent practicable, such events shall be held during the scheduled working hours of the employee.

(7) Within 15 calendar days of the PM PRA's receipt of the employee's written request for reconsideration, the PM PRA must render a written decision. The PM PRA may extend the deadline if necessary by another 15 calendar days. The decision must include a brief explanation of the basis for the decision, and notification that the employee may request further and final reconsideration of the decision by the Head of the DoD Component. A copy of the decision shall be provided to the servicing HRO, the rating official, the reviewing official (when the reviewing official is not the PM PRA) and the employee.

(8) If an employee chooses to request further and final reconsideration of the evaluation of record, a request for reconsideration must be submitted to the Head of the DoD Component with DCIPS positions in accordance with internal Component guidelines within 7 calendar days of receipt of the notice of the PM PRA decision. Within 15 calendar days of receipt of a request for further and final reconsideration, the Head of the Component shall issue a final decision unless he or she determines that further inquiry is required. In such case, the Head of the Component shall advise the employee that a final decision shall be rendered on completion of the inquiry, but not later than 30 calendar days from the date of such notification. A decision by the Head of the Component on the request for reconsideration is final.

(9) If the final decision is to change the evaluation of record, the corrected evaluation shall take the place of the original one. A revised evaluation of record shall be prepared and entered into all appropriate records and a copy shall be provided to the employee, the servicing HRO, and the rating official. The revised evaluation of record shall be retroactive to the effective date of the original evaluation of record.

(10) When calculating time limits under the administrative reconsideration procedure, the day of an action or receipt of a document is not counted. The last day of the time limit is counted unless it is a Saturday, Sunday, legal holiday, or a day on which the employee is not regularly scheduled to work. In those cases, the last day of the time limit shall be moved to the employee's next regularly scheduled workday. All time limits are counted in calendar days.

(11) If the PM PRA or Head of a DoD Component with DCIPS positions grants the employee's request for reconsideration after the annual pay-decision process, the employee's pay decision shall be reconsidered and, if the change in rating so indicates, shall be changed to be consistent with the pay decisions for other similarly situated employees within the employee's pay pool. The new pay decision shall be made retroactive to the effective date of pay pool decisions that have been made within the employee's pay pool in accordance with Volume 2012 of this Instruction.

ENCLOSURE 2

ENCLOSURE 3

GUIDELINES FOR WRITING PERFORMANCE OBJECTIVES

1. <u>OVERVIEW</u>. Individual performance objectives against which employees work are critical to linking the individual employee to the mission, goals, and objectives of an organization.

    a. From the perspective of the organization, each individual performance objective assigned to an employee, if prepared thoughtfully, accomplishes one element of the organization's strategic goals and objectives. Taken in sum, the aggregate accomplishment of goals assigned to the organization's workforce, from the file clerk who ensures organizational records are properly accounted for and retrievable to the senior executive responsible for leadership of a major mission area, produce mission success for the organization.

    b. From the perspective of the personnel management system, the performance objective as an element of the performance system provides the means by which the individual employee understands his or her role in the organization. It also provides the means by which the supervisor is able to observe, measure, and intercede as necessary as employees work against their individual and collective performance objectives. As accomplishments are aggregated upward through the organization, the collective accomplishments against all performance objectives provide organizational leaders with direct measures of the achievements of their organizations.

2. <u>THE SMART OBJECTIVE</u>

    a. For most supervisors and managers, providing employees with written performance objectives and a formal performance plan as part of the performance expectations discussion at the beginning of the evaluation period may seem to be a new requirement. Historically, however, supervisors generally have told employees orally what they were expected to do and achieve during the evaluation period. In some cases, this may have involved providing the employee a copy of his or her job description that laid out the duties of the position. In other cases, supervisors provided specific expectations such as production and quality standards. Such expectations most often were used in jobs that involved repetitive processing such as voucher examining, insurance claims processing, or security adjudications.

    b. For DCIPS employees, performance objectives are the most important element in the pay-decision process and also influence the promotion and assignment selection processes. Consequently, employees and managers must have confidence that performance objectives are written and evaluated in a manner that ensures equity and fairness within every organization and across all career groups.

    c. DCIPS employees, managers, and oversight bodies shall judge both the quality and fairness of objectives in an employee's performance plan in terms of how each objective is structured in accordance with sections 3 and 4 of this enclosure.

3. <u>WRITING SMART OBJECTIVES FOR EMPLOYEES</u>. For there to be a common understanding between the supervisor and employee on what the employee is expected to achieve during the performance evaluation period, individual employee objectives must be clearly identified.

   a. <u>Performance Objectives are not Duty Statements</u>. A performance objective is significantly different from a duty statement in a position description. The duty statement sets boundaries within which an employee is expected to carry out his or her responsibilities. It is intentionally vague with regard to individual assignments because it is designed to provide a durable framework within which employees will be assigned work over time. For example, a duty statement might specify that an employee will "conduct substantive analyses of the economies of the Middle Eastern countries, providing written predictive analyses of leadership responses to existing or changing economic conditions within the region." Such a statement provides sufficient information to judge the experience and qualifications of the type of analyst who might hold the position. It also establishes the types of work assignments that the employee in the position should expect to be assigned. However, it does not provide specificity on the priorities of the organization or on the manner in which specific analytic assignments are to be selected, carried out, or assigned. It also does not provide conditions under which the assignment shall be undertaken (as a member of a team, as leader of a team, as an individual contributor, or other conditions) or other details necessary to establish clear understanding of expectations between the supervisor and employee.

   b. <u>Performance Objectives are Specific</u>. Performance objectives must be more specific than general duty statements. However, they should also be durable. Supervisors should strive to provide employees with three to six performance objectives for the evaluation period, with fewer generally being more effective. For example, an objective derived from the duty statement in the example in paragraph 3.a. of this enclosure would be sufficiently specific for an experienced analyst to understand the expectations for one of his or her work products during the evaluation period. The restated objective might read: "The employee shall complete by August 31 an analysis of the effects of U.N.-imposed sanctions on the Iraqi industrial sector and present the results of that analysis in a finished and appropriately coordinated intelligence report for release to the policy-making community."

   c. <u>Performance Objectives are Measurable</u>. Employees must be provided the criteria against which their accomplishments will be evaluated. In the example in paragraph 3.b. of this enclosure, the work product has been described in terms sufficiently specific for an experienced analyst to understand. However, the supervisor has not yet described the criteria against which the completed work product will be reviewed to determine the extent to which it is responsive to the requirement (i.e., whether the employee has achieved or exceeded expectations). The supervisor might expand on the objective above by stating: "To achieve expectations on this objective, the completed product will make use of available intelligence from all relevant sources; will reflect engagement with other analysts, customers, and stakeholders in the subject of the analysis; will have incorporated the coordinated views of those other analysts and collectors throughout the IC; will be presented in the product style appropriate to the question; and will be timely." For an experienced employee, the standards outlined should be sufficient to

establish the standard review methods that will be applied and any extraordinary expectations that may be added.

(1) During the planning discussion of the performance objective with the employee, it is appropriate that the supervisor discuss the specific relationship between the evaluation of the extent to which the employee has met or exceeded expectations on the objective and relevant performance elements. For example, in this critical thinking, communication and engagement and integration would all be significant in the achievement of the objective.

(2) Employees should be advised that the performance elements will be rated in their own right but will also affect the supervisor's rating official's judgment of the degree to which expectations have been met for the objective.

d. <u>Performance Objectives are Achievable</u>. All performance objectives should be appropriate to the experience, skill, and pay level of the employee. In the example in paragraph 3.b. of this enclosure, the objective may be appropriate to a full-performance or senior analyst. Supervisors may refer to duties described in employee job descriptions or other documentation describing responsibilities for analysts, or in other employee occupational categories, as the basis for establishing the appropriate difficulty for a performance objective. The employee must also have access to the necessary resources to complete the work product. For example, the analyst assigned this objective would require access to the appropriate intelligence on the issue including translation support if applicable, other analysts working the issue, supervisory guidance and feedback as appropriate to his or her experience, and appropriate production support resources. During the performance-planning phase of the evaluation period, the supervisor and employee should establish the level of support necessary to ensure that the objective is achievable.

e. <u>Performance Objectives are Relevant</u>. To be relevant, DCIPS performance objectives must be derived from the NIS, Defense Intelligence Guidance, and the mission objectives of the employee's organization.

f. <u>Performance Objectives are Timely or Time-Bounded</u>. Performance objectives must specify the period during which the objective is expected to be achieved. In the example in paragraph 3.b. of this enclosure, the period has been specified as requiring completion and delivery of the work product by August 31 of the evaluation period.

4. <u>WRITING SMART OBJECTIVES FOR SUPERVISORS AND MANAGERS</u>

a. The underlying principles for writing objectives for supervisors and managers are the same as those for non-supervisory employees. However, the objectives themselves differ because the work products of the supervisor or manager are the work products of the unit, produced through the leadership of subordinate non-supervisory employees, increased workforce capability through supervisory development of subordinates and marshalling of the resources necessary to the success of the unit, and the strategic integration of the work unit into the broader Defense Intelligence and IC leadership activities.

b. Supervisory and managerial objectives are specific to the leadership roles of those holding these types of positions. The objectives for supervisors also differ from those of managers, with supervisors being more intimately involved in shaping individual work products in the unit and developing the skills of the subordinate workforce through individual interactions and coaching. At the managerial level, work activities are more focused on developing the leadership skills of subordinate supervisors, integrating the work of the unit into broader organizational contexts, and obtaining the resources (people, money, equipment) necessary to perform the mission of the work unit.

(1) Using the example for the individual analyst contributor developed in section 3 of this enclosure, the complete SMART objective for the analyst would, following from the managers' objectives through the unit supervisor to the individual employee analyst, be: "The employee shall complete by August 31 an analysis of the effects of U.N.-imposed sanctions on the Iraqi industrial sector and present the results of that analysis in a finished and appropriately coordinated intelligence report for release to the policy-making community. To achieve expectations on this objective, the completed product will make use of available intelligence from all relevant sources, will reflect engagement with other analysts and stakeholders in the subject of the analysis, will have incorporated the coordinated views of those other analysts and collectors throughout the IC, will be presented in the product style appropriate to the question, and will be timely."

(2) For the manager of this unit, the objectives would follow from NIS Mission Objective #5.

(3) If the analyst in the example in subparagraph 4.b.(1) of this enclosure were located in a joint information operations center (JIOC) responsible for Middle Eastern intelligence operations, his or her objectives would follow from Defense Intelligence guidance and from the JIOC manager's objectives, which might include such leadership objectives as: "Develop and implement a strategy for accessing all-source intelligence relating to the JIOC area of operations, integrating the military and civilian workforce within the JIOC, and establishing JIOC objectives that will drive individual performance against the joint national and military intelligence mission, establish success measures against all JIOC objectives, and complete an initial assessment of progress against those measures by the end of the evaluation period."

(4) At the supervisory level, the employee's objectives would again follow from Defense Intelligence guidance but also from managerial objectives. For the supervisor of the analyst in the example in paragraph 3.a. of this enclosure, an objective might include such supervisory objectives as: "Develops the annual operating plan for the unit, developing and communicating specific performance objectives to all subordinate employees, establishing success measures for each objective, and conducting ongoing feedback throughout the evaluation period such that all organizational objectives are met, end-of-year performance feedback is provided to all subordinates in accordance with established guidelines, and reports of accomplishment are provided to JIOC management by the completion of the evaluation period."

GLOSSARY

DEFINITIONS

Unless otherwise noted, these terms and their definitions apply to this Volume of this Instruction and serve as the basic performance management taxonomy for DoD Components with DCIPS positions.

closeout performance evaluation. A narrative description and numeric evaluation of an eligible employee's performance under an approved performance plan when there is a change in the rating official. The closeout performance evaluation is completed by the supervisor or rating official and conveys information regarding the employee's progress toward completion of performance objectives and performance against the performance elements. A closeout performance evaluation is not an evaluation of record, but shall be used to inform the rating official of employee accomplishments and/or needed improvement for the period covered by the evaluation. A closeout performance evaluation may become the final evaluation of record where the final evaluation of record can not be completed.

evaluation of record. The summary performance rating, derived from the employee's ratings on his or her performance elements and performance objectives, assigned during the annual evaluation of employee performance that is used for official purposes, including decisions on pay increases as part of the DCIPS annual pay-decision process.

evaluation period. The annual period from creation of the employee performance plan through completion of the annual performance evaluation and evaluation of record. For DCIPS, the evaluation period covers the period from October 1 through September 30 each year. The effective date of the performance evaluation will be the date on which the reviewer approves the rating, but not later than November 15 each calendar year.

IDP. A document prepared jointly by the supervisor and employee as part of the annual performance planning process that outlines development objectives for the employee. IDPs may include training, education, individual coaching, work assignment, or other activities designed to improve the employee's capability within his or her career field.

interim or temporary assignment report of performance. A narrative description of an employee's accomplishments prepared by a supervisor other than the rating official during an employee's interim or temporary assignment or deployment, generally for periods of 90 days or less.

performance element. A standard set of behaviors for all DCIPS positions, derived from analysis of the work being performed by employees, that are necessary for successful performance of that work.

performance evaluation. The written or otherwise recorded evaluation of performance and accomplishments rated against DCIPS performance elements and objectives.

performance feedback. Management or supervisory communication with an employee throughout the evaluation period to convey employee performance levels and progress against the employee's performance plan.

performance objectives. Information that relates individual job assignments or position responsibilities and/or accomplishments to performance elements and standards and to the mission, goals, and objectives of the DoD Component.

performance plan. All of the written or otherwise recorded performance elements, standards, and objectives against which the employee's performance is measured.

performance standards. Descriptors by performance element of "Successful" performance thresholds, requirements, or expectations for each career path and pay band.

PM PRA. 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 oversight of performance management processes. The PM PRA provides merit system oversight of the ratings under its purview, ensures compliance with merit principles, and resolves individual employee requests for reconsideration of ratings. 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.

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

reviewing official. 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.

Appendix M

Performance Element Evaluation Job Aid
When Is Performance Sufficiently Above What Was Expected?

Contents

Note: This job aid focuses on applying the performance standards for the six standard performance elements. It is not designed to replace the IC Performance Standards provided in Volume 2011, rather, it is designed to be used in conjunction with the standards to help Rating and Reviewing Officials find a common understanding of expectations of "Successful" performance, and how performance expectations could be considered to determine if a higher, or lower, rating is appropriate for specific performance elements.

Introduction

The discussions below provide examples seen in actual narrative statements from performance evaluations of record, and provide questions and thoughts Rating Officials and Reviewing Officials could consider individually or in a group setting to support discussion when determining if the performance noted was expected, or substantially exceeded expectations. Rating and Reviewing Officials are encouraged to meet and discuss the behaviors, actions and results that are expected, and then those that would support other ratings that are available in DCIPS in the context of their work unit, and/or position types, work levels and work assigned. While useful to individuals, using this tool in a group or other setting with multiple raters or reviewers supports a shared understanding through discussion.

Officials should recognize that different levels of performance are expected by employees in the different work levels and types of work assigned. While the six performance elements are standard and apply to all, varying levels of performance are expected, for example, performance that is above expectations for a Full Performance Work Level analyst may be exactly what is expected of an analyst at the Senior Work Level. To support consistency, the scope and breadth of both the performance objectives and behaviors considered when evaluating the performance elements should be substantially different at each of the work levels in each of the work categories. As decisions are made in the context of what is expected based on the performance standards, Rating Officials and Reviewing Officials must be able to clearly distinguish between performance that is sufficiently or substantially above expectations as to be rated above "Successful", and then for example, to be rated "Excellent" in comparison that which could be rated as "Outstanding"- all based on the performance standards. Rating Officials and Reviewing Officials must ensure alignment with the performance standards; employees cannot be compared with other employees, their performance must be evaluated against the performance standards.

Finally, when considering the discussions and explanations below, it is important to take into consideration the consistency of the performance and the individual's level of expertise. For instance, performing a significant collateral responsibility above standards and expectations one time during the performance period, may not warrant a higher rating if the rest of the year the employee's performance was as expected, i.e., they were meeting the "Successful" standards. Work that consistently exceeds the "Successful" standards through the reporting period could be performance that is at the "Successful" level, or, considered within the context of impact and results, it could demonstrate performance at the "Excellent" or "Outstanding" level. Exceeding expectations in one part of a performance element, while meeting expectations in most parts of the element is arguably a demonstration of "Successful" performance. Exceeding expectations consistently across all parts of a performance element, and with great impact and results, provides a stronger foundation for a rating above "Successful" than such performance that occurs occasionally or for a limited period of time. The same applies for work that is below the "Successful" level. Not meeting expectations consistently would be indicative of performance that is not at the "Successful" level. It is important to keep in mind that context is important – what was the impact, what were the results of the employee performing above or below the expectation? Doing extra effort on a task that has no mission impact would not be considered as contributing to exceeding expectations.

Considerations as we get started:

- Consistency in application of the performance standards is a requirement of DCIPS Performance Management.

- This tool aims to provide a starting point for answering the challenging question – "When is performance sufficiently more than expected so as to support a higher rating on any one of the standard performance elements?" This tool is created to help start the conversation and the considerations. It focuses primarily on the six standard performance elements, but can help inform discussions on applying standards to performance objectives.

- Doing the types of things noted in the descriptions of the performance elements below and meeting these expectations is indicative of performance at the "Successful" level.   We expect everyone to be successful at what they do.

- Doing more (quantitative), more efficiently, effectively and with better than expected results (qualitative), can be, but is not always, indicative of performance that is above the "Successful" level.   We need to consider how much, how often, and what were the impact and results.

- In assessing the performance, we need to first look at the work expected, and then the work that occurred:

  - Was it a little bit better all the time?
  - Was it moderately better a few times?
  - Was the work just done faster?

- Then, in the context of the above, we need to consider the impact and results of the better and faster.

  - Did it make a difference?
  - How big of an improvement or how great an impact on results was the work?

- After considering these questions, if you can't easily determine the link to improved mission accomplishment, or the impact and results weren't consistent, or were not noticeably more than would be expected, the work is most likely rated appropriately at the "Successful" level.

- When work was consistently better or more than expected with more impact and results than we expected, it is more likely to demonstrate performance above the "Successful" level.

- Worthy of note is that looking at performance elements we are not always looking to see if the employee exceeded the "Successful" standard, we need to consider impact, results and context when considering if employees have fallen below the Successful standard.

The following pages provide thoughts and considerations for each of the standard performance elements in the context of the "Successful" standard. As you review and consider the information provided for each of the standard performance elements, please keep in mind that the standards provided in the beginning of each section are written at the Successful level.

Performance Elements for All Employees, Supervisory and Non-Supervisory

Accountability for Results - Successful Standard: Successful IC 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, 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.

- <u>Turned in project meeting all established standards</u>. Meeting the expectations is indicative of Successful performance. Did the employee overcome severe obstacles to accomplish a major project to standard? Duration, breadth and scope of the project and obstacles are key contributing factors.

- <u>Employee helped out when the office was short-handed; Employee took on other responsibilities</u>. Did the size of the work section/team/group assigned to the effort impact the breadth and scope of the employee's responsibility? We are all doing more with less, but was there something unexpected that this employee overcame that would have sidelined other employees or the effort?

- <u>Employee met deadlines and goals through change in leadership or redirection of a project.</u> Achieving mission success through major change is indicative of "Successful" performance. Was there a special impact or a result that would not have occurred except for this employee's ability to overcome it? Did a last minute change in resources threaten to derail the effort and the employee was able to meet mission regardless? Also, consider turnaround time, resources, or efforts that may have impacted this mission.

- <u>Collaborated with colleagues to provide the best products possible.</u> We expect collaboration to be the norm for all employees, appropriate to work and work level of the employees. Was there something significantly challenging about the scope of accomplishments or results that extended beyond the work section? Did this employee engage in behaviors that had positive effects on the department, organization, other organizations, and/or other components? What impacts and results were seen, in comparison with those expected?

- <u>Turned in all reports on time in final format</u>. Performing all duties at expected levels of quality and quantity is performance at the "Successful" level. Would execution of all duties to near perfection in all aspects of quantifiable duties for the entire performance evaluation period be expected? Improve impact and results? Or mission success? We expect reports to be final and accurate when providing them to customers, providing such, unless substantial unforeseen challenges were overcome, would be performance at the "Successful" level. Consider this in the context of the employee's work level. Did the employee do more; have broader impact and increased results than you would expect at his/her work level? Employees at the Expert Work Level, by definition, should be expected to provide accomplishments with broader scope and apply an expanded depth of knowledge.

- Employee was detailed to a different position and performed well. Was the employee detailed to a position at a higher work level and exceeded expectations at that work? Employees are to be evaluated against standards at their assigned work level. However, meeting expectations while working at a higher work level or different position could be recognized as performance substantially above expectations that warrants a higher rating for the applicable element(s).

- Employee participated in a working group or Represented the office in meetings. Representing the office or component on a collaborative group inside or outside the organization, depending on the work level of the employee, could be the standard of what is expected or alternatively, it could be considered a collateral, or "extra" duty. An employee's performance on that effort needs to be evaluated in light of their work level and expectations of that collateral duty in the context of mission – what was the impact or result that is being measured?

- Selected as employee of the quarter for the organization or office. Selection as employee of the year/quarter or other similar recognition is not in itself justification for a higher rating on a performance element. Look to the work performed during the performance period, and to what the award was recognizing when considering the appropriate rating level for an element.

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

- Authored an article that was published. Authoring an article that was published in a professional journal or by another organization within the IC might be what the employee does for a living, or he or she may have authored the article with quite a bit of assistance from others. Context of the article and relationship to the employee's assigned duties and mission are important when considering if such performance was expected or sufficiently exceeded expectations.

- Served as guest speaker. Taught related course a local community college or NIU. Serving as the guest speaker or lecturer for a professional event or period of instruction in a formal school or training course, especially if by-name requested may go hand-in-hand with the communication expected of an employee, or it may be something truly above and beyond. Just being the guest speaker or lecturer is not in itself a reason for a higher rating on this element. Was engagement like this expected or necessary as a part of his/her work?   Was it directly related to mission and how did the component benefit?   Consider the employee's area of expertise and work level.   An employee is expected to be able to craft messages and make presentations at the appropriate levels for an audience. Was there something about the presentations that may have made this more complex, difficult or challenging? What was the frequency of these engagements? And who was the audience?

- Efforts resulted in accurate and useful report responsive to client's requirements. Accurate and useful information in a product or written or verbal report are expected of "Successful" performance. We don't expect employees to provide anything other than accurate information and appropriate reports. Did employee go above and beyond in linking to seemingly unconnected pieces of information to solve a puzzling question? Was there some impact or result above and beyond that which is expected of most employees at the same work level extended past the work section and had positive effects on the department, organization, other organizations, and/or other components that should be considered?

- Written products rarely required correction in spelling, grammar, or punctuation. There is a general expectation of all employees that written products will rarely require correction in spelling, grammar and punctuation. Meeting this expectation is generally indicative of performance at the "Successful" level. Take a look at the work level and position of the employee to determine if there was something special or a challenge that was overcome in about producing quality reports consistently and be able to justify if this is used to support a higher than "Successful" rating on a performance element.

- Received Office Level recognition for final written product. Awards received or recognition for a written product can fit within expectations, or could indicate performance truly above and beyond expectations. Carefully consider the purpose of the award, the assignment, and work level of the employee. Was there something above and beyond the employee did to earn this award or recognition?

Critical Thinking – Successful Standard: Successful IC employees are expected to use logic, analysis, synthesis, creativity, judgment, and systematic approaches to gather, evaluate and use multiple sources of information to effectively 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.

- <u>Developed new procedures that contributed to the efficiency and effectiveness of the team.</u> Developing new concepts, procedures, or products that meaningfully contributed to the efficiency or efficacy of the work section, directorate or component could be a part of the expectations for an employee. When a Full Performance employee encounters a problem and creates a new system that supports enhanced mission success, considering the work level of the employee, that performance might be appropriate for consideration for rating level above "Successful" if we don't expect that type of critical thinking from everyone at the Full Performance work level, but we could expect such creativity of a Senior or Expert Work Level employee. We have higher expectations for employees at Expert work level.

- <u>Employee's performance performed a service that rendered unique and significant contributions to some aspect of the mission.</u> Unique and significant might read as "above and beyond" but it is important to consider what was done in the context of what was expected. If the employee's task was to solve a specific problem related to mission and he or she did so, performance could be seen as meeting the expectation. Consider not only the impact and results but the context. Was there something that made the performance that much harder or more difficult that we would expect the average employee to have been able to overcome?

- <u>Conducted problem-solving meetings/events to engage others on supporting mission success.</u> Consider the results. Was a solution achieved? Engaging others through meetings and events is expected of all employees. Just engaging others isn't enough to justify a higher rating on this element. Look to impact and results. Consider the work level of the employee and their assigned work. Such engagements should be common place (successful) if the employee is a team lead or supervisor or above the Full Performance work level.

- <u>Applied all relevant standards and critical thinking in providing final or formal intelligence product.</u> Successful employees routinely incorporate all relevant standards and critical thinking structured analysis techniques into formal intelligence products. We expect the product has been well designed, researched, analyzed, etc. What unique technique did the employee bring to the product? Did the application of these techniques have a significant positive impact on mission?

Engagement and Collaboration – Successful Standard: Successful IC employees have a responsibility to provide information and knowledge to achieve results, and in that regard are expected to recognize value, build and leverage diverse collaborative networks of coworkers, peers, customers, stakeholders, and teams, within an organization and/or across the IC. In addition, IC supervisors are expected to create an environment that promotes engagement, collaboration, integration, and the sharing of information and knowledge.

- Employee presented at Peer Conference. Did the employee note a problem or identify when information should be shared on a large scale and in response organized a conference or significant training event with outside agencies to help support mission success? In this context, the event might be worthy of note in supporting a rating on this element above "Successful", but probably wouldn't be enough by itself. Consider the context of the employee's position, their work level, and support they received. An analyst performing this task might be more impressive than if an employee who is expected to plan events as part of their position.

- Represented the office at Industry Conference or at briefing with Hill staffers. We expect all employees to collaborate and leverage networks, so representing the organization or work section at conferences and meetings or other engagements is not necessarily indicative of performance above the "Successful" level. Representing could be anything from taking up a seat to full engagement, answering problems, and providing solutions where other participants need assistance. Consider the employee's position; are they expected to engage in these forums or others? What is the work level of the employee; do we expect them to engage with other components and with senior executives or are such engagements at their level not the norm? Consider the impact and results of their engagements.

- Routinely sought and used feedback from customers to be responsive to their requirements and exceed customer expectations. We expect all employees to seek and apply feedback from customers to ensure we are meeting the customer's requirements and answering the customer's question.   Doing this throughout the process prevents unexpected issues at the end. A focus on mission could put in context of additional complexities, impacts or results that went above and beyond expectations.   We expect all to be responsive to their peers and customers, and requests they received, how much above and beyond that norm did this employee go?

- Routinely creating intelligence products at the lowest classification level and highest releasability to maximize responsible sharing. This statement aligns directly with the measure of "Successful" performance, in fact, this is included in similar language at the Department and IC levels as the expectation for all. Was there a unique impact on mission or an unexpected challenge or result from sharing that would suggest this was substantially more than was expected?

- Employee created products that were used to support a major joint or combined exercise or operation is expected. Consider this in the context of what wouldn't be expected; what was truly above and beyond? Positive customer feedback outlining impact on outcomes is useful, but should focus on how the outcomes exceeded expectations to justify a higher than "Successful" rating on this performance element.

- <u>Engaged and collaborated with colleagues to provide the best products possible.</u> We expect engagement and collaboration to be the norm for all employees, appropriate to the work assigned and work level of the employees. Engagement and collaboration should be considered in the context of providing and sharing information, leveraging and participating in efforts with representatives of other teams, work units, or Components and the results of these efforts. Consider the challenges, was there something significantly challenging about the scope of accomplishments or results that extended beyond what was expected? Or beyond the work unit, or even the Component? Did the employee recognize the value of building networks, meeting and engaging colleagues from outside the work unit? And most importantly, did those networks contribute to results that were better or broader than expected? Did the employee engage in behaviors that had positive effects on the department, organization, other organizations, and/or other components? What impacts and results were seen, in comparison with those expected?   Just engaging with others is not enough, need to focus on the results that benefitted from the engagement and collaboration.

Performance Elements Specific to Non-Supervisors

Personal Leadership and Integrity – Successful Standard: Successful IC 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. 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.

- <u>Consistently acknowledged as a leader amongst his/her peers</u>. Employees are assigned work because they are knowledgeable and successful in meeting expectations, including openness, sharing with coworkers and collaborating. Being the source peers seek out for questions in the employee's are of expertise is expected. Achieving unexpected positive results and impact to mission because of, or in support of being leader among peers.

- <u>Consistently maintained a positive attitude under challenging circumstances and helped motivate peers</u>. Achieving positive results to mission is expected. Did any additional challenges make this noteworthy such as natural disaster, war zone? Consider the context and the frequency whi ch made this difficult – one earthquake in the DC area or daily work for 7 months in a war zone? Positively affecting morale of the team needs to be put in context to show why it was more than expected.

- <u>Quickly and ably adjusted to new authority and responsibility</u>. What is the context of time and level of authority in relation to the expectations for the employee's work and work level? Was this something the employee had been building up to over time by being the "acting" or something thrown at the employee because of unforeseen circumstances. Was this something that occurred throughout the performance period, or in the last two weeks? Consider the work level of the employee. These things put the statement into context to help determine if this was substantially above expected behavior.

Technical Expertise – Successful Standard: Successful IC employees are expected to acquire and apply knowledge, subject matter expertise, tradecraft, and/or technical competency necessary to achieve results.

- Took the initiative to train co-worker(s) on an important, job-related technical skill. This statement probably fits better with one of the other performance elements. Supporting the team, and fellow team members, even peers across the community is expected of all employees. Was there something special here that made this more than expected? Did the employee support the co-workers during a time of heightened work load or mission focus? Did he or she do it better, more effectively or with special methods that supported quicker or better learning on behalf of those being trained? Was this one person being trained or retrained or just receiving updates due to absence from the office for a year or a brand new employee or team of employees? Context is necessary to determine if this was beyond the expectations. "Outstanding".

- Using technical knowledge and/or skill to develop a new process or system that saved resources (e.g., time, funding, and/or staffing). Impact to mission is an important differentiator in the context of the employee's work level. Would you expect employee's at this level to do this, or was this truly above expectations? Does the new process recycle pencil shavings into notepads, or does it make a current product more useful in a combat environment?

- Consistently sought feedback throughout the evaluation period and quickly applied it to produce notably enhanced results. The foundation of DCIPS is engagement with supervisors and supporting mission accomplishment. Seeking feedback, applying it and improving is commendable but is it beyond the expectations? Clarifying the context, impacts and results that show the mission would not have been as successful without this employee evolving beyond expectations could help this statement support a higher rating on a performance element. Without details and a statement of impact, this would be considered standard behavior.

Performance Elements Specific to Supervisors/Managers

Leadership – Successful Standard: IC supervisors and managers are expected to exhibit the same individual personal leadership behaviors as all IC employees. In their supervisory or managerial role, they also are expected to achieve organizational goals and objectives by creating shared vision and mission within their organization; establishing a work environment that promotes equal opportunity, 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 and team excellence, enterprise focus, innovation, and collaboration.

- Assigned credit to subordinates who executed or contributed to products or successful results. This would not justify a higher than successful rating as it is expected that supervisors and managers give credit where credit is due.   Expanding this to show how the supervisor achieved organizational goals by creating shared vision could help expand this statement.

- Developed, implemented, or reinvigorated cost-saving measures or checks on waste/fraud/abuse.   Please see above. While this is good, this is expected in the day-to-day operations of all, specifically managers and supervisors and in doing so, employees are meeting expectations.

- Quickly and ably adjusted to new authority and responsibility. What is the context of time and level of authority in relation to the expectations for the employee's work and work level? Was this something the employee had been building up to over time by being the "acting" or something thrown at the employee because of unforeseen circumstances. Was this something that occurred throughout the performance period, or in the last two weeks? Consider the work level of the employee.

- Assisted and mentored a subordinate in achieving a certification, promotion, or formal award. This statement fits comfortably under the expectations provided in the Successful standard for this performance element. Context could help show why this might be more than expected, but generally, anything related to assisting and mentoring subordinates is expected.

- Actively participated in an event that promoted diversity in the workplace. This statement fits directly under the expectations provided in the standard for this performance element. Actively participating, evening planning or leading an event meets the expectations of all supervisors and managers.

Managerial Proficiency – Successful Standard: Successful IC supervisors and managers are expected to possess the technical proficiency in their mission area appropriate to their role as supervisor or manager. They are also expected to leverage that proficiency to plan for, acquire, organize, integrate, develop, and prioritize human, financial, material, information, and other resources to accomplish their organization's mission and objectives. In so doing, all supervisors and managers are also expected to focus on the development and productivity of their subordinates by setting clear performance expectations, providing ongoing coaching and feedback, evaluating the contributions of individual employees to organizational results, and linking performance ratings and rewards to the accomplishment of those results.

- <u>Ensured all subordinates completed 100% of required training on time</u>. As part of the expectations of a manager or supervisor, they are expected to ensure their subordinates have appropriate career development goals documented and to support achievement of those goals.

- <u>Planned, organized, and executed a conference or significant training event within the organization or across the IC that had a meaningful impact and exceeded expectations</u>. The context of the employee's work level and position need to be considered when looking at this broad statement. We expect any event we support through government resources to have meaningful impact. But how to measure exceeding expectations? Context of impact and results are needed to determine if there was something beyond what was expected related to this effort.

- <u>Achieved mission success despite the work section being understaffed</u>. Did the size of the work section/team/group assigned to the effort impact the breadth and scope of the manager or supervisor's ability to meet mission? We are all doing more with less, but was there something unexpected that this employee overcame that would have sidelined other employees or the effort?

- <u>Adapted to changes in the mission of the work unit</u>. Expected behavior of a manager or supervisor. Context of statement defining impacts and results and changes could help clarify if this performance was beyond what was expected.

- <u>Ensured the effective and timely execution of the budget and spend plan successfully despite fiscal turbulence and uncertainty (e.g., continuing resolutions).</u> This statement defines exactly the performance expected of all managers and supervisors. Was there something, some impact, some restriction, some additional requirement that made timing execution beyond what was expected?

- <u>Seized the initiative to capitalize on an opportunity or prevent a crisis which would have had significant impact on the organization and/or IC</u>. This provides a statement of what we expect from all managers and supervisors. What were the risks and challenges that the manager or supervisor overcame? Why is this considered more than what was expected?