

# 7

## Performance Management

### Lesson Objectives

After completing this lesson, you will be able to:

- Define performance culture as it relates to DCIPS.
- Identify the primary goal of effective performance management.
- Identify and describe the key roles associated with performance management.
- Identify how leaders and managers can use performance management to meet their goals and missions and to link performance to mission accomplishment.
- List and describe the four phases of the performance management process.
- Explain how performance management and feedback drive performance within organizations.
- Define performance objectives.
- Explain how performance objectives are used throughout the performance management process.
- Differentiate between performance objectives, task descriptions, and position descriptions.
- Explain why well-written performance objectives are important.
- List DCIPS policy requirements for performance objectives.
- Define SMART objectives.
- Describe the performance evaluation methodology.
- List the five basic steps for evaluating performance.
- Describe the components of the evaluation process.

- List and explain the six standard performance elements and the two variances for managers/supervisors.
- Explain the evaluation process for performance elements.
- Given performance objectives and elements ratings, calculate final ratings for performance objectives and performance elements, and determine the overall Performance Evaluation of Record.
- Describe the informal and formal reconsideration processes available under DCIPS policy.

## Topics

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## LESSON 7 INTRODUCTION

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This lesson lasts 1 hour, 30 minutes.

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# Lesson 7: Performance Management

Duration: 1 hour, 30 minutes

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- This lesson explains the process for evaluating individual performance under DCIPS policy.
- When completed, you will be able to provide the SMART objective training to your workforce or otherwise be able to assist your organization's rating and reviewing officials in writing performance objectives.

### **Your Notes:**



## Lesson 7 Topics

### Lesson 7 Topics

- Topic 1 – Performance Culture
- Topic 2 – Key Roles
- Topic 3 – Performance Management Process
- Topic 4 – Exploring Performance Objectives
- Topic 5 – How Performance is Evaluated

Additional performance management training can be found at <http://dcips.dtic.mil/training.html>



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- Building a culture of communication between managers/supervisors and employees is central to the DCIPS performance management process.
- DCIPS 101 and other recommended online courses that teach the specifics of the DCIPS performance management process can be found at <http://dcips.dtic.mil/training.html>
- Actively managing performance creates an equitable process for appraising and evaluating employee performance within and across the Defense Intelligence Enterprise.

### Your Notes:

## TOPIC 1: PERFORMANCE CULTURE

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### Performance Culture

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#### Performance Culture

With the intention of producing remarkable results, the Defense Intelligence performance culture embraces:



Innovation



Collaboration



Teamwork

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- The overarching goal of effective performance management is to improve performance and produce results that are driven by the mission.

#### Your Notes:

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## TOPIC 2: KEY ROLES



### Key Roles

#### Key Performance Management Roles



Employee



Rating Official



Reviewing Official



PM PRA

### What You Should Know:

#### *Key Performance Management Roles*

- **Defense Intelligence Employee:** A person within the Defense Intelligence Enterprise who:
  - Helps develop, or provides input to, his/her performance plan and Individual Development Plan (IDP)
  - Self-monitors progress according to his/her performance plan throughout the year
  - Takes advantage of formal and informal communication opportunities throughout the performance period
  - Provides input to the Midpoint Review per Component direction
  - Writes a self-report of accomplishments for his/her annual Performance Evaluation of Record
- Employees on Joint Duty Assignments at a Defense Intelligence Component will be evaluated by that Component as long as the employee has been under the performance plan for greater than 90 days. DCIPS and JDA policy provide

specific guidance on handling performance evaluations of Joint Duty employees.

- **Rating Official:** An individual in an employee's chain of supervision (generally the supervisor) responsible for:
  - Conducting performance planning
  - Managing performance throughout the evaluation period
  - Rating performance against the standards
  - Preparing the end-of-year Performance Evaluation of Record for each employee
- **Reviewing Official:** An individual, generally in the Rating Official's chain of supervision, who is responsible for reviewing and approving performance plans and evaluations. The Reviewing Official reviews them for accuracy, equity across employees, and compliance with DCIPS policy. The Reviewing Official is the approving official for each performance evaluation within his or her purview, but cannot approve performance evaluations until after the PM PRA has provided his or her approval and released them as final.
- **Performance Management Performance Review Authority (PM PRA):** The Senior employee or board who is responsible for oversight of the performance management processes. The PM PRA provides oversight of the evaluation process, verifies compliance with merit system principles, and completes a final review before Performance Evaluations of Record are final.
  - The PM PRA has the authority and responsibility to withhold approval and direct changes to align to policy and the process if the PM PRA believes changes are required.
  - The PM PRA also resolves requests for formal reconsideration. Except where the PM PRA is the Head of the Defense Intelligence Components, the PM PRA should be at a higher level within the organizational hierarchy than the most senior reviewing official participating in the performance evaluation process. Where separation is not possible, the PM PRA will be a senior employee or panel not in the chain of supervision for the Performance Evaluations of Record under consideration.

### Your Notes:

## TOPIC 3: PERFORMANCE MANAGEMENT PROCESS



### Performance Management Process

#### Performance Management Process



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- The DCIPS performance management process consists of three overarching principles and four primary phases.
- In your group, research and provide a summary of the performance management phases to which your group has been assigned.
- Document your findings and those of the other groups on the following page.

#### What You Should Know:

##### *Performance Management Process*

- The three overarching principles of the performance management process are:
  - Planning
  - Managing
  - Evaluating
- The four phases of the performance management process are:
  - Plan



- Develop and Monitor
  - Rate
  - Reward
- The standard evaluation period runs from 1 October through 30 September each year unless an exception has been granted by the USD(I).

### *The Four Performance Management Phases*

#### **Plan**

- The performance evaluation period officially begins on October 1\* of each year with the Plan phase. During this phase, managers/supervisors engage their employees in dialogue to establish clear performance expectations for the evaluation period that support and align with the mission and goals of the Defense Intelligence Enterprise, the National Intelligence Strategy, organizational program and policy objectives, annual performance plans, and other measures of performance. The employee's performance plan documents those expectations through SMART performance objectives and standard performance elements.

\*Note: Some Components have received approval to deviate from the October 1 start date.

- A performance plan contains:
  - SMART performance objectives, which are specific descriptions of **what** the employee needs to accomplish during the evaluation period. In DCIPS, performance objectives are written to the Successful performance level.
  - Six standard performance elements, which focus on **how** the performance objectives are to be achieved. The performance elements are standard across the Intelligence Community.
- Writing the performance plan is a manager /supervisor's responsibility, but, ideally, it results from dialogue between the manager/supervisor and input from the employee. Once established, the employee should clearly be able to see how his/her efforts and contributions support mission accomplishment and understand how the performance elements factor into the performance evaluation process.
- In addition to the performance plan, employees and managers/supervisors collaborate on the employee's individual development plan (IDP). This plan documents the employee's developmental goals and should be used for long range planning. There is no standard DCIPS format for an IDP; Components may

determine the appropriate format at the Component level.

- Rating Officials and Reviewing Officials need to have a shared understanding of performance standards, types of work expected at specific band and grade levels, what constitutes a well-crafted performance objective, and the criteria for evaluating their employees. To accomplish this shared understanding, Rating Officials and Reviewing Officials should meet at the beginning of the evaluation period to discuss construction of employee objectives and continue this communication throughout the evaluation period.
- Reviewing Officials ensure that performance and individual development plans are established for all employees in accordance with established timelines.
- Once the Reviewing Official approves the performance plan the manager/supervisor communicates (face-to-face, e-mail etc.) and provides a copy to the employee.

### **Develop and Monitor**

- The Develop and Monitor phase continues throughout the performance evaluation period. At the heart of this phase is regular meaningful dialogue regarding the employee's performance. Face-to-face is the preferred method of dialogue with an employee for performance-related discussions. It is recognized, though, that geographic or other forms of separation make such dialogue difficult or even impossible. In such cases, telephone or e-mail exchanges should be used to ensure ongoing dialogue.
- The performance dialogues may include events or obstacles that support or deter progress, modification of objectives (at least 90 days prior to the end of the performance cycle), employee developmental needs, or other factors affecting the success of the employee and the organization.
- Although managers/supervisors have the primary responsibility for providing feedback to employees, employees share the responsibility of identifying and communicating successes and difficulties related to their assigned performance expectations. Employees should take advantage of opportunities to talk with, or "check-in" with their supervisors in both formal and informal dialogue.
- At the midpoint of the evaluation period, employees and their Rating Officials (usually their managers/supervisors) hold a Midpoint Performance Review conversation that includes formally documenting that the performance discussion occurred. The date of the Midpoint Performance Review is documented in the performance evaluation system used by the Component. Narratives documenting progress toward meeting performance objectives may be required by a Component. Components may provide specific guidance on such narratives, e.g.,

one overall narrative, a separate narrative for each objective, etc. The Component may require evaluations at the midpoint. Midpoint reviews are sent to Reviewing Officials for approval.

- Informal feedback should be frequent and meaningful. The formal Midpoint Performance Review conversation is a time to acknowledge achievements and suggest areas for improvement. It is important to remember that if there are areas of concern with an employee's performance or behavior, a supervisor should not wait until the formal midpoint to discuss the situation with the employee, but should initiate corrective action as appropriate.
- Reviewing Officials ensure that subordinate Rating Officials provide performance feedback throughout the evaluation period and Rating Officials have documented at least one Midpoint Performance Review feedback session with each employee.
- To ensure that managers/supervisors and employees recall important events and accomplishments during the year, it also is useful for both to document performance as it occurs.
- Managers/supervisors should encourage employees to seek professional and technical development opportunities to enhance their contribution to the organization's mission and goals. Development opportunities may include training, mentoring, coaching, and other offerings to improve skills and should be documented in the IDP.

### **Rate**

- An integral part of the performance management process is the manager/supervisor's assessment of an employee's performance related to performance objectives and performance elements.
- DCIPS policy provides one general standard for rating performance objectives so everyone uses a consistent and transparent approach. The general standard is used in conjunction with the performance objectives, which are written to describe expected accomplishments at the "Successful" evaluation level. The general standards for rating performance objectives and elements are found in DoDI 1400.25-V2011.
- DCIPS policy provides standards for rating performance elements so everyone uses a consistent and transparent approach. The six performance elements and related standards are consistent throughout the IC and the Defense Intelligence Enterprise and were developed for the employee's work level.
- To begin the process, the employee completes a self-report of accomplishments. This report is required of all employees and provides an assessment of the employee's performance. Managers/supervisors consider this information in

completing the narrative and numerical evaluation. (Note: The employee's self-report is simply for the Rating Official's consideration. The Rating Official is neither required nor expected to act on this input. For example, if the employee states he/she was Outstanding, or did something Outstanding, this does not mean that the Rating Official must agree with that rating.)

- Components have the flexibility to determine the format and timeline for submitting the self-report of accomplishments for employees within the Component. For example:
  - Employees may address each performance objective and performance element separately.
  - Employees may write a separate narrative for each performance objective, but performance elements are addressed within the context of the objective narratives.
  - Employees may be permitted to write one narrative addressing all performance objectives and one narrative addressing all performance elements.
  - Employees may write one narrative that addresses all performance objectives and performance elements.
- Although any of the formats above are acceptable, the Component should ensure that all employees prepare their self-report of accomplishments in a consistent manner and that the preferred format is clearly communicated to all employees.
- Rating Officials complete formal evaluations, describing the extent to which each employee achieved his or her performance objectives and how the employee performed against the six standard performance elements that contribute to success. Evaluations are based on observations during the year, notes taken about an employee's performance, and information provided in the employee's self-report of accomplishments. Rating Officials also provide an overall Performance Evaluation of Record.
- Based on the employee's accomplishments on each performance objective – *what* the employee accomplished – the Rating Official assigns a performance objective rating (a single numerical score from 1 to 5, expressed as a whole number, with 5 being the top rating) to each **performance objective**. The overall performance objective rating is then multiplied by 60%.
- Next the Rating Official considers *how* the employee accomplished all the performance objectives, provides a brief narrative statement, and assigns a rating (a single numerical score from 1 to 5, expressed as a whole number, with 5 being the top rating) for each of the six standard **performance elements**. The average

of the individual performance elements ratings is then multiplied by 40%.

- The overall rating is computed by calculating the weighted average of the overall performance objective ratings and the overall performance element ratings. If an employee is assigned a score of 1 (unacceptable) on any performance objective, an overall rating of 1 (unacceptable) will be assigned. The overall rating is then converted to the Performance Evaluation of Record.
- The Reviewing Official reviews the numerical and narrative ratings with several considerations in mind:
  - 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
  - Adherence to other relevant policy
- Reviewing Officials are encouraged to collaborate with Rating Officials in their purview to support a shared understanding of the process and expectations of the Rating Officials.
- The PM PRA plays a critical role in the evaluation process by conducting a final review and approval of all Performance Evaluations of Record within their purview to ensure consistency across Rating Officials and Reviewing Officials and compliance with applicable laws and regulations. DCIPS guidance encourages the PM PRA to engage throughout the performance evaluation process to support a shared understanding by all involved in the process. Additionally, engaging throughout the process helps build trust between the PM PRA and the Reviewing and Rating Officials, resulting in a smoother process.
- Performance Evaluations of Record may not be provided to the employee until the Reviewing Official and PM PRA complete their review and issue final approval.

### **Reward**

- Performance management and pay pools are separate processes that interrelate. The performance management process consists of four phases that extend throughout the 12-month performance evaluation period.
- The pay pool process consists of three phases that begin with the onset of the

performance management period and end with the pay pool payout in January, a roughly 15-month period. The pay pool process governs the Reward phase. During the pay pool process, the pay pool panel determines performance-based salary increases and bonuses for employees in the banded structure and performance-based bonuses for employees in the graded structure based on the Performance Evaluations of Record. Payout decisions are then communicated to the employees. Each Component determines how this information is communicated. (Note: The pay pool process is discussed in more detail in Lesson 11.)

**Your Notes:**

## What You Should Know:

### *Performance Management Responsibilities Overview*



<b>Employee</b>	<ul style="list-style-type: none"> <li>• Participates in setting performance objectives and identifying ways to measure accomplishments</li> <li>• Discusses his or her developmental needs and cooperatively creates a performance plan and IDP with Rating Official</li> </ul>
<b>Rating Official</b>	<ul style="list-style-type: none"> <li>• Meets with employees to:               <ul style="list-style-type: none"> <li>○ Set performance expectations in the form of performance objectives</li> <li>○ Discusses appropriate work behavior (performance elements) and explain how they relate to the performance objectives</li> <li>○ Determines and discusses developmental needs</li> </ul> </li> <li>• Ensures employee objectives are aligned with Component goals</li> <li>• Cooperatively creates a performance plan and IDP for each employee</li> <li>• Ensures employees are trained on the performance management system</li> </ul>
<b>Reviewing Official</b>	<ul style="list-style-type: none"> <li>• Meets with Rating Officials to create shared understanding of performance standards and criteria for rating employees</li> <li>• Ensures that performance plans and IDPs are established for all employees</li> <li>• Approves employee performance plans</li> <li>• Provides oversight of timelines and processes in accordance with USDI and Component policies for final approval of performance plans</li> <li>• Ensures Rating Officials and supervisors are trained in their roles in the performance management system</li> </ul>
<b>PM PRA</b>	<ul style="list-style-type: none"> <li>• Provides oversight of the performance management process</li> </ul>
<b>Key Dates</b>	<p><b>Performance Plan:</b></p> <ul style="list-style-type: none"> <li>○ Created within 30 days after the beginning of the evaluation period</li> </ul> <p><b>IDP:</b></p> <ul style="list-style-type: none"> <li>○ Created within 30 days after the beginning of the evaluation period</li> </ul>

## What You Should Know:



# Develop and Monitor



### Employee

- Participates in developmental discussions, both formal and informal
- Self-monitors progress against his/her performance plan throughout the year and documents performance
- Continues to seek developmental needs and opportunities
- Focuses on developing skills and abilities
- Participates in mandatory Midpoint Performance Review
- During Midpoint, writes a self-report of accomplishments (if required by Component)

### Rating Official

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

### Reviewing Official

- Ensures Rating Officials provide performance feedback throughout the evaluation period
- Reviews Midpoint Review documentation to ensure consistency
- Reviews employee self-report of accomplishments (if Midpoint self-reports are required by Component)

### PM PRA

- No applicable responsibilities for this step

### Key Dates

- Midpoint Performance Review: Occurs at or near the midpoint of the evaluation period



## What You Should Know:



<b>Employee</b>	<ul style="list-style-type: none"> <li>• Completes and submits the self-report of accomplishments according to Component guidelines</li> <li>• Discusses performance with his or her Rating Official</li> <li>• Suggests ideas to improve performance during next performance period</li> </ul>
<b>Rating Official</b>	<ul style="list-style-type: none"> <li>• Reviews employee self-report of accomplishments</li> <li>• Writes evaluation narrative of employee performance and rates objectives and elements according to the standards outlined in the policy documents "IC Performance Standards" and "DoDI 1400.25-Volume 2011"</li> <li>• Prepares the end-of-year Performance Evaluation of Record for each employee</li> <li>• Submits recommendations to the Reviewing Official</li> <li>• Shares final Performance Evaluation of Record with employees after the Reviewing Official and PM PRA have completed their review</li> </ul>
<b>Reviewing Official</b>	<ul style="list-style-type: none"> <li>• 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</li> <li>• Responsible for approving Performance Evaluations of Record</li> </ul>
<b>PM PRA</b>	<ul style="list-style-type: none"> <li>• Provides oversight of the evaluation process</li> <li>• Verifies compliance with merit system principles</li> <li>• Conducts final review of Performance Evaluations of Record to ensure consistency and compliance with all applicable laws and regulations</li> </ul>
<b>Key Dates</b>	<ul style="list-style-type: none"> <li>• <b>Self-report:</b> <ul style="list-style-type: none"> <li>○ As determined by Component, but not later than 15 calendar days following the end of the evaluation period</li> </ul> </li> <li>• <b>Rating Official submits rating:</b> <ul style="list-style-type: none"> <li>○ Within 30 days following the end of the evaluation period</li> </ul> </li> <li>• <b>Performance Evaluation of Record:</b> <ul style="list-style-type: none"> <li>○ Rating Officials deliver feedback to employees once evaluations are approved by the Reviewing Official and the PM PRA</li> </ul> </li> </ul>



The final Performance Evaluation of Record is used as primary performance input during the pay pool process. Once the evaluation of record is finalized, the performance management process for the current evaluation period has ended and the pay pool process' "pay" phase commences. While the pay phase of the pay pool process is ongoing, the Plan phase of the performance management process begins again. The interrelationship between the two processes will be discussed in greater depth in Lesson 11.

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**Performance Management Phases Activity Notes:**

Phase	Description
<i>Plan</i>	
<i>Develop and Monitor</i>	
<i>Rate</i>	
<i>Reward</i>	



## Special Situations

### Special Situations

- Employee starts new position < 90 days from end of evaluation period
- Employee performs in a new position or under another Rating Official
- Employee is on a Joint Duty Assignment
- Employee has < 90 days of civilian service
- Employee is on an extended absence
- Employee transfers to a new Component



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## What You Should Know:

### *Special Situations in the Performance Management Process*

- The minimum time an employee can perform under a performance plan or individual objective is 90 days.
- If an employee starts a position with fewer than 90 days remaining in the performance evaluation period, the additional days are added to the following performance year's evaluation period.
- A closeout Performance Evaluation of Record must be prepared if the employee has performed in a position, or under a rating official, for at least 90 days.
  - If the employee does not perform under a new performance plan or set of objectives for at least 90 days, the close-out appraisal will become the final rating of record for the performance cycle.
  - If the employee does perform under a new performance plan for the same performance year as the close-out evaluation was completed, the completed closeout evaluation will be forwarded to the employee's rating official for consideration in the preparation of the performance evaluation of record.
- Employees on JDA are evaluated by the gaining Component if the employee had

at least 90 days of performance in the JDA during the performance cycle. Special rules apply to JDAs, which can be found in the Joint Duty and DCIPS policy. In addition, each Component has a Joint Duty Lead who can help.

- Employees who have fewer than 90 days of civilian service due to military service or Workers' Compensation absence receive a "presumptive" rating. The presumptive rating will be the last Performance Evaluation of Record prior to the employee's absence, but may not be less than "Successful."
- Extended absences for reasons other than those detailed above, such as long-term training, will be handled according to Component policy.
- DCIPS Performance Evaluations of Record are portable. If an employee transfers between Defense Intelligence Components within 90 days of the end of the evaluation period, the closeout performance evaluation from the old organization will transfer to the new organization and will be used as the final performance evaluation of record for the performance year. If there are more than 90 days, the closeout will inform the final rating at the new organization.

### Your Notes:

## TOPIC 4: EXPLORING PERFORMANCE OBJECTIVES



### Value of Performance Objectives

#### Value of Performance Objectives



- Aligns work with mission and organizational goals
- Communicates the major work to be accomplished
- Sets a baseline for successful performance
- Forms the basis for ratings
- Helps employees see how their performance contributes to organizational results

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- You can learn more about how to write effective performance objectives in the DCIPS courses found at <http://dcips.dtic.mil/training.html>

#### What You Should Know:

##### *Value of Performance Objectives*

- The design of the performance management process emphasizes employee results that contribute to mission accomplishment. A major feature is the use of SMART performance objectives that focus on impact and results.
- By relating performance objectives to the mission, employees have a positive link to how their performance contributes to overall organizational results. Generally people feel more engaged and willing to do a better job if they understand how their work contributes to achieving mission and organizational goals.

#### Your Notes:



## What are Performance Objectives?

### Performance Objectives Are:

- Not task or position descriptions
- Large-bucket items and not the small daily job tasks
- A description of a future situation
- Appropriate for the employee's position and work level
- Written at the "Successful" level and evaluated against the standards
- Achievable within the evaluation period



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### What You Should Know:

#### *What are Performance Objectives?*

- Performance objectives differ from task descriptions; this point is a key one to remember. Task descriptions focus on activities; objectives focus on impact and results.
- Performance objectives differ from position descriptions. Position descriptions list duties and responsibilities and are constant for each position. Performance objectives identify what needs to be done by the end of the year and may change from year to year. We will discuss SMART objectives later in this lesson. Online training is available on this topic as well.
- Performance objectives are large-bucket items and not the small daily job tasks.
- A performance objective is a description of a future situation. This sentence is the most important one in this lesson.
- Because it is a description of a situation, you can later ask yourself, "Did my work lead to the situation that was described in the objective?" If the answer is yes, then you accomplished the objective.
- Three to six objectives are common, but three are generally recommended. Employees must have at least one performance objective, and should follow

### Component guidance.

- Performance objectives must be appropriate to the employee’s position and work level. For example, performance objectives for managers and supervisors should reflect their managerial and supervisory responsibilities.
  - For managers/supervisors, performance objectives need to discuss their involvement in shaping of individual work products in the unit and developing the leadership skills of subordinate employees through individual interactions and coaching.
  - Manager/supervisors’ performance objectives must include goals that focus on integrating the work of the unit into broader organizational contexts and on obtaining the resources (such as people, money, and equipment) necessary to perform the organization’s mission. The performance objectives should capture the broad programmatic responsibilities for creating and leading the programs.
- While performance objectives are written to an employee’s position, similar or same objectives can be used for multiple positions if they apply.
- Objectives are written at the “Successful” level and evaluated against the general standards documents, “IC Performance Standards” and “DoDI 1400.25-V2011.”
- If an employee is working toward goals that span several performance evaluation periods, managers/supervisors should look at dividing the work into milestones that fall within single evaluation periods and use that portion of the work to set the performance objective..
- New objectives may be assigned during the evaluation period and existing objectives may be adjusted during the evaluation period with approval of the Reviewing Official. Such changes to the employee’s performance plan must be made at least 90 days prior to the end of the evaluation period.
- Objectives that are completed during the evaluation period may be “closed out” (rated as complete) prior to the end of the actual performance evaluation period.

### Your Notes:





## Use of Performance Objectives

### Use of Performance Objectives



Well-written performance objectives are critical to the success of DCIPS because they form the basis for performance conversations and decisions in every phase of the performance management process

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### What You Should Know:

#### *Use of Performance Objectives*

- Well-written performance objectives are critical to successful and effective performance management because they form the basis for performance conversations and decisions in every phase of the process. Several key personnel use them in the ultimate determination of an employee's rating.
- At the start of the process, performance objectives provide a clear picture of the manager/supervisors' expectations for their employees. At the end of the process, employees describe accomplishments against the performance objectives. Rating Officials then evaluate employee performance and rate the accomplishments against the performance objectives.
- At the end of the performance evaluation period, Reviewing Officials use performance objectives to validate whether a Rating Official's evaluation of the performance objectives are appropriate for the employee and align to the performance objective standard.
- The PM PRA uses the performance objectives to assess overall effectiveness of the performance management process as well as adequacy and appropriateness of ratings during the reconsideration process.

- Ultimately, performance objectives are the foundation to an employee's performance plan. Well-written objectives are specific, measurable, achievable, relevant, and time-bound (SMART). They provide a solid foundation for the fair assessment of performance.

**Your Notes:**

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## Cascading Performance Objectives

### Cascading Performance Objectives



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### What You Should Know:

#### *Cascading Performance Objectives*

- The Defense Intelligence Strategy and the National Intelligence Strategy provide the overall direction and mission for all Components to work to achieve.
- Connections to the overall direction and mission must be made at the Component, division, work unit and, ultimately, employee level. (Note: Depending on the Component, there may be more organizational levels with which to align.)
- Performance objectives must clearly identify how an employee will support the accomplishment of the overall mission and organizational goals.
- Aligning an employee's performance objectives with organizational goals ensures that the employee's work contributes directly to the accomplishment of the mission.
- Clarifying the relationship between what the employee is doing and how it helps the organization also gives the employee a greater sense of purpose and can be a performance motivator.
- At each lower organizational level, the goals become more operational.



## SMART Performance Objectives

### SMART Performance Objectives



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- Your instructor will create 5 groups and assign each group a letter of the SMART acronym.
- Your group has 5-7 minutes to read about your assigned SMART letter and 3-5 minutes to present what you learned to the rest of the class.
- Use the table on the following page to document your findings and those of the other groups.

### What You Should Know:

#### *SMART Performance Objectives*

##### **Specific**

- *Specific* means that an observable or verifiable accomplishment is described. For some jobs, it may not be easy to describe a specific result. To the extent possible and reasonable, however, encourage specificity because it ensures that managers/supervisors and employees share the same expectations. Objectives must be more specific than general duty statements.
- Another way to think of *specific* is to focus on the specific accomplishment that is achieved or the specific impact resulting from the effort. For example, it is not enough to say that the result is to have an updated policy manual. Specificity

involves answering the following questions:

- Which manual?
  - What does “update” mean?
  - How much of the manual will be updated?
  - Updates should be current as of when?
- Some questions that help to decide if the objective’s content is specific are:
    - How would I know if I did this?
    - What would the result look like?
  - For example, an objective, “To type all correspondence effectively” is not a precise description of a desired level of performance because it defines no observable criteria. A better objective would read, “Format correspondence correctly and comply with the department style guide for formatting, grammar, and usage as determined by managerial review.” This objective specifies a standard (the department style guide) by which to measure the work. The objective should be *specific* about the result or impact, not about the way it is achieved.
  - Remember that performance objectives give employees greater responsibility for the results of their work. This means that an employee is able to decide how to reach the objective, but the objective itself must be defined clearly.
  - Some other questions to ask to decide if the content of your objective is specific:
    - What is the result, product, or deliverable from the work?
    - Is the employee’s role in achieving the result clear?
  - This image illustrates that although the result (the mountaintop) needs to be as precise as possible, there is no need to describe the path to get there.



### Measurable

- *Measurable* (observable or verifiable) means that a method or procedure is in place to assess and record the behavior or action on which the objective focuses and the quality of the outcome. Some work can be measured easily; in other cases, accomplishments or behaviors need to be verified or observed. Either way, the measurement component of a SMART performance objective must be tied to a

meaningful outcome that shows a positive impact to the organization's mission.

- There are a number of ways to measure performance such as quality, quantity, timeliness, creativity, innovation, leadership, impact, and cost-effectiveness. Of these, people tend to use either time or a percentage to measure performance since they are most readily measurable. While these measures may be appropriate in some cases, when it comes to selecting the best way to measure performance, the idea isn't to add measurement simply for the sake of making the objective measureable. Rather, the intent is to select a form of measurement that measures a meaningful outcome that aligns with the organization's mission. This is often referred to as the "so what" factor; meaning, how has the accomplishment of the objective contributed to the organization's mission?
- A key point to remember is not to use quantity as the measurement form just because it is easy to add numbers or percentages to the objective. When using quantity as the type of measurement, use two criteria:
  - First, there needs to be a way to track what is being measured. For instance, if the objective says the month-end budget reports will contain no more than five errors, there would need to be some type of system in place that keeps track of how many errors were in each budget report. Otherwise, there would be no way to know if the objective had been met.
  - Second, just because what you are measuring can be tracked does not necessarily mean that it should be included in the objective. Remember, the idea is to measure meaningful outcomes that support the mission. The objective needs to be able to answer the, "So what?" question. How did the result contribute to the mission? For example, for many jobs, only measuring how often a report is submitted on time is also not an effective measurement. "Turned the report in on time" doesn't clearly identify the result or full impact on the mission, since the quality of the report also has meaningful impact. In this case, it would be better to use two forms of measurement: quality and timeliness.
- Measurements in a performance objective are written to the "Successful" (3) performance level. The goal of performance objectives is to drive performance within an organization while providing individuals with appropriate criteria against which to measure their performance. Setting the expectation for the result too high means that there is no opportunity to exceed expectations. Setting expectations too low means that the objective is too easy to accomplish. Likewise, setting expectations for tasks that are not appropriate means not measuring what should be measured, and counting what doesn't need to be counted.
- The quality of some results may not be known within the performance evaluation

period. For instance, the accuracy of an intelligence report may not be measurable for several years. The goal of such reports is to reduce uncertainty for decision makers, so a qualitative measure would be more appropriate. Focusing on how well the employee applied analytical skills to the situation, such as following standards, procedures, and using tools and methodologies appropriately, is much more effective than counting how many reports were completed or how quickly they were turned in.

### **Achievable**

- *Achievable* means that an employee can accomplish the performance objective within the evaluation period. The performance objective should be challenging, but not so complex that it cannot be accomplished. At the same time, it should not be so easy that it does not add value.
- These questions help to verify that the performance objective is achievable:
  - Can the employee achieve the objective with the available resources and personnel and within the given time?
  - Is the work in the performance objective within the employee's control or general purview to complete? Performance objectives should not include work or goals over which the employee has no control.
  - Is the performance objective appropriate for the employee's position, experience, skill, and work level?
  - Is this performance objective appropriate for this position?

### **Relevant**

- *Relevant* implies that the performance objective is important to the employee and organization. The performance objective derives from, and must align with, the National Intelligence Strategy, the Defense Intelligence Strategy, and the mission objectives of the employee's organization.
- Managers/supervisors must first have a clear understanding of their own performance objectives before they can work with their employees to establish their performance objectives. It is important that each employee has the line of sight to see where their objectives fit in the larger picture..

### **Time-bound**

- *Time-bound* means that there is a point in time when the performance objective starts and when it ends.
- For ongoing work, objectives should specify a date when the assessment period is to begin. For a short-term or project-related objective, the objective should

contain a completion date.

- The date component can be expressed in two ways: *relatively* or *specifically*.
  - *Relatively* uses time spans, such as “in six months.” The date is relative to today.
  - *Specifically* uses hard dates, such as “on March 15.”
- While both may be used, the best practice is to use specific dates, because there is a tendency to extend relative deadlines repeatedly.
  - Other time designations such as “end of the quarter,” “end of the evaluation period,” or “throughout the evaluation period” are also options.

**Your Notes:**



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**SMART Performance Objectives**

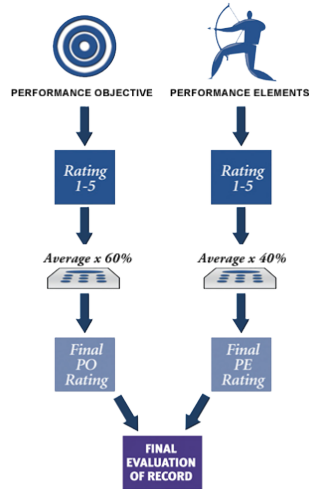
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## TOPIC 5: HOW PERFORMANCE IS EVALUATED



### Evaluating Performance

#### Evaluating Performance



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### What You Should Know:

#### *Evaluating Performance*

- Evaluating performance involves five basic steps. While the Compensation Work Bench (CWB), a software tool, does the math for you, it's important to know how a performance evaluation of record is calculated.
  1. Performance Objective Rating - Determine the rating for each performance objective.
  2. Overall Performance Objective Rating - Calculate the average rating for all performance objectives to one decimal place.
  3. Performance Element Rating - Determine the rating for each performance element.
  4. Overall Performance Element Rating - Calculate the average rating for all performance elements to one decimal place.
  5. Overall Rating - Derive the arithmetic average of the overall performance objective rating, which will account for 60 percent of the overall rating, and the overall performance element rating, which will account for 40 percent of the

6. Performance Evaluation of Record. Round the overall rating to the nearest whole number. The performance evaluation of record is used for official purposes including decisions on pay increases as part of the DCIPS annual pay-decision process, along with the written or otherwise recorded evaluation of performance and accomplishments rated against DCIPS performance elements and objectives.

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**Your Notes:**

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## The Evaluation Process

### The Evaluation Process



DCIPS evaluates performance based on **what** an employee accomplishes (performance objectives) as well as **how** it is accomplished (performance elements)

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## What You Should Know:

### *The Evaluation Process*

- DCIPS evaluates performance based on **what** an employee accomplishes (performance objectives) as well as **how** (performance elements) he or she accomplishes it.
- Managers/supervisors evaluate performance objectives using a five-point rating scale according to the general standards that detail the objectives descriptors.
- Managers/supervisors evaluate performance elements using a five-point scale according to the performance standards.
- Performance elements are not necessarily evaluated against each performance objective individually. They are considered as a whole and reflect behaviors exhibited throughout the year across all objectives. Examples from the accomplishment of a performance objective may be used to demonstrate achievement of the performance element.
- Performance objectives constitute 60% of the overall evaluation of record; performance elements constitute 40% of the overall evaluation of record.



## Rating Descriptors

### Rating Descriptors

The Performance Objectives and Element Rating Descriptors – DCIPS Volume 2011, Table 1		
General Standards		
Performance Rating	Objectives Descriptors	Element Descriptors
SUCCESSFUL (3)	<p>The employee achieved expected results on the assigned objective.</p> <p>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.</p>	<p>The employee fully demonstrated effective, capable performance of key behaviors for the performance element.</p> <p>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.</p>

*Note: This is sample of the Performance Objectives and Elements Rating Descriptors table. Please refer to Reference Guide Tab 8 for the complete table.*

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### What You Should Know:

#### *Performance Objectives and Elements Rating Descriptors – DCIPS Policy Volume 2011, Table 1*

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

	serve as a role model for others.	
EXCELLENT (4)	<p>The employee surpassed expected results in a substantial manner on the objective.</p> <p>As an overall performance objective rating, 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.</p>	<p>The employee demonstrated mastery-level performance of the key behaviors on the element.</p> <p>As an overall performance element rating, the employee demonstrated mastery-level performance on most key elements with an average rating within the “Exceptional” range in Table 2.</p>
SUCCESSFUL (3)	<p>The employee achieved expected results on the assigned objective.</p> <p>As an overall performance objective rating, the employee achieved expected or higher results overall and on most assigned objectives with an average rating within the “Successful” range in Table 2.</p>	<p>The employee fully demonstrated effective, capable performance of key behaviors for the performance element.</p> <p>As an overall performance element rating, 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.</p>
MINIMALLY SUCCESSFUL (2)	<p>The employee only partially achieved expected results on the performance objective.</p> <p>As an overall performance objective rating, the employee only partially achieved expected results for assigned objectives with an average rating within the “Minimally Successful” range in Table 2.</p>	<p>The employee’s performance requires improvement on one or more of the key behaviors for the objective.</p> <p>As an overall performance element rating, the employee’s behavior requires improvement with an average rating that falls within the “Minimally Successful” range in Table 2.</p>

UNACCEP-TABLE (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.  As an overall performance element rating, 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

***Converting Overall Rating to Evaluation of Record—  
DCIPS Policy Volume 2011, Table 2***

Overall 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.

**Your Notes:**





## IC Performance Standards

### Sample of the IC Performance Standards

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

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- Both the DCIPS Performance Objectives and Elements Rating Descriptors table from DCIPS policy Volume 2011 and the IC Performance Standards are used as complementary guides for evaluating performance and assigning standard ratings.

### Your Notes:



## Evaluating Performance Objectives

### Evaluating Performance Objectives

Two-Step Rating Process:

- Step 1 - Rating Official reviews the general standards, the performance plan, and the self-report of accomplishments to determine the rating for each performance objective
- Step 2 - Rating Official uses the Component's automated performance evaluation tool to calculate the average for all individual performance objective ratings. The tool then multiplies that average by 60%



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### What You Should Know:

#### *Evaluating Performance Objectives, Step 1*

- The Rating Official evaluates each performance objective based on the employee's accomplishments relative to what was outlined in the objectives. The Rating Official assigns separate numerical ratings to each performance objective.
- The general standards define the numerical ratings. General standards are descriptions of levels of employee performance used to measure, evaluate, and score an employee's achievement of performance objectives.
- General standards are the same across the IC, to include the Defense Intelligence Enterprise, to allow for the assessment of individual levels of performance. The standards act as guidelines to provide a consistent measuring stick for performance and is the reason that ratings are portable among Components.
- The evaluation levels range from 1 to 5, with a rating of 3 reflecting target or successful performance. To receive a "Successful" (Level 3) rating means the performance objective, or the expected result, was met. For more information on how to use the general standards to evaluate performance, see the online course *Evaluating Performance and Preparing Performance Narratives* on the DCIPS training page: <http://dcips.dtic.mil/training.html>

**What You Should Know:***Evaluating Performance Objectives, Step 2*

- In Step 2, the average of the individual performance objective ratings are carried to one decimal place and the average is then multiplied by 60%.
- If an employee receives a rating of 1 on any performance objective, the overall Performance Evaluation of Record is “Unacceptable” (a rating of 1). However, the Rating Official should complete the evaluation to document it for the record and to document all other objectives and elements, which will be necessary in the event the employee seeks reconsideration and the rating level of “Unacceptable” on the performance objective is changed. This exception doesn’t apply to performance elements.
- Each performance objective provides an important contribution to mission accomplishment. To perform at an unacceptable level on any one objective has a significant effect on the organization’s ability to meet its mission requirements.

**Your Notes:**



## What are Performance Elements?

### Performance Elements Are:



- Attributes of job performance that are significant to the accomplishment of performance objectives
- Description of the manner in which the performance objectives and all of the employee's work results were achieved (the "how")
- Standardized throughout the Intelligence Community
- Rated separately

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## What You Should Know:

### *What are Performance Elements?*

- Performance elements are attributes of job performance behaviors that are significant to the accomplishment of individual performance objectives. They describe the manner in which the performance objectives and all of the employee's work results were achieved (the "how") by assessing the employee's work behaviors. For example, an employee might accomplish the goal of writing a report, but while doing so communicates inappropriately with teammates.
- Rating performance elements reinforces the notion that accomplishing performance objectives and producing work results at any cost is not acceptable. Accomplishments must be within the framework of acceptable and desired work traits, such as good communication and collaboration.
- The DCIPS process supports separate measures of the "what" and the "how," recognizing that excellence at one may not mean excellence at the other. It is not uncommon to see a superior result (objective) and performance elements at the "Successful" level (or vice versa). Managers/Supervisors and employees must understand the relationships of both the objectives and the elements to the performance management process.

- Performance elements are standardized throughout the Intelligence Community and are further defined by work behaviors and descriptors for the different work categories and work levels.
- Each performance element is rated separately. However, the evidence for the performance against the element is shown through the employee's work behaviors as demonstrated in the accomplishment of his/her performance objectives and everyday work results. In other words, it is *how* the performance element is measured through the behaviors the employee applied to accomplish the *what* (performance objectives).

### What You Should Know:

#### *The Performance Elements*

Employees	Managers/Supervisors
Accountability for Results	Accountability for Results
Communication	Communication
Critical Thinking	Critical Thinking
Engagement and Collaboration	Engagement and Collaboration
Personal Leadership and Integrity	Leadership and Integrity
Technical Expertise	Managerial Proficiency

Note: The four elements inside the yellow box are the same for employees and manager/supervisors; the remaining two elements in each column are specific as to whether an individual is an employee or manager/supervisor.

### Your Notes:



## The Performance Elements

### The Performance Elements

Employees	Managers/Supervisors
Accountability for Results	Accountability for Results
Communication	Communication
Critical Thinking	Critical Thinking
Engagement and Collaboration	Engagement and Collaboration
Personal Leadership and Integrity	Leadership and Integrity
Technical Expertise	Managerial Proficiency

Note: The four elements inside the yellow box are the same for employees and managers/supervisors; the remaining two elements in each column are specific as to whether an individual is an employee or manager/supervisor.

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- Review the list of performance elements in *The Performance Elements What You Should Know* box.
- Refer to *The Performance Elements Defined* in the *What You Should Know* box.

### What You Should Know:

#### *The Performance Elements Defined*

- **Accountability for Results:** Defense Intelligence employees are expected to take responsibility for their work, setting and/or meeting priorities, and organizing and utilizing time and resources efficiently and effectively to achieve the desired results consistent with their organization's goals and objectives. In addition, supervisors and managers are expected to use these same skills to accept responsibility for and achieve results through the actions and contributions of their subordinates and their organization as a whole.
- **Communication:** Defense Intelligence employees are expected to effectively comprehend and convey information with and from others in writing, reading, listening, and verbal and non-verbal action. Employees are expected to use a variety of media in communicating and making presentations appropriate to the audience. In addition, DoD IC supervisors and managers are expected to use effective communication skills to build cohesive work teams, develop individual skills, and improve performance.

- **Critical Thinking:** Defense Intelligence employees are expected to use logic, analysis, synthesis, creativity, judgment, and systematic approaches to gather, evaluate, and use multiple sources of information to inform decisions and outcomes. In addition, supervisors and managers are expected to establish a work environment where employees feel free to engage in open, candid exchanges of information and diverse points of view.
- **Engagement and Collaboration:** Defense Intelligence 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, supervisors and managers are expected to create an environment that promotes engagement, collaboration, integration, and the sharing of information and knowledge.
- **Personal Leadership and Integrity:** Defense Intelligence employees are expected to demonstrate personal initiative and innovation as well as integrity, honesty, openness, and respect for diversity in their dealings with coworkers, peers, customers, stakeholders, teams, and collaborative networks across the IC. Defense Intelligence employees are also expected to demonstrate core organizational, DoD, and IC values including selfless service, a commitment to excellence, and the courage and conviction to express their professional views and to constructively address or seek assistance to properly address concerns related to the protection of classified information in accordance with EO 13526.
- **Technical Expertise** (non-supervisor): Defense Intelligence employees are expected to acquire and apply the knowledge, subject matter expertise, tradecraft, and/or technical competence necessary to achieve results.
- **Leadership and Integrity** (managers and supervisors): Supervisors and managers are expected to exhibit the same individual personal leadership behaviors as all Defense Intelligence employees. In their supervisory or managerial role, they are also expected to achieve organizational goals and objectives by creating shared vision and mission within their organizations; establishing a work environment that promotes diversity (of both persons and points of view), critical thinking, collaboration, protection of classified information in accordance with EO 13526, and information sharing; mobilizing employees, stakeholders, and networks in support of their objectives; and recognizing and rewarding individual excellence, enterprise focus, innovation, and collaboration.
- **Managerial Proficiency** (managers and supervisors): 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, constructively addressing or seeking assistance to properly address concerns related to the protection of classified information in accordance with EO 13526, evaluating the contributions of individual employees to organizational results, and linking performance ratings and rewards to the accomplishment of those results.

- Performance elements, or critical behaviors, create an atmosphere for a high-performing culture. While performance objectives may change, performance elements remain the same and support the desired performance culture.

### Your Notes:

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## Evaluating Performance Elements

### Evaluating Performance Elements

Two-Step Rating Process:

- Step 1 - Rating Official reviews the general standards, the performance plan, and the self-report of accomplishments to determine the rating for each performance element
- Step 2 - Rating Official uses the Component's automated performance evaluation tool to calculate the average for all individual performance element ratings. The tool then multiplies that average by 40%



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- For more information on how to use the general standards to evaluate performance, see the online course *Evaluating Performance and Preparing Performance Narratives* on the DCIPS training page: <http://dcips.dtic.mil/training.html>

### What You Should Know:

#### *Evaluating Performance Elements*

- In step 1, the rating official reviews the performance plan, the performance element standards and the self-report of accomplishments, to determine the rating for each performance element.
- In Step 2, the average for all the individual performance element ratings is rounded to one decimal place, then it is multiplied by 40%.

### What You Should Know:

#### *Evaluating Performance Elements, Step 1*

- The rating official rates performance against each element by comparing the employee's performance to the performance element behavioral descriptors specific to the employee's work category and work level.

- To receive a Successful or Outstanding rating, the employee must meet the respective behavioral descriptor. If the employee does not meet the descriptor, the rating is assigned to the next lower level. For more information on how to use the general standards to evaluate performance, see the online course *Evaluating Performance and Preparing Performance Narratives* on the DCIPS training page: <http://dcips.dtic.mil/training.html>
- To receive a rating of Unacceptable (1), the employee would have made no effort to demonstrate the key behaviors for the performance element.
- The NR may not be used for performance elements. If an employee meets the minimum requirements for rating performance objectives, the rating official must rate the employee against the performance elements.

### What You Should Know:

#### *Evaluating Performance Elements, Step 2*

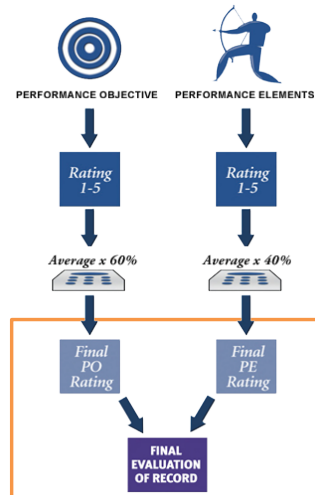
- In Step 2, the average for all the individual performance element ratings is rounded to one decimal place, then it is multiplied by 40%.
- Unlike performance objectives, if an employee receives a rating of Unacceptable (1) on a performance element, the rating official still uses the tool to calculate the overall performance element rating.

### Your Notes:



## Evaluating Performance

### Evaluating Performance



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## What You Should Know:

### *Final Evaluation of Record*

- Assuming the rating official has used the Compensation Work Bench (CWB) tool to determine the averages for the performance objectives and the performance elements and has had the tool multiply those averages by 60% and 40% respectively, the CWB then calculates the evaluation of record by averaging the two ratings.
- As a reminder, if an employee received a rating of Unacceptable (1) on any performance objective, the final evaluation of record is automatically Unacceptable and no further calculations are needed.
- The numerical calculation is considered when the pay pool makes payout decisions; however, when discussing performance, managers/supervisors should focus on the actual level of performance, e.g., Successful or Excellent, not a number or a decimal. Employees tend to infer a level of validity in the decimal which is not there in reality. DCIPS doesn't have "high Successful" and "low Successful." The final evaluation of record is the descriptor—"Successful" and is documented as a whole number (3) in the reporting systems.

**Your Notes:**

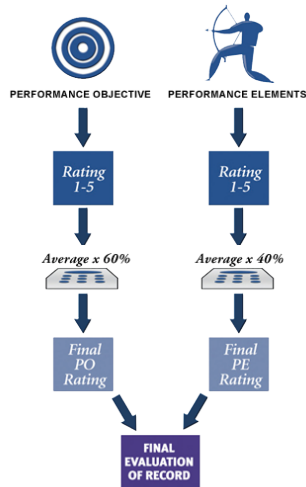
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# Exercise 7-1: Performance Evaluation of Record



## Evaluating Performance

### Evaluating Performance



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Your Notes:



## Evaluating Performance Exercise

### Evaluating Performance Exercise

Performance Objective	Performance Objective Rating	Performance Elements	Performance Element Rating
A	3	Accountability for results	4
B	3	Communication	4
C	3	Critical thinking	3
		Engagement and collaboration	3
		Leadership	3
		Managerial proficiency	3
Final:	?		?
Final Performance Evaluation of Record = ?			

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- Calculate:
  - Final Performance Objective Rating:
  - Final Performance Element Rating:
  - Final Performance Evaluation of Record:

**Your Notes:**



## Answers: Evaluating Performance Exercise

### Answers: Evaluating Performance Exercise

Performance Objective	Performance Objective Rating	Performance Elements	Performance Element Rating
A	3	Accountability for results	4
B	3	Communication	4
C	3	Critical thinking	3
		Engagement and collaboration	3
		Leadership	3
		Managerial proficiency	3
Final:	$3.0 \times 60\% = 1.8$		$3.3 \times 40\% = 1.3$
Final Performance Evaluation of Record = $3.1 = 3 = \text{"Successful"}$			

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## Your Notes:



## Reconsideration Process

### Reconsideration Process

Two reconsideration processes are available to DCIPS employees:

- Informal Reconsideration
- Formal Reconsideration



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### Your Notes:

#### What You Should Know:

##### *Reconsideration Process*

There are informal and formal reconsideration processes available under DCIPS. Both are outlined in DCIPS Volume 2011. Any changes as a result of the reconsideration process must be approved by the PM PRA.

- Informal reconsideration
  - If an employee disagrees with the ratings on the evaluation of record, the employee is encouraged to first contact the rating and reviewing officials within 5 days of the employee's receipt of the rating to resolve the disagreement informally. Oftentimes, this communication helps address and resolve any concerns as it can provide a means to further clarify a rating.
  - The rating and/or reviewing official(s) is/are expected to respond to the



employee, either verbally (which should be documented) or in writing, within 5 days from the day the employee raises the disagreement.

- If the employee, rating official and reviewing official are unable to resolve the employee's issue within this 10-day period, the employee may pursue formal reconsideration.
- Formal reconsideration
- An employee who has first attempted to resolve the disagreement informally has 10 days from the date of the informal decision to initiate the formal reconsideration process.
  - An employee who has not tried to resolve the issue informally has 10 days from receipt of the performance evaluation of record to initiate the formal reconsideration process. Note: Components may, at their discretion, require that the informal reconsideration step be a requirement in the reconsideration process.
  - The employee must submit a written request for reconsideration to the PM PRA with a copy to the rating and reviewing officials and the servicing human resources office. The employee should state in the request for reconsideration why he/she disagrees with the ratings, what change is being requested, and the employee's basis for requesting the change. The employee should also explain how any discussion that may have occurred with the rating and reviewing official did not resolve the matter. Processes for submissions may be established that are component-specific.
  - The employee may identify someone to act as his or her representative to assist in pursuing the reconsideration request.
  - The PM PRA will review the employee's request for reconsideration and confer as necessary with the rating and reviewing official. The PM PRA must render a written decision within 15 calendar days of receipt of the employee's written request for reconsideration. The PM PRA may extend this deadline by another 15 calendar days if needed.
  - The PM PRA must provide a brief explanation of the basis for the decision and also notify the employee that further and final reconsideration of the decision by the Head of the Defense Intelligence Component may be requested by the employee.
  - Any request for final reconsideration must be submitted by the employee to the Head of the Defense Intelligence Component within 7 calendar days of receipt of the PM PRA's decision.

- The Head of the Defense Intelligence Component must render a decision, which is final, within 15 calendar days unless an extension to conduct further inquiry into the matter is necessary. In this case, the final decision must be made not later than 30 calendar days after the employee is notified of the need for additional inquiry.
- If the final decision is to change the performance evaluation of record, the original evaluation will be replaced by the corrected evaluation which will be retroactive to the effective date of the original evaluation of record.
- Alternative dispute resolution may be pursued at any time during the reconsideration process. EEO complaints must be addressed through the EEO discrimination complaint process.

**Your Notes:**

## LESSON 7 REVIEW

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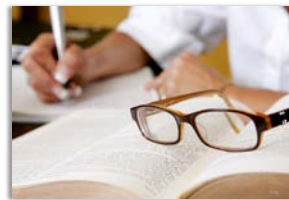


### Lesson 7 Review

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#### Lesson 7 Review

- Topic 1 – Performance Culture
- Topic 2 – Key Roles
- Topic 3 – Performance Management Process
- Topic 4 – Exploring Performance Objectives
- Topic 5 – How Performance is Evaluated



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Performance Management

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- DoDI 1400.25-V2011, “DCIPS Performance Management” and the “IC Performance Standards” provide related policy guidance.
- Take some time to review *DCIPS 101*, the online course that provides an overview of DCIPS and the performance management system.

#### Your Notes:

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### Lesson Transition:

Lesson 8 discusses performance-based salary increases and bonuses.

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