DIAM 22-58

Defense Intelligence Agency Manual

DIA Performance Appraisal System

July 1987

DEFENSE INTELLIGENCE AGENCY
WASHINGTON, DC 20340-0001

MANUAL NO. 22-58
24 July 1987

CIVILIAN PERSONNEL
DIA Performance Appraisal System

1. Purpose: To establish a job-related performance appraisal system for designated employees, compatible with related merit system principles set forth in Title I of the Civil Service Reform Act of 1978.

2. References:

a. Public Law 95-454, "Civil Service Reform Act of 1978."

b. DoD Directive 1430.2, "Civilian Career Management," 13 June 1981.

c. FPM Chapter 351, "Reduction-in-Force."

d. FPM Chapter 451, "Incentive Awards."

e. DoD Instruction 5120.16, "Department of Defense Incentive Awards Program: Policies and Standards," 15 July 1974.

f. DIAR 22-16, "Civilian Awards Program."

g. DIAR 22-30, "DIA Career Ladders."

h. DIA Form 124, "Defense Intelligence Agency Performance Plan and Appraisal."

i. DIAM 22-58, Supplement 1, "Competencies, Performance Areas, and Standards for Professional Intelligence Positions."

j. DIAM 22-58, Supplement 2, "Competencies, Performance Areas, and Standards for Clerical/Administrative Positions."

k. DIAM 22-58, Supplement 3, "Competencies, Performance Areas, and Standards for Professional Support Positions."

l. DIAM 22-58, Supplement 4, "Competencies, Performance Areas, and Standards for Managerial/Supervisory Positions."

m. DIAM 22-58, Supplement 5, "Competencies, Performance Areas, and Standards for Technician and Wage System Positions."

n. Title 5 USC, Section 5335.

3. Applicability and Scope: The performance appraisal system described in this manual is applicable to all DIA civilian employees, except Defense Intelligence Senior Executive Service (DISES) positions. The manual establishes and outlines the system, which is an integral part of the DIA Civilian Personnel Program, and serves as a policy and procedural guide and reference for appraising performance. It also provides guidance which augments related personnel management programs including identifica-

tion of training and career development needs, position description review, awards, and within-grade increases.

4. Definitions:

a. *Competency.* A characteristic of the performer which contributes to success on the job. These characteristics are specifically defined in behavioral terms.

b. *Competency and Performance Area Rating.* A specific numeric rating assigned to a competency or performance area which indicates the degree to which performance standards were met. The five ratings are: "1 - Unsatisfactory," "2 - Minimally Satisfactory," "3 - Fully Successful," "4 - Exceeds Fully Successful," and "5 - Outstanding."

c. *Occupational Group.* A major category of positions within DIA. Each occupational group generally embraces several series or classes of positions in associated or related occupations, professions, or activities. The five occupational groups in DIA are professional intelligence, professional support, clerical, technician and wage system, and managerial/supervisory positions.

d. *Overall Performance Rating.* A summary adjective rating which reflects individual performance area ratings and the summary competency rating. There are five overall performance ratings: "Unsatisfactory," "Minimally Satisfactory," "Fully Successful," "Exceeds Fully Successful," and "Outstanding."

e. *Performance Appraisal.* The periodic review, comparison, and rating of an employee's performance against the established standards for the competencies and performance areas that are relevant to the position.

f. *Performance Area.* A group of related or associated position elements. If one or more of the related position elements are a significant duty or responsibility of a particular position, then the employee will be rated in the performance area.

g. *Performance Plan.* A written plan indicating relevant competencies and performance areas against which an employee's performance will be evaluated for the appraisal period, using established performance standards. It is also the appraisal document.

OPR: RHR-5

h. *Performance Standard.* The expressed measure of level of achievement established for each competency and performance area; the supervisor's expectation of performance. Illustrative standards have been established for each competency and performance area at the Unsatisfactory, Fully Successful, and Outstanding performance levels for each grade level within the five occupational groups.

i. *Position Element.* A component of an employee's position such as an individual duty or responsibility. A group of associated position elements makes up a performance area.

j. *Rating Official.* The official, normally the immediate supervisor, who is responsible for developing a performance plan, periodically reviewing performance, and appraising performance against that plan.

k. *Rating Period.* The period of time, normally 1 year, for which an employee will be appraised.

l. *Reviewing Official.* The official who reviews performance appraisals, normally the second-echelon supervisor responsible for reviewing performance appraisals rendered by subordinate supervisors.

m. *Summary Competency Rating.* The numerical average derived from the average of the individual numerical competency ratings and expressed as an adjective rating of: "Unsatisfactory," "Minimally Satisfactory," "Fully Successful," "Exceeds Fully Successful," or "Outstanding." This rating becomes a component of the overall performance rating.

5. Supersession: This manual supersedes the following:

a. DIAM 22-58, "DIA Performance Appraisal System," Interim Edition, 1 May 1985.

b. DIAM 22-51, "DIA Job-Based Performance Appraisal System," 21 January 1983.

c. DIAM 22-3, "Employee Career Appraisal Program," 19 August 1975.

d. DIAR 22-23, "Within-Grade Pay Increases," 2 July 1981.

e. DIAM 22-18, "Official Performance Ratings," 8 September 1977.

GORDON NEGUS
Executive Director

DISTRIBUTION D&G

RECORD OF CHANGES

Change No.	Date Of Change	Date Entered	Signature of Person Entering Change

TABLE OF CONTENTS

Chapter 1

INTRODUCTION

1. System Features:

a. The performance appraisal system described in this manual is designed to provide an appraisal process that is meaningful and useful to supervisors and subordinates. It is a system tailored to the Agency's needs and developed with the cooperation and input of Agency employees and managers. The system, which is compatible with merit system principles, incorporates contemporary ideas and methods in performance appraisal. It provides for appraising total performance by appraising competencies (i.e., characteristics which lead to job success) and performance areas (i.e., groups of related or associated position elements) thereby introducing an important degree of flexibility and subjectivity while retaining job-relatedness.

b. Job-based competencies, performance areas, and standards have been developed for five occupational groups, including professional intelligence, professional support, clerical/administrative, technician and wage system, and managerial/supervisory positions. The established competencies, performance areas, and standards are designed to assist and guide the supervisor and employee through the performance planning and appraisal process.

c. The appraisal system requires formal performance planning. The employee's performance is measured against established, job-related standards which must be communicated to the employee. Performance is appraised in terms of the competencies and performance areas chosen for the position. Competencies, performance areas, and standards are to be identified by the supervisor with the participation of the employee and will be documented in a written performance plan. Performance planning also requires periodic discussions with the employee about performance and adjustment in the performance plan as needed.

d. Overall performance ratings are established at five levels under this system. The levels are: Unsatisfactory, Minimally Satisfactory, Fully Successful, Exceeds Fully Successful, and Outstanding. Overall ratings are derived from the supervisor's evaluation of the employee's performance on each competency and performance area of the position (i.e., the extent to which performance standards were satisfied, exceeded, or not satisfied).

e. This system provides for an annual appraisal accomplished under a time-phased schedule outlined in this manual.

2. Policy:

a. Embodied in the merit system principles set forth in the Civil Service Reform Act of 1978, Public Law 95-454, are the principles that "Employees should be retained on the basis of the adequacy of their performance, inadequate performance should be corrected, and employees should be separated who cannot or will not improve their performance to meet required standards."

b. It is the policy of the DIA to establish a performance appraisal system which:

(1) Provides for periodic appraisals of employee job performance.

(2) Encourages employee participation in establishing performance standards.

(3) Uses the results of the performance appraisals as the basis for within-grade increases and as input for training, rewarding, reassigning, promoting, reducing in grade, retaining, and removing employees.

c. The performance appraisal system will provide for:

(1) Establishing performance standards which will, to the maximum extent feasible, permit the accurate evaluation of job performance on the basis of criteria related to the position in question.

(2) Communicating to each employee at the beginning of the appraisal period the standards, competencies, and performance areas of the employee's position.

(3) Evaluating and periodically reviewing each employee's performance during the appraisal period on the basis of such standards.

(4) Recognizing and rewarding employees whose performance so warrants.

(5) Assisting employees in attaining at least Fully Successful performance levels.

(6) Withholding within-grade increases, reassigning, reducing in grade, or removing employees who fail to attain Fully Successful performance levels.

d. DIA line managers are responsible for carrying out these policies, using the detailed procedures found in subsequent chapters. Effectiveness in meeting this responsibility will be a factor on which their own performance will be evaluated.

e. The performance appraisal system will be evaluated periodically for effectiveness and refined as appropriate.

3. Guides to Assist in Performance Appraisal:

Two guides designed to provide additional assistance in conducting a performance appraisal are appended to this manual. Enclosure 1, "A Step-by-Step Guide for Performance Planning and Appraisal," fully explains how to complete the performance planning and appraisal process. Enclosure 2, "A Guide to Effective Performance Appraisal in DIA," presents various suggestions, guidelines, and job aids to use during the appraisal cycle.

2

Chapter 2

RESPONSIBILITIES

1. Assistant Deputy Director for Human Resources: The Assistant Deputy Director for Human Resources (RHR) is responsible for the overall development, implementation, and management of the program. In executing these responsibilities, RHR will:

a. Inform supervisors and employees about the program.

b. Provide for training of program participants as required.

c. Evaluate the program periodically.

d. Provide guidance and assistance to line managers in implementation and operation of the program.

e. Process, record, and maintain a file of performance appraisals.

f. Process award recommendations for approval at the appropriate level.

g. Process within-grade increases based on performance appraisals on file.

2. Rating Officials: Rating officials will:

a. In consultation with each employee, identify competencies, performance areas, and standards at the beginning of the rating period and coordinate, as appropriate, with higher-level management.

b. Revise performance plans in consultation with employee, as necessary, during the rating period.

c. Prepare and maintain an accurate position description for each employee and certify the accuracy of the description annually.

d. Keep cognizant of employees' performance and inform employees of specific areas in which improvement is needed and the manner in which it can be made.

e. Discuss with and counsel subordinates on training needs directed toward development and career advancement.

f. Recommend awards and other appropriate incentives for employees whose work is significantly above and beyond performance requirements, and ensure that employees are eligible for recommended awards.

g. Render a timely annual appraisal of each employee's performance.

h. Coordinate appraisal and award recommendations with higher level management, as appropriate, to resolve differences.

i. Provide a copy of the final appraisal to the employee.

j. Take or propose corrective or adverse action, as appropriate, for employees whose performance is below established standards.

3. Employees: Employees will:

a. Participate with management to identify competencies, performance areas, and standards.

b. Advise supervisors of the possible need for revision of performance plans during the rating period.

c. Participate in the appraisal interview and periodic feedback interviews.

d. Comment on and/or request reconsideration in writing through the chain of command if significant disagreement exists on the final appraisal.

4. Reviewing Officials: Reviewing officials will:

a. Ensure that the rating officials under their supervision are familiar with the program.

b. Ensure that the performance expectations/ requirements of each position are realistic, fair, and reasonable in relation to other positions in the reviewing official's area of responsibility, and that they reflect organizational priorities, goals, and objectives.

c. Review performance appraisals and award recommendations for thoroughness, objectivity, soundness, and documentation. Adjust nonconcurring ratings, as appropriate, and provide justification as necessary.

d. Periodically evaluate subordinate supervisors in the execution of their responsibilities under the performance appraisal program.

e. Provide reconsideration of an appraisal if requested in writing.

3

Chapter 3

PERFORMANCE PLANNING

1. General: The performance appraisal program requires performance planning by the supervisor, with the employee actively participating in the process. Planning includes initially defining the employee's position in terms of competencies, performance areas, and established standards of performance. It also includes periodic reviews of performance during the rating period and adjustment of competencies, performance areas, and standards as necessary. Planning, through employee/supervisor interaction and dialogue, periodic reviews, and feedback, fosters a continuing awareness of actual performance, expectations, developmental needs, and possible need for corrective action. These open lines of communication between employee and supervisor serve to reinforce good performance and to allow for timely redirection of poor performance.

2. The Performance Plan:

a. DIA Form 124 (DIA Performance Plan and Appraisal) is the document used during the appraisal period to record competencies and performance areas for an employee. It is also the appraisal document on which actual performance is recorded.

b. The plan will be used to:

(1) Document relevant competencies and performance areas.

(2) Document changes to competencies and performance areas.

(3) Reference relevant performance standards for the employee.

(4) Track performance during the year.

(5) Indicate specific steps the employee may need to take to improve performance, including training.

(6) Document performance.

(7) Document review of appraisal and recommendation/approval of awards.

(8) Document annual position description review and certification.

c. *Employee Participation.* Employees will participate in the development of their own performance plans. Supervisors should meet privately with each subordinate at the beginning of the rating period and formally discuss relevant competencies, performance areas, and standards. It is acceptable for the supervisor or employee to develop a draft performance plan which they then jointly review and discuss. The supervisor must discuss the plan with the employee and consider any adjustments suggested by the employee. The employee and supervisor must sign and date Sections C and D of DIA Form 124 to indicate that the competencies, performance areas, and standards have been reviewed. This does not indicate agreement with the competencies, performance areas, and standards, but merely documents the fact that they have been communicated to the employee. If an employee objects to the performance plan, the supervisor should try to resolve any differences through discussion. If resolution cannot be reached, the matter should be referred to the reviewing official. The decision of the reviewing official is final. When the plan is completed, the employee is given a copy, and the supervisor retains the original. At the end of the rating period, the original will be forwarded to RHR with the employee's annual appraisal.

d. *Performance Plan Revision.* A performance plan may be changed for any reason management determines to be valid. For example, there might be a change in organizational priorities, available resources, duties, or details signaling that a new competency or performance area is relevant. Any change should be discussed thoroughly with the employee. The supervisor is responsible for ensuring that the employee understands the reason for the change, the nature of the change, and the implications for expected future performance. Any differences concerning revisions made to the performance plan should be resolved through discussion with the employee and, if necessary, referred to the next level of supervision. All changes must be documented in Sections C and/or D of DIA 124, initialed, and dated by the supervisor and employee in the appropriate box. Changes must be recorded when they occur or as soon thereafter as operational considerations permit.

e. *Review of Performance Plans.*

(1) Reviewing officials shall review the performance plans of their immediate subordinate line managers, and may review the plans of all of their subordinate employees. This should occur at the beginning of the rating period.

5

(2) The review may be accomplished by the reviewing official personally, in consultation with subordinates, or by using an ad hoc review board established by the official or higher authority.

(3) The purpose of this review will be:

(a) To ensure consistency among similar jobs.

(b) To review the distribution and priority of work implied by the performance area in terms of likely impact upon the accomplishment of organization goals and priorities.

(c) To ensure that appropriate consideration has been given to resources available and that authority has been delegated to meet the requirements of the job.

(d) To ensure consistency between the competencies, performance areas, standards, and organizational function statements, as well as with the official position descriptions.

(e) To ensure compliance with the provisions and intent of this manual.

3. **Competencies, Performance Areas, and Standards:**

a. *Development of Competencies, Performance Areas, and Standards.*

(1) Job-based competencies, performance areas, and standards have been developed for five occupational groups within DIA, and were obtained through a process which relied on gathering extensive data from job incumbents and their supervisors. All units, grade levels, and positions were represented in the process. The competencies, performance areas, and standards for each occupational group were reviewed and edited by management.

(2) The specific competencies, performance areas, and standards to be used in the rating for a given position and grade level are determined from lists in the appropriate resource manuals for the occupational group in which the position falls. A listing of the five occupational groups and related series within each group is provided in attachment 1 of enclosure 1.

b. *Competencies.*

(1) Competencies are characteristics, such as interpersonal skill, attention to detail, or analytical ability, which contribute to job success. The key features of competencies developed in the DIA are that they are directly related to job success and are behaviorally defined.

(2) Each occupational group has a set of *Core Competencies.* These competencies were found to apply to all employees in an occupational group and

must be used in the appraisal process. A competency rating is given for each.

(3) A list of *Supplemental Competencies* was developed for each occupational group. Any one of these competencies may or may not apply to a specific position for the purposes of rating. The combination of core and supplemental competencies for a particular employee is comprehensive and describes an entire position.

c. *Performance Areas.*

(1) A performance area is a major category of work that forms a significant enough part of a position to require a performance rating. Areas are comprised of a group of associated or related position elements. An element is a significant duty or responsibility of a position. Examples of performance areas are "Representing the Organization" and "Intelligence Production." Generally, employees in a particular position will perform some, not all, of the elements within an area. If a particular employee performs one or more elements as a significant part of his or her job, a rating will be given on the performance area containing those elements. The area, therefore, rather than single elements, is rated.

(2) The exact number of performance areas that apply to a particular position will vary depending on factors such as the scope and complexity of the job and the level of detail at which the manager chooses to define the job. Generally, the number of areas should not be so few that adequate appraisal of performance of the total position is hampered. Neither should there be so many areas that the position is unduly fragmented and performance planning becomes unmanageable. It also is logical that similar jobs should have approximately the same number and type of performance areas.

d. *Standards for Competencies and Performance Areas.*

(1) Standards are the means by which one measures the level of achievement specified for each competency and performance area. They are behavioral criteria of the quality, quantity, or timeliness requirements for each competency and performance area. Examples of standards for a competency and performance area are depicted below:

Competency	Standard
Interpersonal Skill	Cultivates contacts with peers to get timely information or resolve issues.

6

Performance Area

Research and Analysis   Fully exploits all available sources of information for research.

(2) Standards for each competency and performance area have been established at three of the five possible levels of performance (Outstanding, Fully Successful, and Unsatisfactory). The standards are meant as examples of performance at the level indicated. The standards are not meant to be exhaustive, but rather illustrative of performance at each performance level. They describe typical behaviors which an individual would have to exhibit routinely in order to warrant being rated at that level. Thus, the standards provide benchmarks of performance that will guide the supervisor in making rating judgments.

(3) Additional standards may be written by a supervisor for any competency or performance area at any performance level. Instructions and forms for writing additional standards appear in enclosure 1 (A Step-by-Step Guide for Performance Planning and Appraisal) of this manual.

7

Chapter 4

PERFORMANCE APPRAISAL

1. General: Appraisal of employee performance, like performance planning discussed in the preceding chapter, is a continual process. It is important that employees are kept informed of their performance in relation to the competencies, performance areas, and standards cooperatively established for their positions. Periodic reviews provide for reinforcement of good performance or correction of poor performance, and redirection when objectives change during the rating period. This chapter discusses performance appraisal in detail.

2. Responsibility for Appraisals:

a. The employee's immediate supervisor normally is responsible for appraising performance.

b. Employees are to be rated at least annually. It is important for purposes of morale, personnel management, employee benefits, within-grade increases, and career development that employees receive accurate and timely performance appraisals. On those rare occasions when a supervisor fails to rate an employee due to unforeseen circumstances or negligence, the responsibility to rate the employee will rest on the next-level supervisor. Managers at successive levels must assure effective performance of subordinate managers in performance planning and appraisal. Performance appraisal is an on-going management responsibility, not merely a once-a-year event.

c. *Request for Extension.*

(1) When an employee has not been subject to this appraisal system for at least 120 days prior to the end of the rating period, the rating supervisor will request an extension of the rating period not to exceed 120 days.

(2) When an employee has been under the observation of the rating supervisor less than 120 days prior to the end of the rating period, and the supervisor feels unable to render a rating because of a lack of opportunity to observe performance, he or she may request an extension of the rating period not to exceed 120 days.

(3) The appraisal period may be extended for 90 days, pending the decision on a proposed adverse action against an employee or for the completion of a 90-day warning period given an employee for a possible "Unsatisfactory" or "Minimally Satisfac-

tory" overall rating. Within grade increases will not be processed during this period.

(4) Requests for extensions must be submitted promptly in writing with supporting justification to RHR-4.

(5) Extensions for any combination of reasons will not exceed 120 days, and will not alter the scheduled rating date for subsequent appraisals.

3. The Appraisal Cycle:

a. The annual performance appraisal period for major groups of employees will be staggered as follows:

Professional Intelligence Positions	1 July - 30 June
Managerial/Supervisory Positions	1 October - 30 September
Professional Support Positions	1 April - 31 March
Clerical/Administrative Positions	1 January - 31 December
Technician and Wage System Positions	1 January - 31 December

b. Appraisals must be submitted by the rating official to the reviewing official no later than 5 workdays after the close of the rating period. Review, approval, and feedback to the employee must be completed within 20 workdays following the rating period. Appraisals are then forwarded to RHR-4. Employee requests for reconsideration must be submitted within 5 workdays following the feedback interview in accordance with the procedures outlined in Section 8 of this chapter.

4. Performance Planning and Appraisal Process:

a. Appraisal of performance is very closely integrated with performance planning. While the employee is not given a formal overall rating until the end of the rating period, it is impossible to discuss progress or adjustments without discussing performance. When this is accomplished conscientiously during the year, there should be no "surprises" at the end of the rating period.

b. The planning and appraisal process consists of the following major steps:

(1) Selection of Relevant Competencies, Performance Areas, and Standards.

(2) Initial Interview.

(3) Periodic Review.

(4) Appraisal Interview.

(5) Reviewing Official's Action.

(6) Feedback. These steps are outlined in Enclosure 1, (A Step-By-Step Guide for Performance Planning and Appraisal).

5. Special Appraisals:

a. *Entrance Ratings.* A "Fully Successful" official performance rating will be assigned administratively by the Directorate for Human Resources when an employee is first appointed or on the effective date that he or she is moved permanently to a different line of work or grade level. When the DIA employee has a current "Exceeds Fully Successful" or "Outstanding" rating and the positions from and to which he or she is assigned are in the same competitive level or when his or her position is reclassified at the same grade with no change in the duties, the rating will remain in effect until a new annual or special rating is assigned.

b. *Departure of Rating Official.* When the rating official departs during the appraisal period, the employee's performance plan must be passed to the new supervisor.

c. *Detail and/or Rotational Assignment.* When an employee subject to this appraisal system has been on detail or rotational assignment to another position either within DIA or outside the Agency during the rating period or is on detail or rotational assignment at the end of the rating period, the parent supervisor will render the annual appraisal. The detail duties will be documented in the performance plan and reflected in the appraisal. This can be accomplished by obtaining a memorandum from the employee's temporary supervisor outlining competencies, performance areas, standards, and performance.

d. *Training.* Long-term training, associated with a planned development program may extend over most of the annual rating period. In these cases, if the employee has not performed the duties of his/her position for at least 120 days during the rating period, an overall performance rating identical to his/her previous rating of record will be administratively assigned.

e. *Upon Request.* Special appraisals may be initiated by the supervisor or requested by the Directorate for Human Resources to meet specific requirements such as the following:

(1) When an employee is being considered for conversion to a career appointment or for promotion and there is no current appraisal on file.

(2) When there is a significant change in performance that would impact on the granting of a within-grade increase (see Chapter 6).

(3) To validate the adequacy of the selection or assignment of a new employee to the Agency and to follow up on his/her progress. Although the selection of an employee is based on meeting specified Agency qualification requirements, it does not assure that the employee will perform satisfactorily. Therefore, a special appraisal prepared by the supervisor 120 days after the new employee is in position may be requested to determine whether he or she is capable of meeting the basic job and performance requirements. This appraisal should provide motivation and identify training or other assistance that might be needed to develop a productive and satisfied employee.

(4) To document adverse actions.

6. Performance Ratings:

a. Employees will be evaluated based on a comparison of their performance with the standards established for each competency and performance area of their positions. The evaluation process will result in a rating of each designated competency and performance area identified in the planning phase, and an overall rating derived from a composite of the summary competency and individual performance area ratings. These ratings are explained below.

b. *Definition of Ratings.* The following numeric ratings and definitions will apply for each performance level.

5 — Outstanding: Performance in relation to the established standards consistently far exceeds that normally expected by the supervisor of an employee at the experience and grade level of the ratee, and is of such quality that it only could be achieved by the most exceptional employee.

4 — Exceeds Fully Successful: Performance in relation to the established standards exceeds that normally expected by the supervisor of an employee at the experience and grade level of the ratee.

3 — Fully Successful: Performance in relation to the established standards fully meets that normally expected by the supervisor of an employee at the experience and grade level of the ratee.

2 — Minimally Satisfactory: Performance in relation to the established standards is less than

that normally expected of an employee at the experience and grade level of the ratee.

1 — Unsatisfactory: Performance in relation to the established performance standard is clearly unacceptable for an employee at the experience and grade level of the ratee.

c. *Competency and Performance Area Rating.* Each competency and performance area must have one or more performance standards which represent each of the following three levels of performance: Outstanding, Fully Successful, and Unsatisfactory. Supervisors must determine the extent to which the employee's performance satisfies the standards. One of the numeric ratings is then entered on DIA Form 124, Sections C and D, Part 2.a., to represent the rating for each competency and performance area.

    5 — Outstanding
    4 — Exceeds Fully Successful
    3 — Fully Successful
    2 — Minimally Satisfactory
    1 — Unsatisfactory

d. *Summary Adjective Rating of Competencies.* The summary rating of competencies is the adjective rating closest to the average numerical score for all individual competency ratings. The average competency rating is computed by dividing the sum of all competency ratings by the number of competencies rated. The summary competency rating is then determined by using the following scale to translate the average rating into the adjective rating:

Outstanding	4.5 and over
Exceeds Fully Successful	3.5 to 4.4
Fully Successful	2.5 to 3.4
Minimally Satisfactory	1.5 to 2.4
Unsatisfactory	1.4 and below

e. *Overall Adjective Performance Rating.* This rating describes the overall performance of the employee and is determined from a composite of the summary rating of competencies and the individual performance area ratings. The overall rating is entered on DIA Form 124, Section B, Part 1.a.

7. Minimally Satisfactory and Unsatisfactory Ratings:

a. Before an overall rating of Minimally Satisfactory or Unsatisfactory is assigned, the supervisor must give the employee a written 90-day warning letter, planned assistance, and a reasonable opportunity after the warning to demonstrate satisfactory performance.

b. The warning letter will inform the employee specifically:

(1) How performance fails to meet the requirements for the position.

(2) How performance may be improved.

(3) What efforts will be made to assist and/or train the employee in improving performance.

(4) That the employee has 90 days to bring about the improvement.

(5) That any within grade increase that is due will be withheld until performance improves to the Fully Successful level.

(6) That an overall rating of Minimally Satisfactory or Unsatisfactory will be rendered if performance does not improve to meet requirements, and that he/she cannot receive a within grade increase with a rating of less than Fully Successful.

(7) That if the necessary improvement is made, a Fully Successful rating will be rendered and the warning letter will not be retained in the Official Personnel Folder.

c. The supervisor will prepare and issue the warning notice when such action is appropriate and after consultation and coordination with a higher level supervisor and the Directorate for Human Resources Civilian Employee/Management Relations Division (RHR-4). The original of the signed warning letter will be given to the employee, one copy will be retained by the supervisor, and one copy will be forwarded to RHR-4 to be filed in the Official Personnel Folder.

d. If the employee's performance improves sufficiently within 90 days to warrant a Fully Successful rating, the supervisor will complete the appraisal form reflecting a Fully Successful rating. Upon receipt of DIA Form 124 by the Directorate for Human Resources office, the warning notice will be removed from the Official Personnel Folder and destroyed. If a within-grade increase was being withheld due to less than Fully Successful performance, it will be processed at the beginning of the first pay period following receipt of the DIA Form 124 by RHR-4.

e. If the employee's performance does not improve sufficiently within the 90 days to warrant a rating of Fully Successful, the immediate supervisor, after consultation with the appropriate higher level supervisor and obtaining the coordination of RHR, will deliver to the employee the written notice of Minimally Satisfactory or Unsatisfactory rating that was previously withheld. This will be followed by appropriate management action, which may in-

clude mandatory training, reassignment, or adverse action in accordance with DIAR 22-7, "Separation, Suspensions, and Other Adverse Actions."

8. Request for Reconsideration of Rating:

a. Employees who are dissatisfied with the overall rating or ratings on one or more competencies and/or performance areas may request a reconsideration of the rating(s) in accordance with provisions of this paragraph which supersede provisions of DIAR 22-12, "Grievance Procedures."

b. An employee will request reconsideration by the reviewing official in writing within 5 workdays after receipt of the rating. The reviewing official should respond within 5 workdays, but in no case later than 10 workdays after receipt of such a request. A response which summarizes the employee's request, consideration accorded it, and the conclusion reached must be in writing.

c. If the employee is dissatisfied with the reviewing official's response or fails to receive a response within the specified timeframe, he/she may, within 5 working days, petition the Directorate Head or Chief of Special Office for a final review. This petition must:

(1) Be written.

(2) State the specific ratings on competencies and/or performance areas challenged.

(3) State the remedy sought.

(4) Include any available evidence to support the petition.

d. The Directorate Head or Chief of Special Office may assign an employee to act as a factfinder and to make a recommendation; still, a written decision must be issued within 15 workdays of the receipt of the petition. This will be the final Agency decision which is not subject to further administrative appeal or review.

e. In cases where the Directorate Head or Chief of Special Office is the rater or reviewer, the Executive Director (ED) will render a final review according to c. and d. above. Should the ED be the rater or reviewer, the Director will render a final review according to c. and d. above.

f. Employees and supervisors should consult with a representative of the Directorate for Human Resources, Employee/Management Relations Division, RHR-4, for guidance in applying the provisions of this paragraph.

9. Reduction-in-Force:

a. If a retention register is developed due to a reduction-in-force (RIF), an employee is entitled to receive extra service credit for performance ratings based on the mathematical average of the employee's last three annual performance ratings of record received during the 3-year period prior to the date of issuance of a specific RIF notice as follows:

(1) Twenty additional years of service credit for an average rating of Outstanding (4.5 - 5.0); or

(2) Sixteen additional years of service credit for an average rating of Exceeds Fully Successful (3.5 - 4.4); or

(3) Twelve additional years of service credit for an average rating of Fully Successful (2.5 - 3.4).

b. Service credit for employees who do not have three actual performance ratings of record during the 3-year period prior to the date of the specific RIF notice will be determined in accordance with the Office of Personnel Management requirements.

12

Chapter 5

RECOGNITION

1. Policy: It is DIA policy that employees should be assisted in attaining Fully Successful performance and recognized for exceptionally high performance. The results of performance appraisal will be the basis for granting of within-grade increases and may be used as input for training, rewarding, reassigning, promoting, reducing in grade, retaining, and removing employees.

2. Reinforcing Exceptionally High Performance:

a. In many instances of exceptionally high performance, the most important tool available to the supervisor to reinforce that high level is communication. All people like to hear good things about themselves. The appraisal interview can be a time for recounting successes over the past year that might not have been commented upon at the time they occurred due to the press of other activities. There is really no substitute for the supervisor telling an employee, face to face, that his/her performance is exceptional.

b. In some instances, the performance may be so exceptional that the supervisor feels further recognition is also needed. An initial consideration at this point should be whether the employee is in a career ladder where a promotion is anticipated within the next few years. If that is the case, the future promotion itself serves as further recognition of the exceptional performance. A developmental assignment (such as nomination for attendance at the National War College) which would enhance promotional opportunities in the long term would also serve to reinforce the exceptional performance.

c. In other instances, where none of these forms of recognition are applicable to the exceptional performer, monetary recognition may be considered. Not more than one monetary performance-based award, i.e., Quality Salary Increase (QSI) or Sustained Superior Performance (SSP), may be granted within a 24-month period from the closing date of the performance period upon which the last QSI or SSP was based. There is no requirement that performance rated at a certain level be recognized financially. An overall performance rating of Fully Successful, Exceeds Fully Successful, or Outstand-ing would permit the supervisor to recommend a performance award.

3. Procedures for Monetary Recognition:

a. *Types of Recognition.* For performance that is so far above what is normally expected that formal documentation and communication of that performance is not of itself sufficient recognition, supervisors may recommend one of two forms of monetary recognition — a pay action in the form of a QSI, or a performance-based cash award in the form of a SSP award.

b. *Initiation and Review.* Recommendations for recognition will be initiated by the employee's immediate supervisor or other manager (in conjunction with the immediate supervisor) having direct knowledge of the employee's performance.

c. *Documentation and Justification.*

(1) The performance appraisal will serve as justification for a QSI or SSP.

(2) The employee's rating official should indicate the recognition recommended, if any, on DIA Form 124, Section B, Part 1.b.

(3) The reviewing official may concur, nonconcur, or indicate an alternative to the recommended recognition in DIA Form 124, Section B, Part 2.b. Space for related comments by the reviewing official is provided in Section B, Part 2.c.

(4) The official recommending an award must ensure that the comments on DIA Form 124 support the award. The justification description on DIA Form 124 should be used and may be supplemented with additional comments in Section E, Part 1.a. of the form if necessary. Statements of justification should be brief and factual, and emphasize results achieved which show how the established standards of performance have been exceeded.

(5) Detailed criteria for the QSI and SSP are outlined in DIAR 22-16.

d. *Approval.* Signature on the appraisal form by the rating and reviewing official will normally constitute approval of the QSI or SSP. Directorates may, however, establish internal procedures for review of QSIs and SSPs prior to signature by the reviewing official. Recognition also is subject to administrative review by the Directorate for Human Resources official.

13

4. Monetary Recognition for Exemplary Performance: In rare situations, an employee may exhibit continued exemplary performance that far exceeds the standards established for the position at the grade level to which assigned. For performance that is consistently outstanding, a recommendation for an "Exemplary Performance Award" may be initiated by the rating official by adding the Award to DIA Form 124, Section B, Part 1b. using the following guidelines:

a. The employee must have been at the same grade level for the last 3 years.

b. The employee's last two performance ratings and the current rating being assigned must be Outstanding.

c. No more than 2 percent of each performance appraisal group in the Deputy Directorate may receive this award during any 1-year period. All Special Offices reporting to the ED will be equivalent to a Deputy Directorate for computing the 2 percent.

d. The monetary value of this award, which is administratively reviewed and processed identically to a QSI, is equal to two QSIs.. The procedures in paragraph 3. above should be followed for the documentation, justification, and approval for this award except that all recommendations for an "Exemplary Performance Award" must be approved by the appropriate Deputy Director for or the Executive Director. The appropriate signature block should be added to DIA Form 124, Section B, Part 2.d.

Chapter 6

WITHIN-GRADE PAY INCREASES

1. Policy: Within-grade increases will be granted to employees who have a current performance rating (i.e., within the last year) of Fully Successful or above.

2. Definitions:

a. *Within-grade increase (WGI).* A periodic increase in an employee's rate of basic pay from one step in his/her pay schedule to the next higher step.

b. *Waiting Period.* The minimum creditable service time required to become eligible for a within-grade increase.

c. *Calendar Week.* Any 7 consecutive calendar days.

d. *Acceptable Level of Competence.* A rating of Fully Successful or above on the current performance appraisal.

e. *Equivalent Increase.* An increase in the employee's rate of basic pay equal to or greater than the difference between the rate of pay and step occupied by the employee and the next higher step of that grade.

f. *Break in Service.* Period in non-pay status between appointments with the Federal Government that exceeds 3 calendar days.

3. Eligibility: All DIA employees are eligible for within-grade increases except:

a. Employees paid under the Administrative/Special Rate Pay Schedules who are on a time-limited appointment of 1 year or less;

b. DISES members;

c. Experts and consultants; and

d. Those who are at the maximum step of their pay schedule.

4. Waiting Periods: Employees who are not at the maximum step of their grade level may advance to the next step in accordance with the following:

a. *Administrative/Special Rate Pay Schedules.* The administrative pay schedules and all DIA special pay rate schedules have 10 steps. Employees on permanent appointments (i.e., those without time limitations of 1 year or less) who have prearranged regularly scheduled tours of duty have waiting periods as follows:

(1) 52 calendar weeks of service for advancement to Steps 2, 3, 4;

(2) 104 calendar weeks of service for advancement to Steps 5, 6, 7; and

(3) 156 calendar weeks of service for advancement to Steps 8, 9, 10.

Employees on permanent appointments who work a part-time or intermittent work schedule without prearranged regularly scheduled tours of duty have waiting periods as follows:

(1) 260 days of creditable service over a period of at least 52 calendar weeks for advancement to Steps 2, 3, and 4.

(2) 520 days of creditable service over a period of at least 52 calendar weeks for advancement to Steps 5, 6, and 7; and

(3) 780 days of service over a period of at least 156 calendar weeks for advancement to Steps 8, 9, and 10.

b. *Wage Schedules.* Each grade of a regular supervisory, non-supervisory and leader wage schedule has five step rates. The lithographic schedule has three steps. Waiting periods for advancement are as follows:

(1) 26 calendar weeks of service in Step 1, regular and lithographic;

(2) 78 calendar weeks of service in Step 2, regular and lithographic; and

(3) 104 calendar weeks of service in Steps 3 and 4, regular only.

c. Waiting periods for all employees begin with the first appointment as a Federal employee. New waiting periods begin when the employee receives an equivalent increase or has a break in service or a period in non-pay status in excess of 52 calendar weeks.

5. Granting of Within-grade Increases:

a. *General.* Employees who have completed the required waiting period and have demonstrated Fully Successful performance will be granted within-grade increases. The supervisor determines whether an employee's performance is Fully Successful as part of the continuous appraisal process. All employees who have a current performance rating (i.e., within the last year), under the provisions of this regulation, of Fully Successful or above, and who have maintained their performance at that level or

above through the end of the waiting period, will be granted a within-grade increase. Employees with ratings of Minimally Satisfactory or Unsatisfactory will not receive a within-grade increase until performance is rated at least Fully Successful by the supervisor.

(1) RHR Action. Each quarter, RHR will forward to the administrative element of each Deputy Directorate, Chief of Special Office, or CAO, as appropriate, the following information concerning employees who will meet the service requirements for a within-grade increase during the forthcoming quarter:

(a) A list of employees who have current performance ratings of Fully Successful or above;

(b) A list of employees who have ratings of Minimally Satisfactory or Unsatisfactory; and

(c) A list of employees who have administratively assigned ratings of Fully Successful.

(2) Supervisor Action. Supervisors will review the lists and immediately notify RHR-4 of any significant changes in performance that would impact on the granting or denial of a within-grade increase. Employees with performance ratings of Unsatisfactory or Minimally Satisfactory are not eligible for within-grade increases until the supervisor renders a new performance rating of at least Fully Successful. Employees should not be granted within-grade increases if:

(a) They have received notification of a proposed separation or change to lower grade for reasons of inefficiency or misconduct.

(b) There are any pending actions related to security or misconduct that the supervisor determines impacts on his/her competence.

It is the supervisor's responsibility to ensure that the performance rating of record accurately reflects the employee's performance. If the supervisor does not notify RHR-4 of any significant changes, the within-grade increases will be automatically processed or withheld based on the performance appraisal of record.

6. Creditable Service: All Federal civilian service in any branch of the Federal Government is creditable toward completion of the required waiting period as listed below:

a. All continuous service since the last equivalent increase (or original appointment) including all periods of leave with pay (e.g., sick, annual).

b. Service performed before a break in service of not more than 52 calendar weeks or a period of non-pay status of not more than 52 calendar weeks.

c. All periods of non-pay status during which the employee was receiving compensation for injury under the Federal Employee's Compensation Act.

d. Service in the Armed Forces or in essential non-Government civilian employment which interrupts otherwise creditable service during a period of war or national emergency.

e. Periods between date of separation with a reemployment right granted by law, Executive Order or regulation, and date of return to duty through the exercise of that right.

f. For Administrative and Special Rate Pay Schedule employees, other periods in a non-pay status are creditable as follows:

(1) Up to 2 workweeks in the waiting period for Steps 2, 3, and 4 (52 calendar weeks).

(2) Up to 4 workweeks in the waiting period for Steps 5, 6, and 7 (104 calendar weeks).

(3) Up to 6 workweeks in the waiting period for Steps 8, 9, and 10 (156 calendar weeks).

g. For Wage System Pay Schedule employees, other periods in a non-pay status are creditable as follows:

(1) 1 workweek in the waiting period for Step 2 (26 calendar weeks).

(2) 3 workweeks in the waiting period for Step 3 (78 calendar weeks).

(3) 4 workweeks in the waiting period for Steps 4 and 5, if applicable, (104 calendar weeks).

7. Noncreditable Service: The following is not creditable service in computation of a waiting period:

a. Overtime work.

b. Service performed before a break in service or a period in non-pay status that exceeds 52 calendar weeks.

c. The period between the date an employee leaves a civilian position to enter the Armed Forces and the date of reemployment when reemployment is not within 52 calendar weeks from the date of discharge from the Armed Forces, except as provided by law.

8. Equivalent Increases: Employees begin a new waiting period for within-grade increases when their rate of basic pay is increased by at least the equivalent of one within-grade increase in the grade occupied. The following do not count as equivalent increases:

a. Adjustment to DIA's Administrative Pay Schedule to conform to statutory pay increases authorized for the General Schedule.

b. Premium pay for overtime, holiday, or Sunday work.

c. Night differential pay.

d. Temporary promotions when the employee returns to his/her lower graded position within 1 year or less.

e. Quality Salary Increases (QSI).

9. Request for Reconsideration of Determination to Withhold a WGI: Since the performance rating of record is the basis for the granting or withholding of the WGI, reconsideration requests are for the performance rating (see Chapter 4, paragraph 8). The performance appraisal also will serve as the official notification to the employee that a WGI will be withheld.

10. Effective Date of Within-grade Increases: A WGI will be effective at the beginning of the first pay period after completion of the required waiting period.

17

Chapter 7

DOCUMENTATION AND EVALUATION

1. Records Maintenance:

a. The original DIA Form 124 will be retained by the Directorate of Human Resources for 3 years. Ratings will be permanently stored in the DIA Personnel Management Information System.

b. It is recommended that supervisors maintain a file of their employee's performance records and that the records retention schedule be followed. This system of records should include the performance plan and appraisal, coaching/counseling records, warnings, reprimands, and other documentation. Throughout the appraisal period, supervisors should keep notes on subordinates' performance. This ia a way to track performance that may be forgotten or otherwise overlooked. In particular, notes should record events for which no formal written records are maintained, such as comments from clients and supervisory/employee discussions. Such notes will be essential for appraising performance on competencies and performance areas lacking tangible products, e.g., providing information over the telephone or communicating to management. For such competencies and performance areas, notes should include a record of key incidents which are examples of the employee's performance.

c. Any documentation used by the supervisor to prepare or to justify the rating on the written appraisal becomes a part of the official record. For example, the DIA Form 124 would be part of the official record, as would notes on the DIA Form 309, which supervisors maintain during the appraisal period, if they are to support a rating on a written annual appraisal. A supervisor's miscellaneous uncirculated notes, not used as a basis for the rating, however, do not constitute a system of records under the Privacy Act and are, therefore, not normally available to the employee.

2. Program Evaluation:

Periodically, RHR will evaluate the effectiveness of the performance appraisal program in accordance with DIAR 20-3, "Personnel Management Evaluation." When an evaluation reveals areas needing improvement, RHR will use the evaluation data to refine, alter, or improve the system. Reports will be prepared for the Command Element and/or the Senior Human Resources Board upon request.

STEP-BY-STEP GUIDE FOR PERFORMANCE PLANNING AND APPRAISAL

1. **Purpose:** The specific purpose of this guide is to provide step-by-step instructions for completing the performance planning and appraisal process. It also facilitates the use of the Supplements containing competencies, performance areas, and standards developed for the five occupational groups within DIA.

2. **The Performance Planning and Appraisal Process:** The performance planning and appraisal process consists of the following six steps:

    a. Determine the relevant competencies, performance areas, and standards.

    b. Conduct the initial interview.

    c. Perform periodic review.

    d. Conduct the appraisal interview.

    e. Action by Reviewing Official.

    f. Provide feedback.

STEP 1: DETERMINE THE RELEVANT COMPETENCIES, PERFORMANCE AREAS, AND STANDARDS

    a. Collect and review applicable reference materials. The appropriate Supplement developed for the occupational group of the employee to be rated is the primary reference material for identifying relevant competencies, performance areas, and standards. A listing of the five occupational groups and job series within each group is in Attachment 1. Other sources might include the position description and past appraisal documents.

    b. Review the core competencies for the position in the applicable Supplement. Remember, core competencies are common to all employees in an occupational group and they will be rated on each one. Record each core competency title and page reference from the manual in Section C, Part 1, of DIA Form 124.

    c. Review and select any supplemental competencies relevant to the position from the applicable Supplement. Supplemental competencies should be included in the performance plan if they represent important aspects of performance or characteristics associated with success in the position. Record the supplemental competency titles and page reference from the manual in Section C, Part 1 of DIA Form 124.

    d. Review and select any performance areas relevant to the position from the applicable Supplement. In selecting the areas on which to rate the employee, refer to the listing of performance areas and related elements in the resource manual. A performance area should be included in the performance plan if one or more of the related elements in that area represents a significant part of the employee's job. The number included will depend on the complexity and scope of the position. Remember two important points in selecting performance areas:

      • The related elements listed under each area are representative samples. There may be others, not listed, that the rater can fit into one or another of the areas and as a result want to rate on that area.

• Most positions will be comprised of at least several of the performance areas. Few, if any, are adequately defined by a single performance area. Record the performance area titles and page reference from the manual in Section D, Part 1 of DIA Form 124.

e. Review the illustrative standards at the Outstanding, Fully Successful, and Unsatisfactory levels for each competency and performance area that are relevant to the position and grade level of the employee. Remember that the standards are not meant to be exhaustive, or all-inclusive. The standards, rather, take the form of "examples" of behavior which would typify the performance of an individual at a particular level of performance. Those standards most illustrative of the performance the supervisor expects the subordinate to exhibit (or to avoid) should be noted for discussion in the initial interview.

f. Develop additional standards if the group of standards appearing in the manual is deficient (i.e., they do not adequately illustrate the performance you expect at the various levels of performance). Additional standards can be written for any competency or performance area at any or all of the five performance levels.

g. Follow these guidelines if you write additional standards. Standards should be:

(1) Consistent with the illustrative standards depicted in the resource manual for the particular occupational group;

(2) Reasonable, given scope of job;

(3) Behaviorally based (i.e., describe what the employee should or should not do); and

(4) Consistent with those set for other positions of the same series and grade.

h. Record any additional standards on a copy of Attachment 2 (Additional Standards for Competencies) or Attachment 3 (Additional Standards for Performance Areas) duplicated from this manual and attach to DIA Form 124. Once attached and signed by both the employee and the supervisor, the attachment becomes an official part of DIA Form 124. A sample of a completed additional standards form appears in Attachment 4.

STEP 2: CONDUCT THE INITIAL INTERVIEW

a. Supervisor and employee complete Section A, Part 1, of DIA Form 124.

b. Supervisor and employee discuss each competency, performance area, and all applicable standards, including any additional written standards, referring to the appropriate resource manual.

c. Supervisor and employee sign and date Section C and D, Part 1, and any sheets appended containing additional standards to indicate that the competencies, performance areas, and standards have been reviewed.

STEP 3: PERFORMANCE PERIODIC REVIEW

a. Monitor employee's performance and provide frequent feedback; establish a dialogue on performance.

b. Discuss any problem areas that may affect performance and potential solutions.

c. Assess continuing relevance of supplemental competencies, performance areas, and standards.

ENCLOSURE 1

d. Revise (i.e., add, delete, or modify) supplemental competencies, performance areas, and/or standards if significant changes in the job requirements, priorities, or job environment warrant such a change.

e. Discuss any such changes with the employee.

STEP 4: CONDUCT THE APPRAISAL INTERVIEW

Prior to the interview:

a. Review the performance plan and tentatively assess the employee's performance relative to the illustrative standards for each competency and performance area.

b. Tentatively determine the rating for each competency and performance area using the numeric rating scale described below:

<div align="center">

5 – Outstanding
4 – Exceeds Fully Successful
3 – Fully Successful
2 – Minimally Satisfactory
1 – Unsatisfactory

</div>

c. Tentatively determine a Summary Rating of Competencies by:

(1) Computing the average competency rating by dividing the sum of all competency ratings by the number of competencies rated; and

(2) Translating the average competency rating into a summary competency adjective rating by using the following scale:

Outstanding	4.5 and over
Exceeds Fully Successful	3.5–4.4
Fully Successful	2.5–3.4
Minimally Satisfactory	1.5–2.4
Unsatisfactory	1.4 and below

d. Tentatively determine an Overall Rating of Performance by:

(1) Considering the "Summary Rating of Competencies" from c. above to be weighted as one performance area.

(2) Determine the overall rating which best represents the rating given for each performance area including the summary rating of competencies.

(3) Apply the following decision rules:

If the summary rating of competencies is less than Fully Successful, then no overall rating of Fully Successful or higher can be given.

If any performance area is rated less than Fully Successful, then no overall rating of Outstanding can be given.

e. Discuss the tentative appraisal with the reviewing official, particularly if a problem is anticipated in the appraisal interview or the reviewing official may disagree with the recommended rating. The matter should be discussed with the reviewing official to gain consensus.

ENCLOSURE 1

During the interview:

f. Discuss performance with the employee in relation to each competency and performance area, and overall performance.

Following the interview:

g. Prepare DIA Form 124 in final by:

(1) Entering rating of performance on each competency and performance area in boxes marked "Numeric Rating" in Sections C and D, Part 2a., on DIA Form 124.

(2) Preparing a justification for any competency or performance area receiving a numeric rating of 5 (Outstanding), 4 (Exceeds Fully Successful), 2 (Minimally Satisfactory), or 1 (Unsatisfactory). Standards provide a basis for justification. Justification should be brief, concisely written, and behaviorally based. They should indicate what the supervisor observed, reviewed, read, or assessed regarding actual performance. Sample justifications appear in Attachment 5.

(3) Entering any additional comments in Section E, Part 1.a. and signing that section. These comments may address performance, award recommendations, plans for development or improvement (supporting entries on the DD Form 1917 (Employee Career Appraisal) and DD Form 1932 (Employee Qualification Record)). Comments should be brief, concise, and specific. A sample appears in Attachment 6.

(4) Completing the Overall Rating in Section B, Part 1.a.

(5) Completing Section B, Part 1.b., Recognition, as appropriate.

h. Allow employee to make comments and sign Section E, Part 2. Signature does not necessarily imply concurrence with evaluation.

i. Forward the appraisal to the reviewing official.

STEP 5: ACTION BY REVIEWING OFFICIAL

a. Review the appraisal and award recommendations for thoroughness, objectivity, soundness, documentation, and consistent approach across subordinate component lines.

b. Consider employee's comments, if any, on the appraisal and resolve problems to the extent possible.

c. Try to achieve rater/reviewer consensus to the extent possible, but failing that, change the rating as appropriate and provide specific comments to support the change. An example might involve documentation not consistent with the rating recommended.

d. Signature on the appraisal form by the reviewing official will constitute approval of performance ratings and recognition, if any.

e. Directorate may establish internal procedures for review of performance recognition prior to signature by the reviewing official. Recognition also is subject to administrative review by an RHR official.

STEP 6: PROVIDE FEEDBACK

a. Provide a copy of the approved appraisal to the employee.

b. Forward the original of the DIA Form 124 to RHR-4.

c. Use the feedback interview to discuss the performance plan for next year, if appropriate.

ENCLOSURE 1

OCCUPATIONAL GROUPS AND RELATED SERIES

I. PROFESSIONAL INTELLIGENCE POSITIONS

SERIES	POSITIONS
110	Economist
132	Professional Intelligence
401	General Biologist
403	Microbiologist
801	General Economist
806	Materials Engineer
840	Nuclear Engineer
855	Electronic Engineer
861	Aerospace Engineer
893	Chemical Engineer
1083	Technical Editor
1301	General Physical Scientist
1310	Physicist
1320	Chemist
1515	Operations Research
1520	Mathematician
1710	DIC Faculty Member
1712	DIC Faculty Member

II. CLERICAL AND ADMINISTRATIVE

203	Personnel Assistant, Administrative Assistant
303	Administrative Assistant, Staff Assistant
304	Administrative Assistant (Receptionist)
305	Intelligence Production Technician
312	Clerk Stenographer
318	Secretary
322	Clerk Typist
344	Administrative/Management Assistant
359	Administrative Assistant (EAM Operator)
2132	Administrative Assistant (Travel)

III. SUPPORT PROFESSIONALS

080	Security Officer
170	Historian[1]
201, 212, 230, 235, 260	Human Resources Managers
301	Miscellaneous Administrative/Management/ Program Officer
334	Computer Specialist
341	Administrative Officer
343	Management Analyst
345	Program Analyst

Attachment 1 to ENCLOSURE 1

SERIES	POSITIONS
346	Logistics Management[1]
391	Communications Manager
393	Communications Specialist
505, 510, 560	Financial Resources Manager
808	Architecture[1]
830	Mechanical Engineer[1]
850	Electrical Engineer[1]
905	Attorney[1]
1001	General Arts and Information[1]
1040	Language Specialist
1071	Audio Visual/Production Specialist[1]
1084	Visual Information Specialist
1102	Contract Specialist
1152	Production Control
1176	Building Manager[1]
1386	Photographic Technologist
1410, 1412	Information Services Specialist
1550	Computer Specialist
1640	Facilities Management Specialist[1]
1654	Printing Management[1]
1701, 1702	General Education/Training Specialist[1]
1960, 2001, 2003, 2010, 2030, 2050	Supply Specialist
2101	Transportation

---

[1] Because of the small numbers involved, specific competencies, performance areas, and standards (CAS) were not developed for these positions. General CAS's developed for other series may be used and specific CAS's can be developed using the guidelines in this enclosure to the DIAM.

IV. MANAGERIAL/SUPERVISORY

The Managerial/Supervisory group is divided into first- and second-level supervisors, not into series. For this purpose, first-level supervisors are those who directly supervise and rate performance of non-supervisory employees, and who are formally classified as supervisors. Second-level supervisors are those who supervise employees through others who are formally classified as supervisors, irrespective of whether there is one or more level of supervision under them.

Attachment 1 to ENCLOSURE 1

V. TECHNICIANS AND WAGE SYSTEM

SERIES	POSITIONS

SERIES	POSITIONS
085	Guard
134	Intelligence Technician
332	Computer Systems Operator
335	Computer Technician, Administrative Assistant (Computers)
525	Accounting Technician
561	Budget Technician[1]
802	Engineering Technician[1]
1060	Photo Specialist, Photo Technician
1311	Physical Science Technician[1]
1411	Document Services Technician
1670	Equipment Specialist
1702	Education/Training Technician
2005	Supply Technician[1]
XL, XP, XS	Lithographer
WP	Electronic Equipment Installer
WG	Stock Room Warehouse
WL	Motor Vehicle Operator[1]

---

[1] Because of the small numbers involved, specific competencies, performance areas, and standards (CAS) were not developed for these positions. General CASs developed for other positions may be used and specific CASs can be developed using the guidelines in this enclosure to the DIAM.

Attachment 1 to ENCLOSURE 1

DIAM 22-58   24 July 1987

Additional Standards for Competencies

Competency	Additional Standards	Performance Level Indicated

I have reviewed the competencies and additional standards.

Signature of Employee   _____   Date (YY MM DD)_____

Signature of Supervisor   _____   Date (YY MM DD)_____

Attachment 2 to ENCLOSURE 1

28

Additional Standards for Performance Areas

Performance Area	Additional Standards	Performance Level Indicated

I have reviewed the performance areas and additional standards.

Signature of Employee _____ Date (YY MM DD)_____

Signature of Supervisor _____ Date (YY MM DD)_____

Attachment 3 to ENCLOSURE 1

DIAM 22-58   24 July 1987

Competency	Additional Standard	Performance Level Indicated
Leadership	As a leader of groups, organizes tasks and determines appropriate assignnments, resulting in complete and timely products.	Fully Successful
Leadership	Anticipates problems and obstacles and always mobilizes team to overcome barrie, resulting on superior team performance.	Outstanding

Performance Area	Additional Standard	Performance Level Indicated
Research and Analysis	Data base fails to contain information current enough to be usefull and contains erroneous facts.	Unsatisfactory
Research and Analysis	Produces a research paper that receives praise from reviews and widespread distribution.	Outstanding

Attachment 4 to ENCLOSURE 1

Sample Justification Narrative

C. Competency Ratings

1. Competencies (To Be Completed At Initial Interview)	2. Actual Performance Rating (To Be Completed At End-Of-Year Interview)	
	a. Numeric Rating	b. Justification
1. Interpersonal Skill	5	Obtained support of other units by carefully briefing all project teams and keeping all parties informed during a critical project. Is now called upon by others to help smooth over conflicts.
2. Results Focus	1	Work always requires complete revision. Seldom completes work as assigned on time, or at all. Project reports completed over last several months were done with inadequate research.

D. Performance Area Ratings

1. Performance Areas (To Be Completed At Initial Interview)	2. Actual Performance Rating (To Be Completed At End-Of-Year Interview)	
	a. Numeric Rating	b. Justification
1. Research and Analysis	4	Reached accurate conclusions based on data analyzed. Facts are well organized, so that they can be easily retrieved. Uncovered a valuable new source in last few months.
2. Staff/Operations Support	2	Assigned staff work is occasionally not completed in a timely manner. Staff work has gaps in information causing unnecessary delays. Complaints have been received on failure to coordinate staff work issues with interested parties.

Attachment 5 to ENCLOSURE 1

Sample Supervisory Comments

E. Appraisal Comments

> ### 1a. Supervisor's Comment s on Appraisal Interview
>
> Mr. Clark's performance has improved considerably, particularly, in the area of interpersonal relations. He has this year to be more sensitive to others and is becoming a skilled communicator. I will support his interest in taking additional training, if available, in interpersonal relations, specifically, negotiation skills, an area in which he shows interest and promise.

Attachment 6 to ENCLOSURE 1

A GUIDE TO EFFECTIVE PERFORMANCE APPRAISAL IN DIA

Section A — Introduction

1. Purpose: The purpose of this guide, which addresses key supervisory tasks, responsibilities, and skills necessary for effective performance appraisal, is to assist those conducting performance appraisals in becoming more proficient in the appraisal process. It presents numerous suggestions, guidelines, and aids which can assist DIA supervisors in the performance appraisal process.

2. Using This Guide: This guide is organized around the essential performance appraisal tasks and skills. These include performance planning, solving performance problems, providing feedback, listening and communication, documenting performance, evaluating performance, and conducting the appraisal interview. The information is presented in a practical, concise manner for easy access by readers. Rather than lengthy explanations and rationales, the guide simply lists or notes key points and issues. In this sense, the material is designed to be used as a reference tool. By using the guide below, the reader can quickly identify and review the specific topic of interest. As supervisors and employees move through the DIA performance appraisal cycle, this material can be consulted for guidance.

Section B — Performance Appraisal Overview

1. What Is Performance Appraisal? Mention the term "performance appraisal," and you hear many different reactions. Some might see it as a waste of time, others as simply a paperwork requirement of the Personnel Office. Some see it as a chance to receive information on how they are doing. Others see it as another evidence of bias and subjectivity, a way for people to help their friends. Still others see it as a way to document their competence and receive awards and promotions. Just what is a "performance appraisal," and why does it usually evoke such emotional responses?

Performance appraisal refers to the process of identifying and defining what to measure, observing and evaluating performance, and developing performance. In short, a performance appraisal has a measurement component and a developmental component. Simply telling

ENCLOSURE 2

someone how they are doing is not enough; an effective performance appraisal system must have mechanisms to help people improve. The measurement component refers to past performance; the developmental component refers to future performance. Performance appraisal can be viewed as follows:

Performance Identification and Definition	Performance Observation and Measurement	Performance Development

a. *Identifying and Defining Performance.* Often referred to as performance planning, identifying and defining what aspects of performance are to be measured is the first appraisal activity. DIA has significantly simplified this process by developing a list of competencies, performance areas, and standards from which supervisors can select those that are relevant to a particular position. Competencies, performance areas, and standards have been established for five occupational groups within the DIA. Identifying and Defining Performance consists of:

(1) Reviewing job duties, responsibilities, and activities to identify those important aspects of the job to be rated.

(2) Selecting those competencies and performance areas on which the employee should be rated.

(3) Establishing performance standards or target levels of performance expected of those being rated (e.g., rarely makes typing errors, demonstrates knowledge of loan procedures, completes assignments within deadlines). Illustrative performance standards are provided in Supplements for each grade level and broad occupational group in the DIA.

b. *Observing and Measuring Performance.* Observing and measuring job performance is the second activity in performance appraisal. It consists of:

(1) Reviewing the set of performance standards for each relevant competency and performance area, and communicating these to the employee.

(2) Selecting the most appropriate times, settings, and behaviors for observation.

(3) Observing and monitoring performance as frequently and carefully as necessary.

(4) Reviewing work products.

(5) Rendering thoughtful, accurate judgments which are as objective as possible.

(6) Developing a clear, concrete rationale for ratings, including examples of actual job behavior observed during the period.

(7) Reviewing and explaining ratings to employees being rated.

c. *Developing Performance.* Developing performance is the third broad appraisal activity. It consists of:

(1) Providing on-going feedback, both positive and negative, on performance.

(2) Developing specific activities and action plans designed to improve performance.

ENCLOSURE 2

34

(3) Making job assignments which utilize strengths and provide opportunities to work on weaknesses.

(4) Combining organizational and individual efforts and resources to plan for career opportunities.

Development of performance is a joint effort between the individual and the organization. An organization cannot improve a person's performance without his or her willingness, effort, and initiative.

2. Why Is Performance Appraisal Important? Very few organizational activities are as important as performance appraisal because its results have such an enormous impact on organizational performance and individuals' careers and pay. The importance of appraisal results justifies its costs in terms of time and resources.

a. *From the Organization's Perspective.* Performance appraisal is a crucial activity in organizations. It forms the basis for many vital decisions the organization must make about its employees. Performance appraisal results are used in:

(1) Promotion decisions,

(2) Job and project assignment decisions,

(3) Salary decisions (e.g., within-grade increases),

(4) Award decisions, and

(5) Training decisions.

Errors in these decisions spell immediate and severe trouble for any organization. Too, at the organization level, general decisions, strategies, and policies are made on the basis of performance appraisal results, at least indirectly. For example, the decision to render a new service, to restructure one or more units, and/or to engage in expansion (or contraction) would hinge on a realistic, accurate assessment of the current skills and abilities of employees, as well as on their potential. If we inflate our assessment of the capability of a group of employees to handle a move into a new service area, we might not only fail at this endeavor, but also damage current operations. An inaccurate estimate of performance ability could also damage the self-esteem and morale of staff if too low, and could overwork and frustrate staff if too high.

The organization needs to have an accurate picture of the capability and potential of its employees in order to make sound decisions and set effective policies.

b. *From the Individual's Perspective.* Most persons want to know how they are doing on the job and what their supervisors think of their performance. People want to know where they stand and what their chances are for promotions or awards. Individuals want feedback on their performance so they realistically can assess their career prospects. Individuals are able to change their behavior; they can improve, learn new skills and abilities, and exhibit more effective behavior if they are given feedback and if they are coached and assisted by supervisors. Employees develop when the positive, not merely negative, aspects of their performance are recognized by supervisors.

3. Whose Responsibility Is Performance Appraisal? The appraisal process is the responsibility of supervisors and employees, with support from staff units.

35

a. *The Supervisor.* The appraisal process is essentially the supervisor's responsibility. He or she is responsible for completing the DIA appraisal cycle or process. The supervisors, not staff departments, have ultimate responsibility for measuring and managing their subordinates' performance. Supervisors might also be required to review and approve appraisals prepared by their subordinates. The appraisal process is a legitimate, integral part of managing; it is not an extra task outside the normal scope of managerial or supervisory activities. Further, appraisal is an on-going managerial responsibility, not an annual task of completing a form. Effective supervisors manage their subordinates' performance all year long, using the DIA performance appraisal system as a framework.

b. *The Employee.* The employee's responsibility is to participate fully and conscientiously in the appraisal process. This includes reviewing and understanding competencies, performance areas, and standards; keeping the supervisor abreast of progress and problems; and improving performance. The employee should also accept feedback and think about his or her own strengths, weaknesses, and career plans.

c. *Staff Units.* Staff units, such as the Directorate for Human Resources, have responsibility to develop tools, such as this manual, to facilitate effective performance appraisal in DIA. They also should monitor the entire process and assure compliance with policies and procedures.

Section C — Performance Planning

1. General: Performance planning refers to identification of relevant competencies, performance areas, and performance standards for a particular position. Resource manuals for each broad occupational group in DIA have been developed to assist supervisors in this task.

Once the competencies, performance areas, and standards are determined, the supervisor decides if additional standards are required. (See enclosure 1 for additional information.) The competencies, performance areas, and standards must be communicated to the employee. The supervisor and employee then develop plans in order to assure that performance expectations and requirements are met. Planning continues during the appraisal cycle, particularly as job requirements, priorities, or environments change. This section provides tips and suggestions on the following:

a. Writing behaviorally based standards.

b. Conducting the initial appraisal planning interview.

c. Assessing the effectiveness of the initial interview.

2. Writing Behaviorally Based Standards: Supervisors may wish to write additional standards to supplement the standards appearing in resource manuals. Well-written, behaviorally based standards meet the criteria of being relevant, observable, and measurable. The following guidelines can be used when writing behaviorally based standards:

a. Use specific examples of behavior, not conclusions about the "goodness" or "badness" of behavior.

Use this: He/she seeks to develop new sources of information when existing sources do not satisfy information requirements.

ENCLOSURE 2

Not this: He/she does a good job of researching.

b. Avoid using adjective qualifiers in the statements; use descriptions of actual behavior.

Use this: He/she tactfully states organization's position and is contacted by external sources for information which favorably reflects on the organization.

Not this: He/she is friendly with others when representing the organization.

c. Avoid using statements that make assumptions about employees' knowledge of the job; use descriptions of behavior.

Use this: He/she is able to accurately assess the significance of any irregularity or inconsistency in the data analyzed.

Not this: He/she has sufficient knowledge to do an efficient and effective job.

d. Avoid using quantitative values (numbers) within standards unless you are able to observe, count, and record all behaviors.

Use this: This accountant submits reports on time which contain no misinformation or mistakes. If discrepancies occur on reports from the last period, this accountant identifies the cause.

Not this: This accountant could be expected to meet 90 percent of deadlines with 95 percent accuracy.

3. Conducting the Initial Performance Planning Interview: The initial performance planning interview is the basis for communicating expectations to the employee. Remember the following suggestions when preparing, conducting, and documenting the interview.

INITIAL PERFORMANCE PLANNING INTERVIEW

STEP	REMEMBER TO:
Prepare for the interview with employee.	• Identify the competencies, performance areas, and standards that are relevant to the particular employee. • Write any additional standards that are necessary. • Give the employee sufficient time to prepare for the interview. • Ask the employee to identify the competencies, performance areas, and standards that apply to his/her job. • Be prompt and allocate enough time for an uninterrupted discussion.
Conduct the interview with employee.	• Put the employee at ease by beginning with small talk; tailor the approach to the individual. • Explain the purpose of the interview. • Give your perspective on each competency, performance area, and corresponding standards that are relevant to the employee.

ENCLOSURE 2

STEP	REMEMBER TO:
	• Get the employee's perspective on the relevant competencies, performance areas, and standards. • Merge perspectives through discussion and problem-solving. • Ask how you can help the employee do a better job. • Take notes on agreed support. • Set up a method for periodically reviewing progress.
Document the performance plan.	• Record the competencies and performance areas on DIA Form 124. • Obtain employee's signature indicating that the competencies, performance areas, and standards have been reviewed. • Sign the form yourself. • Retain copies for yourself and the employee.

4. Assessing Your Performance in the Initial Planning Interview: Immediately after concluding the initial interview, use the following checklist to appraise your own performance as a supervisor. (Use the spaces between questions for notes or comments.) Keeping a file of these and checking over them when preparing for another interview can help you improve your interviewing skills.

PERFORMANCE PLANNING INTERVIEW CHECKLIST

DATE: _____   Interviewee: _____

	Yes	No	Needs Improvement
1. Did I completely develop my own expectations for the employee's performance prior to the interview?	____	____	____
2. Was the employee given sufficient time to prepare for the interview?	____	____	____
3. Did I explain the purpose of the interview?	____	____	____
4. Did I succeed in putting the employee at ease?	____	____	____
5. Did I review and discuss each competency, performance area, and standard?	____	____	____
6. Did the employee participate fully in the interview?	____	____	____
7. Did I avoid imposing my opinions too strongly?	____	____	____
8. Did I set up a method for periodically reviewing progress?	____	____	____

ENCLOSURE 2

38

	Yes	No	Needs Improvement
9. Did the employee leave with the feeling that he or she understood performance expectations and was committed to them?	___	___	___
10. Did I complete all necessary documentation?	___	___	___

Section D — Solving Performance Problems

1. General: Part of the supervisor's responsibility is to manage performance throughout the appraisal period, not just evaluate it at the end. To manage performance, the supervisor must observe carefully and identify problems quickly. These problems must be alleviated once their causes are determined. This may involve resource allocation, reassessing or redesigning job responsibilities or performance expectations, arranging to augment knowledge, skill, or ability, or initiating disciplinary action. Above all, the supervisor must be diagnostic regarding the causes of performance problems and must provide coaching and feedback to employees. This section provides information and suggestions on the following activities related to solving performance problems:

  a. Diagnosing problem performance.

  b. Developing action plans for performance improvement.

  c. Monitoring for performance improvement.

  d. Coaching.

2. Diagnosing Problem Performance: Diagnosing problem performance involves defining the problem, analyzing reasons for the problem, and developing solutions for solving the problem.

  a. *Define the Performance Problem.*

  (1) Identify the indicator of the problem (i.e., reports are late, data base is incomplete).

  (2) Specify the discrepancy between actual and expected performance.

Example:

  Actual Performance: Last three status reports have been late.

  Expected Performance: All status reports should be on time.

  (3) Specify the financial and non-financial impacts of the performance problem. Example:

  Late status reports cause delays all the way up through the chain.

  b. *Analyze the Reasons for the Problem.* There are many possible reasons for performance problems. All possible reasons should be considered prior to formulating courses of action. The following chart will aid you in assessing the possible reasons for a performance problem.

ENCLOSURE 2

39

Reasons for Performance Problems

	Physical	Emotional	Intellectual
P E R S O N N E L	**1. Capacity** Does the employee have the capacity to perform to requirements?	**2. Motives** Does the employee care about the work being performed?	**3. Skills** Does the employee have adequate skills and knowledge to do the task?
E N V I R O N M E N T	**4. Resources** Is the employee missing any resources?	**5. Incentives** Does the employee experience the incentive system as functional?	**6. Procedures** Have procedures been developed and communicated to the employee?
I N F O R M A T I O N	**7. Tasks** Does the employee have the capacity to perform to requirements?	**8. Mission** Does the employee understand the relationship between his/her performance and the mission of the organization?	**9. Flow** Is the information flow sufficient?

ENCLOSURE 2

40

c. *Develop Solutions for Solving the Performance Problem.* Developing solutions for solving the problem flows directly from your analysis of the possible reasons for the performance deficit. Examples of linking possible solutions to the reason for the problem are described below:

SOLUTIONS FOR PERFORMANCE PROBLEMS

If the Reason Is ...	Then Try ...
1. Lack of resources are preventing the work from being done.	Supplying more or better tools, equipment, space, assistance time, etc.
2. The employee does not have sufficient skill.	Arranging training that will help provide the knowledge and skill needed to be successful on the job.
3. The employee does not understand expectations of the job.	Explaining the job tasks, requirements, and standards.

3. Developing Action Plans for Performance Improvement: A thorough diagnosis of problems in performance prepares you to discuss the issues with the employee. A meeting with the employee should result in an action plan for reducing or eliminating the problem. A format for developing a written action plan is presented below:

FORMAT FOR ACTION PLAN

Summarize overall performance to date:

What specific standards are not being met?

Detail plans (e.g., changes in job scope, training, reassignment, coaching) to improve performance:

Action Required	Date of Completion
1.	
2.	
3.	

4. Monitoring for Performance Improvement:

a. Help the Employee Implement the Plan by:

(1) Observing performance and improvement.

(2) Praising improvement — encouraging new efforts.

(3) Constructively correcting failures.

(4) Teaching by example.

(5) Periodically reviewing progress.

b. Reward on the Basis of Results Achieved by Giving:

(1) Praise and recognition.

ENCLOSURE 2

(2) Salary increase

(3) Increased responsibilities.

(4) Promotion recommendation.

(5) Other rewards — financial and non-financial.

5. Coaching: Coaching is an attempt to overcome performance weaknesses and build on performance strengths. Coaching is actually a set of relationships between manager and employee, rather than a series of skills to be taught. It can take many forms, including analyzing performance problems, identifying performance that can be improved, correcting improper or dangerous practices, discussing work with an employee to get his or her point of view, and providing assistance and encouragement to the employee.

a. *Some General Characteristics of Coaching:*

(1) Involves face-to-face guidance and instructions.

(2) Is meant to improve job effectiveness and efficiency.

(3) Is based on a supervisor's job knowledge or on developmental opportunities he or she can provide.

(4) Requires a large amount of patience and energy.

(5) Ensures close attention to individual employee needs.

(6) Occurs daily rather than occasionally or infrequently.

b. *Remember, a Good Coach:*

(1) Has a sincere interest in helping an employee to improve.

(2) Has a thorough knowledge of position requirements and objectives.

(3) Arranges for positive and progressive work to be approved and rewarded by superiors.

(4) Operates from the sidelines (i.e., does not try to "play" and "coach" at the same time).

(5) Recognizes individual differences.

Section E — Providing Feedback

1. General: Providing on-going positive and negative feedback is a responsibility of every supervisor. Providing specific, timely, and useful feedback to employees is a critical aspect of the performance appraisal process. However, providing feedback, particularly when performance is below expectations, is difficult. Effective feedback is that which actually results in changed or sustained behavior on the part of the person receiving it. This section provides guidelines and tips on the following:

a. Important goals of a feedback session.

b. Inferential versus behavioral feedback.

c. Guidelines for giving feedback.

d. Guidelines for receiving feedback.

e. Communicating negative feedback effectively.

ENCLOSURE 2

42

2. Important Goals of a Feedback Session: What do you want to accomplish when you meet with an employee to give feedback? Some important goals of any feedback session are described below.

a. *Establishing and Maintaining Rapport.*

(1) Setting an appropriate climate for the interview.

(2) Opening the interview in a warm, non-threatening manner.

(3) Being sensitive to the employee.

b. *Structuring the Interview.*

(1) Clearly stating the purpose of the interview and maintaining control over its course.

(2) Displaying an organized, intentional, and prepared approach to the interview.

c. *Motivating the Subordinate.* Providing incentives for the subordinate to perform effectively,

(1) Establishing goals to motivate the subordinate to perform effectively and to assist the organization to accomplish its objectives.

(2) Providing positive feedback for good past performance.

d. *Developing the Subordinate.*

(1) Making specific developmental suggestions to the subordinate.

(2) Displaying interest in the employee's professional growth.

(3) Clearly specifying where development is needed and recommending sound developmental actions.

e. *Resolving Conflict.*

(1) Moving effectively to resolve any conflict with the employee.

(2) Making appropriate commitments and setting realistic goals to ensure conflict resolution.

(3) Coaching the employee toward any needed conflict resolution with others.

f. *Maintaining a Calm Attitude.*

(1) Remaining cool and calm, even if the subordinate becomes angry.

(2) Showing sensitivity to the subordinate without backing down from an expressed position.

(3) Maintaining a composed and professional attitude throughout the session.

3. Inferential Versus Behavioral Feedback:

One of the most difficult aspects of giving feedback is saying what you want in clear, understandable terms. Being able to give behavioral, rather than inferential, feedback will help you to achieve this result. The following chart compares behavioral and inferential feedback.

ENCLOSURE 2

Comparison of Inferential and Behavioral Feedback

Inferential Feedback	Behavioral Feedback
Tell about how other person feels; makes "you" statements.	Tell about the event.
Can be observed or verified.	Can be observed and verified.
Is difficult to agree on.	Makes agreement easier.
Uses the verbs "to be," "to know."	Users action verbs.
Uses absolutes.	Differentiates clearly.
Is general/abstract.	Is concrete/specific; doesn't use adverbs.
Is a value judgement.	Is free of values.
Attributes causes or motives.	Is not locked into attributing causes or motives.

Examples	Examples
You don't care ...	The report contained a very concise, useful conclusion ...
You don't know ...	Your language was vague ...
You don't take into consideration ...	Six absences in two months is not acceptable ...
You need to be more conscientious ...	The contract omitted a vital section ...
You should know these things ...	The data analysis was inaccurate, according to my figures ...
Good work ...	I observed you interrupting that subordinate ...
You are never here when I need you ...	
You always come late when we have meetings ...	

Don't Say ...	Say ...
"You're rude and tactless with other employees."	"You left Rosena very hurt and angry when you told her that she was not dressed well enough to attend the luncheon meeting."
"The work you turn in contains too many stupid errors."	"The computer programers are having difficulty on processing your work because of coding mistakes."
"You really botched the semi-conductor contract."	"We had a lot of trouble processing the semiconductor contract because the forms were incomplete."

ENCLOSURE 2

44

4. Guidelines for Giving Feedback: Although there are many aspects of giving feedback which could be discussed, there are 10 major "shoulds" which, if followed, can make feedback more constructive and help avoid defensive reactions which block communication. These are as follows:

  a. Perceptions, reactions, and options should be presented as such and not as facts.

  b. Feedback should refer to the relevant performance, behavior, or outcomes, not to the individual as a person.

  c. Feedback should be in terms of specific, observable behavior, not general or global.

  d. When feedback has to be evaluative rather than purely descriptive, it should be in terms of established criteria, probable outcomes, or possible improvement, as opposed to value judgments such as "good" or "bad."

  e. Feedback regarding a competency or a performance area should include a discussion of what is viewed as the "high" and "low" points of that performance, and the specific behaviors which appear to be contributing to or limiting full effectiveness or accomplishment.

  f. In discussing problem areas which contain technical or established procedures for achieving solutions, suggestions should be made regarding possible means for improving performance.

  g. Feedback should avoid "loaded" terms (e.g., crabby, mess-up, rip-off, stupid) which produce emotional reactions and raise defenses.

  h. Feedback should be concerned with those things over which an individual can exercise some control, and be given in ways which indicate how the feedback can be used for improvement or planning alternative actions.

  i. When encountering rising defenses or emotional reactions, the person giving feedback should deal with these reactions rather than try to convince, reason, or supply additional information.

  j. Feedback should be given in a manner which communicates acceptance of the receiver as a worthwhile person and of that person's right to be an individual.

5. Guidelines for Receiving Feedback: Less can be said about receiving feedback than about giving it. However, two points are worth noting. First, feedback received is always about past behavior — not current or future behavior. Second, receiving feedback always offers the possibility of learning something valuable that can serve as a basis for future improvement. Be aware of how well your employees receive feedback. Modeling and reinforcing the behaviors described below will encourage your employees to be good receivers of feedback.

  a. Listen effectively.

  b. Try not to let defenses build, but mentally note questions or disagreements.

  c. Paraphrase what you think you hear to check your perception.

  d. Ask questions for clarification and ask for examples in those areas which are unclear or in which disagreement exists. Paraphrase answers again or use re-statement, e.g., "I hear you say ..." "Do you mean ..."

Evaluating performance is difficult not only because of the complexity of what employees are required to do on their jobs and the difficulty in measuring performance, but also because we are not perfect information processors. Everyone has the potential for bias in evaluating others. The effective judge must be fair, consistent, and accurate. This section presents some of the typical pitfalls in evaluating the performance of others.

2. Common Pitfalls in Determining Rating Levels: The following are the more common rating biases and should be avoided:

a. *Halo Effect.* Halo results when the supervisor allows an overall general impression of the individual to influence his or her judgment on each separate factor in the performance appraisal form. An employee would rarely be rated at the same level on all (or most) factors in an appraisal. Few employees' behavior is the same on each of the competencies and performance areas that the rating scales measure. The rater should consider each factor independent of all other factors.

b. *Recency Effect.* If an employee makes an outstanding contribution or an untimely mistake just prior to a performance review, this event can color the manager's perception of the employee's performance for the entire appraisal period. The recency effect, like the halo effect, can work to the advantage or disadvantage of the employee. A conscientious manager compensates for lack of perspective by careful documentation.

c. *Unforgettable Event.* A significant mistake or outstanding contribution need not occur just prior to a performance review to unduly influence a manager's perceptions. A timely or untimely event can make an impression that lasts for a long time. Again, careful documentation can put performance into perspective.

d. *Central Tendency.* With all this potential for error, it is not hard to understand why supervisors may be tempted to rate all employees as average by choosing mostly middle-level ratings. This "central tendency" is perhaps the most serious error of all, for it closes the door to an employee's growth and improvement on the job. It is rather difficult to develop strengths and correct weaknesses if none are identified.

e. *Compatibility.* There is a tendency to rate people whom we find pleasing of manner and personality higher than they deserve. Those who agree with us, nod their heads when we talk, or are skilled flatterers often get better ratings than their performance justifies. Conversely, we tend to rate people lower than they deserve when conflict of manner and personality exist.

f. *Effect of Past Record.* The employee who has performed well in the distant past is assumed to have performed acceptably in the recent past also. Previous good work tends to carry over into the period being appraised.

g. *Leniency Effect.* This is the tendency to rate everyone high. The opposite is to rate everyone low. This error is usually committed when managers feel discomfort in communicating negative feedback or do not want to "hurt" the employee. Understanding the constructive purposes of performance appraisal and acquiring effective skills in giving negative feedback should reduce the tendency to commit this error.

h. *Similarity Effect.* This is the tendency on the part of a supervisor to judge more favorably those who are perceived as similar to him or herself.

i. *Self-Comparison.* The person who does not do the job as well as or the same way as we remember we did it when we held that job will suffer more than those who do work unfamiliar to us.

ENCLOSURE 2

50

3. General Rating Tendencies to Avoid: Be alert to and try to avoid these general rating tendencies.

a. *Don't* permit *friendship* with any employee to influence the ratings. We all tend to notice a friend's good points and ignore the bad points. This is often done unintentionally; consequently, the friend is given a better rating than an equally good performer who is not a friend.

b. *Don't* make *quick guesses* regarding the performance of an employee. Major decisions are often based on performance ratings, and ill-considered ratings will contribute unreliable information and detract from organizational goals.

c. *Don't* jump to conclusions or base your judgments of an individual on *one instance* of behavior. Consider all aspects of the person and all his or her behaviors over a considerable period of time. Don't let your judgment of an individual be distorted by one significant incident or happening.

d. *Don't* let *first impressions* influence later judgments of an employee. First impressions are only one sample of behavior, but we tend to make sweeping generalizations based on our first encounters with people and tend to retain these impressions even when faced with contrary evidence. In our subsequent contacts and observations, we are inclined to look for patterns of behavior that seem to support our first impressions, and we may be unaware of behaviors that contradict them.

e. *Don't* be influenced by the *setting* (work situation) in which we see the individual performing. This setting may actually be irrelevant to the caliber of his or her performance and, in some instances, detracts from it.

f. *Don't* allow things such as appearance, social status, dress, race, sex, age, or other *nonperformance* factors to affect performance appraisal ratings.

g. *Don't* let personal *preferences, prejudices, and biases* influence your evaluation. A rater who has a biased or prejudice attitude toward certain groups of people will tend to look for behavior in these kinds of employees that confirm his or her prejudices. When rating employees, the manager must consider the same (relevant) behaviors in all employees supervised.

If a supervisor is to be effective in conducting meaningful performance appraisals, he or she must recognize these bias tendencies and take steps to compensate for them. Careful *observation, description, and documentation* of actual performance on an on-going basis reduces the tendency for bias by emphasizing job performance over a period of time.

Section I — Conducting Appraisal Interviews

1. General: The appraisal interview is an opportunity to discuss all informal, on-going feedback provided during the appraisal period. It is especially important because the ratings are discussed with the employee at this session.

While all of the suggestions regarding feedback, communications, and listening provided in earlier sections are relevant, this feedback session will have enormous impact on the employee's feelings (and career) and, hence, deserves special attention. Not only the message, but the tone and setting are important. This section presents tips and suggestions on the following:

ENCLOSURE 2

Encouraging employee self-appraisal.

Conducting the appraisal interview.

Avoiding pitfalls in appraisal interviewing.

Assessing your own performance in the appraisal interview.

2. Encouraging Employee Self-Appraisal: For the appraisal system to be effective, employees must be skilled at self assessment. As a supervisor, you can encourage employees to think about their own performance, and plans for future improvement. Below is a list of questions that can be given to the employee prior to the appraisal interview.

What do I consider to be the important abilities which my job requires?

What are the ways in which my superiors can help me to do my job better?

In what aspects of my job do I feel I need more experience and training?

What are my major accomplishments for the past year?

What have I done for my personal and/or professional development?

Are there any changes I would like to see made in my job which would improve my effectiveness?

Are all of my capabilities being utilized in my present position? If not, how can they be better utilized?

What are specific things I need to do in the next year for my own development?

In what ways could my present position better prepare me for assuming more responsibilities?

What are my long-range plans? What type of work do I see myself doing 5 years from now? How am I preparing myself for this work?

3. Conducting the Appraisal Interview: In order to effectively conduct an appraisal interview, there are certain things you must remember to do before, during, and after the interview. They are described below:

THE APPRAISAL INTERVIEW

WHEN	REMEMBER TO:
Before the interview.	Select the appropriate setting. Decide tentatively on an overall rating, and a rating for each competency and performance area. Ask the employee to review his or her performance on each competency and performance area using the established standard.
During the interview.	Establish a relaxed atmosphere. Present the summary evaluation to the employee. Relate the discussion of performance to previously established standards.

ENCLOSURE 2

24 July 1987

DIAM 22-58

WHEN	REMEMBER TO:
	Get the employee's perspective on the ratings.
	Recognize areas of agreement.
	Discuss and resolve areas of disagreement.
	Establish new goals and plan for improvement.
After the interview.	Complete documentation of appraisal.
	Monitor new goals.
	Encourage development activities.

4. Avoiding Pitfalls in Appraisal Interviewing:

Don't discuss personalities. Concentrate only on job performance.

Don't soft-pedal valid criticism. It isn't fair to either the employee or the organization to leave the impression that criticism is not important.

Don't simply compare the employee to others. Holding someone else up as a model will not have a positive effect on the employee's ability or willingness to do the job.

Don't use the "sandwich" technique. The alternation of praise with criticism is always recognized. The result is that praise goes unheard as the employee takes it as a clue to think "oh-oh, I wonder what the boss is going to hit me with now?"

Don't criticize employees for things beyond their control. This will cause them to ignore valid criticisms you have. Work towards eliminating these factors.

Don't argue about an evaluation. Express your opinion with an explanation of the reasons behind it, but avoid argument. Redirect the conversation toward what can be done to improve performance.

5. Assessing Your Own Performance in the Appraisal Interview: Immediately after the initial interview, use the following checklist to appraise your own performance as a supervisor. Keeping a file of these and reviewing them when preparing for another interview can help you improve your interview skills.

Appraisal Interviewing Checklist

Date:_____   Interviewee: _____

		Yes	No	Needs Improvement
1.	Did I establish a relaxed atmosphere? How?	____	____	____
2.	Did the employee participate fully in the interview?	____	____	____
3.	Did I ask for a self-assessment?	____	____	____
4.	Was the discussion of performance always related to previously established standards? If not, why not?	____	____	____
5.	Were my criticisms constructive? Which weren't?	____	____	____
6.	Did I cover all weak areas? Which did I skip? Why?	____	____	____
7.	Did I cite specific examples when criticizing?	____	____	____
8.	Did I always direct my comments at the job performance, rather than at the person? When did I fail to do so?	____	____	____
9.	Did I ask for ideas on self-improvement? If not, why not?	____	____	____
10.	Were new expectations mutually established? If not, why not?	____	____	____
11.	Was a program of self-improvement established? If not, why not?	____	____	____
12.	Did I avoid comparing the employee to others and discussing personalities?	____	____	____

ENCLOSURE 2