

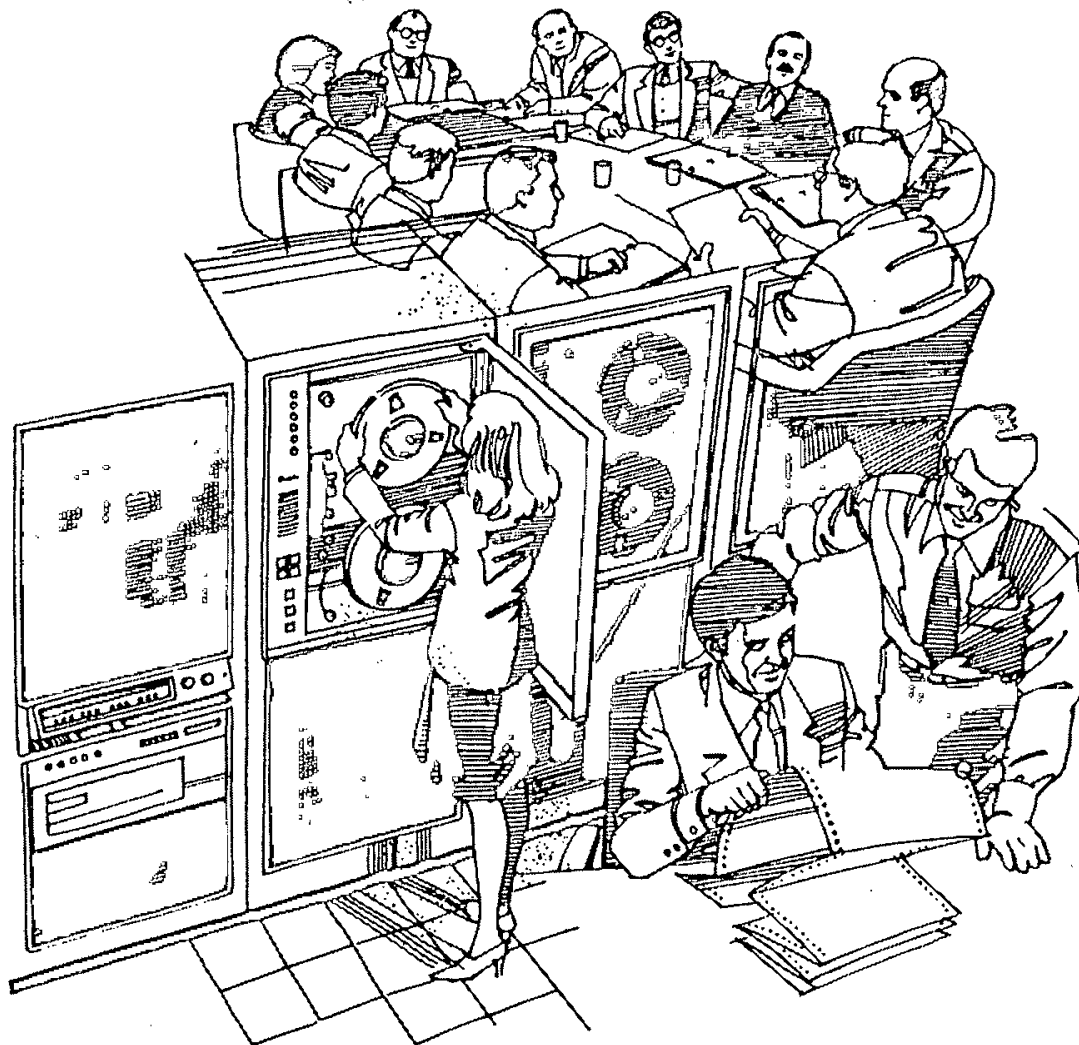
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for the 1990's



DIA's Commitment to the Future

An effective and efficient personnel management system is vital to the accomplishment of an Agency's mission. Therefore, it is essential that policies and programs are identified and established that challenge employees to strive in their work, benefit them, and meet DIA's mission.

Civilian Career Development

In the early 1980's, DIA realized that a strong civilian career development program was needed. The increasing real time intelligence environment and emerging new technologies were placing different demands on DIA's personnel system to meet the mission of the Agency. DIA's senior management, with RHR, proceeded with two courses of action to enhance the career development program: Career Ladders and Performance Appraisal systems.

Career Ladders

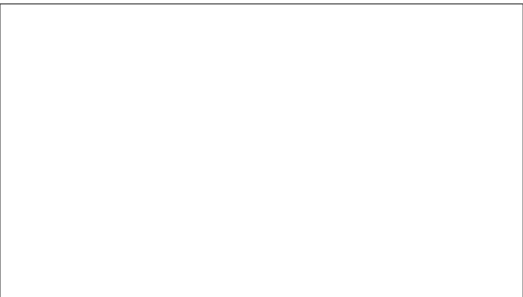
A reflection of DIA's commitment to develop an enhanced personnel management and professional development program for all personnel, the career ladders are a road map for employees to follow as they pursue their career goals.

Each ladder includes the progressive knowledges and skills needed for advancement in a particular occupation, appropriate training, and developmental activities. Promotions will be based upon meeting knowledges in the career ladder as determined by management.

Each career ladder has a Subject Matter Expert (SME) who is responsible for technical advice to supervisors on the assessment of knowledges and skills. The SME is also the technical expert on what is required for advancement in a given career ladder.

The career ladders and Subject Matter Expert for each include: STAT

Intelligence:

- VP-1 Estimates
 - VP-2 Scientific/Technical
 - VP-3 Logistics
 - VP-4 Resources:
 - VP-4A Military/Geography
 - VP-4B Energy
 - VP-4C Material/Trade
 - VP-4D Economics
- 

VP-5 Imagery
VP-6 Political/Military
(includes biographics)
VP-7 Military Capabilities:
VP-7A Ground
VP-7B Aerospace
VP-7C Naval
VP-7D Third World
VP-8 Counterterrorism
JS-1 Indications and
Warning
JS-2 Current:
JS-2A Regional
JS-2B Functional
DI Intelligence Advisor
DG GDIP Functional
OS Counterintelligence
VO-1 Intelligence Planner
VO-2 Collection

Intelligence Support:

Human Resources Manager
Intelligence Processing/
Dissemination Technician
Computer Operator
Computer Programmer
Computer and Office Systems
Analyst
Computer Specialist
Photographic Technician
Imagery Services Specialist
Contract Specialist
Supply Specialist
Data Base Manager
Financial Resource Manager
DoDIIS Manager
Information Services Specialist
Document Service Specialist
Visual Information Specialist
(Presentations)
Administrative/Staff Officer
Visual Information Specialist
(Printed Materials)
General Lithographer
Photographic Technologist

Performance Appraisal

To complement the career ladders system (which deals with future potential and development) and to better evaluate current job performance, a new appraisal system based on performance areas and competencies has been derived by input from a cross section of the DIA

CIA-RDP90-00530R000902140001-0 ; vehicle to reward employees for performance and, also, sometime next year, the performance appraisal will become the justification for award or denial of an employee's Within Grade Increase (WGI).

The performance appraisals, in order of their development are:

1. Professional Intelligence Personnel (Implemented)
2. Clerical/Administrative Personnel (Implemented)
3. Intelligence Support Professionals (Implemented)
4. Managers/Supervisors (to be implemented October 1986)
5. Technicians/Wage System Personnel (to be implemented January 1987)

Personnel Legislation

In addition to these programs, legislation was proposed to Congress that would provide DIA comparable classification authority to that of CIA and NSA.

Congress recognizing DIA's need passed legislation in 1984 that provides DIA much greater flexibility on personnel matters and compensation, and enhances the management of civilian personnel. In January 1986, the Director was delegated authority by the Deputy Secretary of Defense to proceed with DIA's personnel legislation implementation plan. Some of the planned changes are:

- simplified position descriptions;
- advanced hiring rates for certain types of positions;
- broader management control over promotions in career ladders up to expert level with RHR oversight;
- establish new DIA titles for similar kinds of work in conjunction with the career ladders;
- increased opportunity for promotion based on what a person brings to the job (rank-in-person);
- one grade progression for all professionals hired beginning in FY 87;
- performance appraisals will be used as the basis for with in grade increases.
- DIA has the authority to terminate employees for national security purposes when no other laws can be used.

Complementing these authorities are the new career ladder and performance appraisal systems.

Civilian Table of Organization (CTO) — approved by the Senior Review Board, is an average grade position management control system. The CTO reflects an approach similar to that used by CIA and NSA but designed to accommodate DIA's unique military/civilian workforce mix and smaller size. Essentially, the CTO will reflect an employee's present grade and target grade, which represents the expert level in their respective career ladder and full performance level in other positions. It will replace the current system of position-by-position, grade-by-grade classification in RHR.

Advanced Hiring Rate — This program will enable DIA to attract and retain critically skilled people in key occupations. The program establishes more flexible criteria for setting a new DIA employee's pay.

Simplified Position Descriptions — Position descriptions will be shortened and rewritten to reflect the knowledges and skills identified in the respective career ladders. Everyone at the same level (e.g. expert, mid level, etc.) in a career ladder will have the same description. Also, the new position descriptions can be supplemented with specific duties as needed by an organization. New titling of positions will provide greater operational security and be more reflective of titles elsewhere in the intelligence community.

Rank-in-Person — Standards will be developed that will determine if the qualifications that an individual brings to a position and their performance can warrant a promotion above the full performance level (e.g. expert). This is in addition to the present system of promoting an employee when their performance has a significant impact on the scope and complexity of the duties of their position (i.e. impact of person-on-the-job). The evaluation of the criteria in the standards will be done by a review committee of key managers. All employees will be potentially capable of being promoted beyond the expert level on this basis.

Key Players

Supervisors — The major responsibility for implementing these authorities rests with the first-level supervisors and higher managers. Working as partners with RHR, they will identify, select, and develop employees commensurate with their abilities, qualifications, and

CIA-RDP90-00530R000902140001-0 ive approach will enable DIA to develop responsive and progressive management and a motivated workforce. Other responsibilities include conveying new programs to employees, having their employees on the correct position descriptions, advancing employees along career paths, and rating performance.

Employees — Employees should know their respective SME and career ladder, their performance appraisal requirements and then personally evaluate where they are in their career and what type of goals they wish to set. The new career ladder and performance appraisal systems were created by and for DIA employees and reflect DIA's commitment to enhance the professional development of all personnel. This will enable DIA employees to broaden their horizons, pursue their goals, keep them abreast of new technologies and issues, and ensure that their careers are on track. Also, DIA employees can gain familiarity with programs by reading key directives, DIA Bulletin articles and informational materials, and attending scheduled briefings.

A Personnel System for the 1990's

In the dynamic and unstable world in which we live, DIA is developing a career development program that will achieve greater flexibility in the assignment of human resources, selection of the most qualified and experienced person for each key position, and will be a model for other parts of DoD and the Federal Establishment. In short, DIA will have a personnel program that will enhance workforce development, permit more management control and flexibility to meet the dynamic requirements of the intelligence mission of the future.

DEFENSE INTELLIGENCE AGENCY
INTRODUCTION

Purpose

The DIA Supervisor's Guide to Personnel Management provides you with information to help you with your personnel management responsibilities. It is designed to assist new supervisors and managers during their orientation, and experienced supervisors and managers in their daily supervisory duties. It is not meant as a replacement for classroom training nor is it intended to supplant the Directorate for Human Resources, which should always be consulted before taking any non-routine action. It is not all-inclusive, but covers only the responsibilities which are most widely shared by DIA supervisors.

Rather, the Guide is designed to give you an overview of your personnel responsibilities and to serve as a quick reference resource which will:

- o Identify key personnel tasks in which supervisors/managers are involved;
- o Provide guidance in how to perform each task;
- o Cite the appropriate regulation associated with each task.

Organization

The Supervisor's Guide includes 10 chapters, each covering a significant personnel area. Each chapter is further divided into units and sub-topics containing detailed information. Each chapter begins with a brief Overview, giving a general summary of the chapter and an outline of its contents. Similarly, each chapter unit begins with an Introduction, which contains a contents summary and a Finding Help box, which refers you to the page on which information for each sub-topic begins.

Official Guidance

The Guide references official regulations and other helpful material. These references are provided to help you to locate more information on the topic in question. An Official Guidance box is included to assist you.

How to Use the Supervisor's Guide

New supervisors and those new to DIA may find it useful to read through the entire manual to obtain a quick overview of their personnel management responsibilities. All supervisors/managers can use the Guide as a ready reference on particular issues, as follows:

DEFENSE INTELLIGENCE AGENCY
INTRODUCTION

1. Refer to the Table of Contents to locate the Chapter and Unit which relate to the issue and the topic in which you are interested.
2. Turn to the Chapter and read the Chapter Overview for a general introduction to the subject.
3. Then turn to the appropriate Unit and read the Unit Introduction.
4. Use the Finding Help box to locate the sub-topic(s) relating to your interest.
5. Read the information in the selected sub-topic sections.
6. As necessary, refer to the Official Guidance box for sources of additional information.
7. Lay out in detail your proposed course of action, after consulting with an appropriate representative of the Directorate for Human Resources.

CHAPTER 1: PERSONNEL MANAGEMENT OVERVIEW
UNIT 1: PERSONNEL POLICY AND THE ROLE OF THE DIRECTORATE FOR
HUMAN RESOURCES

OVERVIEW As a supervisor/manager, you are responsible for a variety of functions affecting the employees under your supervision. If you have worked in other organizations and personnel systems, you may find that DIA has a distinctive philosophy in this regard, as well as its own practices and regulations. These differences stem in part from the fact that DIA is specifically, ~~exempted by law from most of the provisions of the Civil Service Reform Act of 1978 and from the Classification Act of 1949,~~ which govern personnel management in the Federal Government as a whole. The DIA Directorate for Human Resources is an active participant in helping DIA supervisors/managers to fulfill their personnel responsibilities effectively.

CHAPTER 1
CONTENTS

Chapter 1 contains three units describing DIA's personnel philosophy and the role of the Directorate for Human Resources; how the effectiveness of the personnel program is evaluated; and equal employment opportunity and affirmative action.

- o Unit 1: Personnel Policy and the Role of the Directorate for Human Resources.
 - Principles of DIA Civilian Personnel Policy.
 - The Role of the Directorate for Human Resources.
 - o Unit 2: Personnel Management Evaluation.
 - General Procedures.
 - Formal Evaluation Procedures.
 - Self-Assessment Procedures.
 - o Unit 3: Equal Employment Opportunity and Affirmative Action
 - Supporting Affirmative Action
 - Special Programs
 - DoD and DIA Policy on Discrimination
 - Promoting Nondiscrimination
 - The EEO Complaint Process
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CHAPTER 1: PERSONNEL MANAGEMENT OVERVIEW
UNIT 1: PERSONNEL POLICY AND THE ROLE OF THE DIRECTORATE FOR HUMAN
RESOURCES

INTRODUCTION

Personnel management in the Federal Government in general is governed by the Civil Service Reform Act of 1978 (CSRA) and by the Classification Act of 1949. DIA, however, has been exempted from the Classification Act by PL98-618 and from the merit pay and Senior Executive Service provisions of the CSRA by PL97-89. ~~The CSRA itself exempts DIA from its performance appraisal, personnel research/demonstration projects, and labor relations provisions.~~ With the latitude afforded by these exemptions, DIA has evolved a unique and progressive personnel management system. Critical to the effective functioning of this system is close collaboration between the Directorate for Human Resources and DIA's supervisors/managers, working together to achieve excellence in carrying out DIA's mission.

FINDING HELP

IF YOU WANT TO KNOW ABOUT....	GO TO....
o Principles of DIA civilian personnel policy	Page 1-3
o The role of the Directorate for Human Resources	Page 1-5

CHAPTER 1: PERSONNEL MANAGEMENT OVERVIEW
UNIT 1: PERSONNEL POLICY AND THE ROLE OF THE DIRECTORATE FOR HUMAN
RESOURCES

Principles of DIA Civilian Personnel Policy

It is the policy of the DIA to use civilians in all positions that do not require:

- o military incumbents for reasons of law, training, security, discipline, rotation, or military readiness; or
- o a military background for successful performance of the duties.

In carrying out their responsibilities for civilian personnel management, DIA supervisors/managers are to be guided by the merit system principles in the Civil Service Reform Act of 1978 (5 USC 2301 (b)):

- o Recruitment should be from qualified individuals from appropriate sources in an endeavor to achieve a work force from all segments of society and selection and advancement should be determined solely on the basis of relative ability, knowledge and skills, after fair and open competition which assures that all receive equal opportunity.
- o All employees and applicants for employment should receive fair and equitable treatment in all aspects of personnel management without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or handicapping condition, and with proper regard for their privacy and constitutional rights.
- o Equal pay should be provided for work of equal value, with appropriate consideration of both national and local rates paid by employers in the private sector, and appropriate incentives and recognition should be provided for excellence in performance.
- o All employees should maintain high standards of integrity, conduct and concern for the public interest.
- o The Federal work force should be used efficiently and effectively.
- o 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.
- o Employees should be provided effective education and training in cases in which such education and training would result in better organizational and individual performance.

CHAPTER 1: PERSONNEL MANAGEMENT OVERVIEW

UNIT 1: PERSONNEL POLICY AND THE ROLE OF THE DIRECTORATE FOR HUMAN RESOURCES

- o Employees should be:
 - Protected against arbitrary action, personal favoritism, or coercion for partisan political purposes, and
 - Prohibited from using their official authority or influence for the purpose of interfering with or affecting the result of an election or a nomination for election.
- o Employees should be protected against reprisal for the lawful disclosure of information which the employees reasonably believe evidences:
 - a violation of law, rule, or regulation, or
 - mismanagement, a gross waste of funds, or an abuse of authority, or a substantial and specific danger to public health or safety.

Any employee who has authority to take or recommend any personnel action shall not:

- o Discriminate for or against any employee or applicant for employment on the basis of race, color, religion, sex, national origin, age, handicapping condition, marital status or political affiliation.
- o Solicit or consider any recommendation or statement, oral or written, with respect to any individual who requests or is under consideration for any personnel action unless such recommendation or statement is based on the personal knowledge or records of the person furnishing it and consists of an evaluation of the:
 - work performance, ability, aptitude, or general qualifications of such individual, or
 - character, loyalty, or suitability of such individual.
- o Coerce the political activity of any person (including the providing of any political contribution or service), or take any action against any employee or applicant for employment as a reprisal for the refusal of any person to engage in such political activity.
- o Deceive or willfully obstruct any person with respect to such person's right to compete for employment.
- o Influence any person to withdraw from competition for any position for the purpose of improving or injuring the prospects of any other person for employment.

CHAPTER 1: PERSONNEL MANAGEMENT OVERVIEW

UNIT 1: PERSONNEL POLICY AND THE ROLE OF THE DIRECTORATE FOR HUMAN RESOURCES

- o Advocate for DIA employment, promotion or advancement any individual who is a relative.
- o Take or fail to take a personnel action with respect to any employee or applicant for employment as a reprisal for "whistle-blowing" or for the exercise of any appeal right granted by law, rule, or regulation.
- o Take or fail to take any other personnel action if the taking of or failure to take such action violates any law, rule, or regulation implementing, or directly concerning, the merit system principles outlined above.

The Role of The Directorate For Human Resources

The Directorate for Human Resources (RHR) is an indispensable aid to DIA's supervisors/managers in accomplishing their mission. Supervisors/managers need to be fully cognizant of their personnel responsibilities and to understand the pitfalls of proceeding in personnel matters without being adequately informed. Personnel specialists are available to support supervisors/managers in taking personnel actions to stave off possible problems before they arise. For this reason, supervisors/managers should consult an appropriate Human Resources Manager early in the process of taking a personnel action. Equally, the Directorate for Human Resources is responsible for aiding supervisors in executing such fundamental duties as performance management and employee development.

OFFICIAL GUIDANCE: DIAR 22-52, Statement of Personnel Policy for Civilian Personnel

CHAPTER 1: PERSONNEL MANAGEMENT OVERVIEW
UNIT 2: PERSONNEL MANAGEMENT EVALUATION

INTRODUCTION The DIA personnel management program is subject to continuing evaluation of its efficiency and effectiveness, with the objective of maximizing the service it provides to supervisors/managers. For the most part, the review process is primarily the responsibility of the Directorate of Human Resources. However, since the ultimate test of the effectiveness of the human resources management program is how well it assists DIA's supervisors in planning for, obtaining, developing, and utilizing human resources for mission accomplishment, you may from time to time be asked to contribute to the evaluation process.

FINDING HELP

IF YOU WANT TO KNOW ABOUT....	GO TO....
o General procedures	Page 1-7
o Formal evaluation procedures	Page 1-7
o Self-assessment procedures	Page 1-8

CHAPTER 1: PERSONNEL MANAGEMENT OVERVIEW
 UNIT 2: PERSONNEL MANAGEMENT EVALUATION

General Procedures

The DIA personnel management evaluation (PME) program is a systematic, periodic review providing an objective and authoritative assessment of the effectiveness of ongoing personnel management activities. It provides feedback to responsible officials so that corrective improvements can be implemented. To the maximum extent possible, existing inspection and evaluation programs will be used to elicit information on personnel management to minimize the number of reviews and duplication of data.

The Directorate for Human Resources (RHR) is responsible for managing the PME program, conducting formal evaluations and issuing subsequent reports, and preparing self-assessment guidelines. The major components and the special offices of the DIA are responsible for:

- o adhering to applicable laws, regulations, policies, and procedures of personnel management programs
- o providing representatives to work with RHR on formal evaluations, and
- o conducting self-assessment reviews

Formal Evaluation Procedures

RESPONSIBILITY	RESPONSIBLE OFFICE/GROUP
o Establishing and maintaining a formal evaluation program covering each organization once every four years	Directorate for Human Resources (RHR)
o Developing specific measures for evaluating the effectiveness of personnel management programs	RHR
o Providing the personnel to conduct the evaluation	RHR/Appropriate component
o Preparing a formal written report containing findings, accomplishments, needed improvements, and recommended corrective actions	RHR

CHAPTER 1: PERSONNEL MANAGEMENT OVERVIEW
UNIT 2: PERSONNEL MANAGEMENT EVALUATION

Self-Assessment Procedures

Every Directorate/Office is responsible for conducting a biennial self-assessment of each personnel management program using their own personnel and following guidelines provided by RHR. RHR will identify the applicable personnel management programs. Self-assessment is not required during years when a formal evaluation is accomplished.

The assessment will be conducted by questionnaires and/or interviews. RHR will meet with the Directorate head to discuss the results of the review, an action plan to effect any needed corrective action, RHR assistance in implementing the action plan, and, if applicable, the need for a formal evaluation.

OFFICIAL GUIDANCE: DIAR 20-3, DIA Personnel Management Evaluation (PME)

**DEFENSE INTELLIGENCE AGENCY
REGULATION NO. 20-3**

**HEADQUARTERS, DEFENSE
INTELLIGENCE AGENCY
WASHINGTON, DC 20340-0001
30 July 1986**

PERSONNEL

DIA Personnel Management Evaluation (PME)

Section A

General Procedures

1. Purpose: To establish policies and procedures for evaluating personnel management programs, and to improve human resource management in the DIA by requiring periodic and systematic reviews of related practices and results.

2. Reference: Federal Personnel Manual, Chapter 250, "Personnel Management in Agencies."

3. Applicability: This regulation applies to all DIA personnel.

4. Definitions:

a. Personnel Management — planning for, obtaining, developing, and utilizing human resources for mission accomplishment.

b. Personnel Administration — the body of laws, regulations, and practices through which an organization obtains, develops, and utilizes human resources to accomplish its mission.

c. Personnel Management Evaluation — the systematic, objective, and authoritative assessment of personnel management and administration.

d. Formal Evaluation Report — based on an evaluation conducted by representatives of the Assistant Deputy Director for Human Resources (RHR) with assistance from the organization being evaluated, the report provides management information on how well personnel management practices are contributing to Agency mission and whether programs are administered in accordance with law, regulations, and policy.

e. Self-assessment Review — a less formal evaluation procedure than d., above; a review done by the respective directorate based on guidance provided by RHR. This is a review of a specific personnel management program (e.g., Performance Appraisal, Fitness/OER Reports, Classification, Career Ladders).

f. Directorates — for purposes of this regulation, they are the five major components and the special offices of the DIA.

5. Policy: DIA will establish and operate a personnel management evaluation program that:

a. Evaluates the effectiveness of ongoing personnel management activities;

b. Provides feedback to responsible officials on the results of the evaluations done on personnel management programs; and

c. Results in corrective improvements implemented by DIA managers and supervisors as a result of a personnel management evaluation. To the maximum extent possible, existing inspection and evaluation programs will be considered in the personnel management evaluation program, and the duplication of reviews will be minimized.

6. Responsibilities:

a. RHR is responsible for managing the PME program, conducting formal evaluations and issuing subsequent reports, and preparing self-assessment guidelines.

b. The Directorates are responsible for adhering to applicable laws, regulations, policies, and procedures of personnel management programs; providing representatives to work with RHR on formal evaluations; and conducting the self-assessment reviews.

Section B

Formal Evaluation Procedures

7. General: RHR is responsible for establishing and maintaining a formal evaluation program, and for

OPR: RHR-5

developing specific measures for evaluating the effectiveness of personnel management programs.

8. Procedures:

a. Resources — RHR will provide the personnel to conduct the evaluation, and the appropriate Directorate will provide at least one employee to assist RHR.

b. Format — The evaluation team will interview the key officials and employees involved in the applicable programs. All related program documentation will be reviewed, evaluated, and incorporated as appropriate. This includes information from other related surveys and reports (e.g., Productivity Program, Internal Management Control Studies, Self-Inspection Checklist, and Manpower Surveys).

c. Evaluation Cycle — RHR will evaluate each Directorate's personnel management programs once every 4 years, unless a self-assessment review identifies a need to conduct one sooner or the command element requests a special evaluation.

d. Reports — The report written by RHR will contain findings, accomplishments, needed improvements, and recommended corrective actions. The report will be provided to line management for comments before the final report is sent through the Senior Review Board to the Command Element.

e. Follow-up — RHR will meet with the appropriate management officials to discuss the results of the evaluation, an action plan to correct any problems, and the need for RHR assistance. Follow-up reports on action plan progress will be made by RHR.

FOR THE DIRECTOR:

OFFICIAL:

[Redacted Signature]

Acting Chief, Publication and
Presentation Division

DISTRIBUTION A

Section C

Self-Assessment Procedures

9. Overview: Directorate is responsible for conducting a self-assessment on each personnel management program using guidelines provided by RHR.

10. Self-assessment:

a. Resources — each Directorate will utilize their own personnel to conduct the assessment.

b. Format — the assessment will be conducted by questionnaire and/or interview. It should use data and information from other related surveys and reports to document achievements, isolate weaknesses for further review, and provide a baseline for future action.

c. Evaluation Cycle — every Directorate will conduct a biennial self-assessment of all personnel management programs. RHR will identify the applicable programs. Self-assessment is not required during years when a formal evaluation is accomplished.

d. Reports — the written results of the self-assessment will be provided to the applicable Deputy Director and RHR.

e. Follow-up — RHR will meet with the Directorate head to discuss the results of the review, an action plan for any corrective action needed, RHR assistance with the action plan, and, if applicable, the need for a formal evaluation.

[Redacted Signature]

Executive Director

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CHAPTER 1: PERSONNEL MANAGEMENT OVERVIEW
UNIT 3: EQUAL EMPLOYMENT OPPORTUNITY AND AFFIRMATIVE ACTION

INTRODUCTION

Basic to DIA personnel policies is the commitment to insure a workplace free of discrimination, in which all personnel actions are made without regard to the employee's age, sex, race, religion, color, marital status, national origin, political affiliation, or physical or mental handicap. Affirmative Equal Employment Opportunity (EEO) efforts contribute to the creation of a work environment that:

- o enhances individual and unit effectiveness
 - o attracts and retains high caliber staff.
-

FINDING HELP

IF YOU WANT TO KNOW ABOUT....	GO TO....
o Supporting Affirmative Action	Page 1-10
o Special Programs	Page 1-10
o DoD and DIA Policy on Discrimination	Page 1-10
o Promoting Nondiscrimination	Page 1-11
o The EEO Complaint Process	Page 1-12

CHAPTER 1: PERSONNEL MANAGEMENT OVERVIEW
UNIT 3: EQUAL EMPLOYMENT OPPORTUNITY AND AFFIRMATIVE ACTION

Supporting Affirmative Action

Ensuring nondiscrimination and furthering Equal Employment Opportunity (EEO) require continuing actions which use the DIA personnel system as a creative tool for improving employment and advancement opportunities for all individuals.

Affirmative employment activities are an integral part of the supervisory function. Performance in this area is a vital element in the appraisal of your supervisory effectiveness. The EEO Manager and Counselors can provide technical assistance, but it is your direct responsibility as a supervisor to ensure that decisions you make affecting employees in your unit are free from discrimination.

Special Programs

Special emphasis programs represent single, protected classes of employees. The U.S. Office of Personnel Management (OPM) assists agencies in developing creative approaches to recruitment, employment, placement, and training designed to increase opportunities for minorities and women through such programs as the Federal Women's Program, Hispanic Employment Program, and Upward Mobility Program. (See Chapter 4)

DoD and DIA Policy on Discrimination

Equal employment opportunity is to be provided for all persons as an integral part of every aspect of personnel policy and practice in the employment, development, and advancement and treatment of employees in DIA. Personnel actions and personnel management practices will be based solely on merit and fitness in such a manner as to demonstrate full adherence to the letter and spirit of Federal law and public policy guaranteeing equal employment opportunity without regard to race, age, color, religion, sex, national origin, marital status, political affiliation, or handicapping condition. In recognition of the dignity and equality of each individual citizen, all activities, facilities, and services operated, sponsored, or participated in by DIA will be available to all employees on an equal basis without any type of segregation or discrimination. Complaints of discrimination will be given prompt and fair consideration, and every effort will be made to assure just and expeditious disposition of each complaint. Complainants and others who participate in the presentation, review or adjudication of such complaints will be free from restraint, interference, coercion, discrimination or reprisal.

CHAPTER 1: PERSONNEL MANAGEMENT OVERVIEW
UNIT 3: EQUAL EMPLOYMENT OPPORTUNITY AND AFFIRMATIVE ACTION

Effective leadership and accomplishments by individuals in operating an EEO program will be used as a criterion for providing recognition, awards and advancement to civilian employees.

Promoting Nondiscrimination

Discrimination against individuals based on race, color, religion, sex, age, marital status, national origin, handicapping condition or political affiliation is prohibited by law, but even if it were not, it would have to be opposed because it violates American standards of fairness, and undermines effective management. Supervisors ensure a workplace free of discrimination by taking steps to create a work environment where all employees are treated fairly and humanely. The elimination of discrimination in the workplace enhances individual and unit effectiveness and attracts higher caliber employees.

Use the following guidelines to promote nondiscrimination in your work unit:

- o Provide employees reasonable accommodation with respect to work scheduling in order to permit religious observance.
- o Be certain in all personnel actions you take to avoid discriminating against applicants or employees.
- o In taking an action that might be viewed as discriminatory, make certain that the reasons and basis for the action are substantial and thoroughly documented.
- o Consider each employee as an individual; don't make assumptions about his/her capabilities based on group stereotypes.
- o Avoid jokes and comments reflecting on any class or group of people and discourage this kind of behavior among staff members.
- o Be responsive to informal expressions of concern regarding experiences of perceived discrimination.
- o Be evenhanded in applying rules, regulations, standards, and the like.

CHAPTER 1: PERSONNEL MANAGEMENT OVERVIEW
UNIT 3: EQUAL EMPLOYMENT OPPORTUNITY AND AFFIRMATIVE ACTION

The EEO Complaint Process

DIA employees and applicants for employment (except non-U.S. citizens abroad) may use the EEO complaint process to present allegations of discrimination on the basis of race, color, religion, sex, sexual harassment, national origin, age, or physical or mental handicap. In general, the EEO complaint procedure provides for:

- o informal precomplaint counseling.
- o investigation of the allegation
- o the right to a DIA decision without a hearing or the right to a hearing on the matter conducted by the EEOC
- o the right to appeal the DIA decision to the EEOC, and
- o the right to file a civil action in a Federal District Court.

OFFICIAL GUIDANCE: DIAR 22-27, Equal Employment Opportunity

CHAPTER 2: POSITION MANAGEMENT

OVERVIEW Executive, supervisory, and managerial personnel at all levels in DIA are required to organize their work and that of their subordinates in the most efficient and economical manner that will make optimum use of their human resources. This can be accomplished through effective position design both during initial structuring of an organization and when programs undergo changes which abolish and/or realign positions.

CHAPTER 2
CONTENTS

Chapter 2 contains two units, one describing the position management process in DIA and its Civilian Table of Organization (CTO), and the other, the way in which positions are established.

- o Unit 1: Position Management and the Civilian Table of Organization
 - Principles of Effective Position Management
 - Position Planning
 - Civilian Table of Organization (CTO)
 - Supervisory/Managerial Responsibilities in Position Management

 - o Unit 2: Establishing a Position
 - Position Classification
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 - Control of Grade Escalation and of Positions at High Grades
 - Rank-in-person Promotions
 - Complaints and Appeals
-

CHAPTER 2: POSITION MANAGEMENT

UNIT 1: POSITION MANAGEMENT AND THE CIVILIAN TABLE OF ORGANIZATION

INTRODUCTION

As a supervisor/manager, you are responsible for assigning duties and responsibilities to positions to ensure effective and efficient accomplishment of the mission and functions for which you are accountable. Positions should be planned so that there are logical entrance levels and patterns for progression to more skilled and higher graded positions. Such planning will result in job relationships where pay rates reflect the work performed. The Civilian Table of Organization (CTO) is the civilian position management control document for DIA, a subset of the Joint Table of Distribution (JTD).

FINDING HELP

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CHAPTER 2: POSITION MANAGEMENT

UNIT 1: POSITION MANAGEMENT AND THE CIVILIAN TABLE OF ORGANIZATION

Principles of Effective Position Management

The process of structuring an organization involves the subdivision of missions and functions into systems, processes, and, finally, tasks as the basic unit, i.e., the position. In dealing with an existing organization, any of the following conditions may appropriately lead supervisors/managers to consider changing the nature and mix of positions under their aegis:

- o a change in the nature of the organization's work
- o a change in the volume of the organization's work
- o a change in the technology associated with the work
- o the existence of dead-end jobs and career ladders with missing rungs
- o new position authorizations (spaces) or significant decrease in authorizations
- o a desire to enhance the efficiency/effectiveness of the organization.

Reorganizations often involve the deletion of existing positions in one Deputy Directorate and the gain of new positions in another. Whenever a reorganization is contemplated, management officials should discuss the plan with RHR well in advance to consider the effect the proposal will have on existing positions and requirements. When the proposed reorganization will impact on more than one Deputy Directorate or on the target grades shown in the Civilian Table of Organization, the Senior Human Resources Board (see below) must give its approval.

Position Planning

Positions should be planned so that there are logical entrance levels and career patterns for progression to more skilled and higher graded positions as employees gain skill and become ready to assume increased responsibility. The result will be effective job relationships where pay rates reflect the difficulty and responsibility of the work performed, and the qualifications required to do it. Effective position planning will assure that:

- o assignments requiring higher level and scarce skills are concentrated in as few positions as possible
- o there are clerical positions to support those of a professional, administrative, and technical nature
- o trained and experienced employees are available for filling higher level vacancies within DIA.

CHAPTER 2: POSITION MANAGEMENT

UNIT 1: POSITION MANAGEMENT AND THE CIVILIAN TABLE OF ORGANIZATION

Civilian Table of Organization (CTO)

The CTO is the civilian position management control document for DIA. On it are listed all authorized civilian positions below the DISES level, except wage system, part-time, foreign national and temporary positions. For each position, the incumbent's or on-board grade level is shown at the right, while the left side shows the target grade level. The target grade represents the full performance or expert level of work:

- o In positions covered by career ladders, knowledges, skills and abilities are defined for the expert level.
- o In other positions, the classification standard defines the full performance level of work.

The target grade is not the authorized grade for the incumbent, but rather the career ladder potential of the position within a particular office. The target grade is open to all qualified employees within that office. The incumbent's grade may be higher, lower, or the same as the target grade. Vacant positions are shown with only the target grade entry.

- o The total of all target grades divided by the number of authorized positions in a directorate gives the target average grade level for that directorate.
- o The total of all on-board (incumbent) grades divided by the number of billets authorized for the organizational unit gives the on-board average grade level for the organization.

Both of these averages are shown on the CTO for each organizational unit and cumulated up to the Deputy Directorate or Special Office level.

The DIA Senior Human Resources Board (SHRB) is responsible for management of the CTO. The SHRB membership consists of the Executive Director (ED), Chairman, and each Deputy Director for.

The Assistant Deputy Director for Human Resources (RHR) acts as Executive Secretary, and the Comptroller (OC), as financial advisor.

When the SHRB approves a proposed reorganization, the CTO target grades for the gaining and losing organizations will be recomputed. When work complexity increases, a higher target grade may be warranted for a group of positions.

The proposed changes in the CTO will be discussed with RHR and then presented to the SHRB for approval. If the CTO target grades are changed, the target grade averages will be recomputed.

CHAPTER 2: POSITION MANAGEMENT

UNIT 1: POSITION MANAGEMENT AND THE CIVILIAN TABLE OF ORGANIZATION

A bank of CTO promotions for each organization is permitted annually within the budget estimate. Each non-competitive promotion made counts as one promotion point, regardless of grade. Each Deputy Director for and the Executive Director must manage positions within the authorized target average grade level established for his/her subordinate organization, and shall establish controls within subordinate directorates to ensure that the approved target average grade levels and promotion points are not exceeded. Positions may be realigned within an organization without reference to the SHRB if the position titles, series and target grades are kept constant.

The DIA Senior Human Resources Board (SHRB) is responsible for management of the CTO.

Supervisory/Managerial Responsibilities in Position Management

DIA supervisors/managers:

- o establish and maintain within their area of responsibility an effective position structure which is consistent with approved mission, workforce authorizations, DIA personnel policies, and administrative authority, and which will achieve optimum balance of economy, effectiveness, and employee motivation and/or development.
- o utilize appropriate standard position descriptions (PD) to the maximum extent.
- o certify in writing that:
 - each PD is an accurate statement of the major duties and responsibilities of the position and its organizational relationships
 - the position is necessary to carry out those DIA functions for which the supervisor is responsible.
- o establish and maintain an official operating PD file containing copies of each PD used in the organization. The file:
 - will assist in planning, carrying out, and evaluating work performance of subordinates
 - will be useful in organizational analyses and maintenance of the manpower data base
 - should be readily accessible to employees who request to review their own position description.

CHAPTER 2: POSITION MANAGEMENT

UNIT 1: POSITION MANAGEMENT AND THE CIVILIAN TABLE OF ORGANIZATION

- o comply with position management procedures relative to the CTO.

OFFICIAL GUIDANCE: DIAR 22-22, Civilian Personnel Position Management

DEFENSE INTELLIGENCE AGENCY
WASHINGTON, DC 20340-0001

REGULATION NO. 22-22
16 September 1987

CIVILIAN PERSONNEL

Position Management

1. **Purpose:** To set forth policies, responsibilities, and requirements for the management and classification of civilian positions in the DIA and to prescribe conditions for promotion based on rank-in-person.

2. **References:**

- a. 10 U.S.C. 1604.
- b. DEPSECDEF Memorandum, Delegation of Authority to Implement Section 501(a) of Public Law 98-618, 16 January 1986.
- c. DoD Directive 5105.21, "Defense Intelligence Agency," 19 May 1977.
- d. DIAR 49-1, "Organization General."
- e. DIAR 22-30, "DIA Career Ladders."
- f. DIAR 22-25, "Career Programs Selection Board."

3. **Applicability:** This regulation applies to all DIA elements.

4. **Supersession:** This regulation supersedes DIAR 22-22, "Position Management and Classification," 18 August 1986. An asterisk indicates a change within the paragraph.

5. **Policy:** In consonance with law, all managers and supervisors must adhere to the following principles of effective policy:

a. *Position Management.* Executive, supervisory, and managerial personnel at all levels throughout the DIA are required to organize their work and that of their subordinates in the most efficient and economical manner that will make optimum use of their human resources. This can be accomplished through effective position design since the organization structuring process involves the subdivision of missions and functions into systems, processes, and finally tasks as the basic unit, i.e., the position. These same factors must receive full consideration as programs undergo changes which abolish and/or realign positions.

b. *Position Planning.* Positions should be planned so that there are logical entrance levels and career patterns for progression to more skilled and higher graded positions as employees gain skill and ability to assume increased responsibility. Such planning will result in effective job relationships where pay rates are commensurate with the work performed. Effective position planning will assure that (1) assignments requiring higher level and scarce skills are concentrated in as few positions as possible, (2) there are clerical positions to complement those of a professional, administrative, and technical nature, and (3) a source of trained employees is provided for filling higher level vacancies within the Agency.

c. *Pay Equity.* There will be equal pay for substantially equal work. Pay should have a direct relationship to the level of difficulty, responsibility, and qualification requirements of the work performed.

d. *Rank-in-Person Promotions.* It is DIA policy to promote those individuals who bring such extraordinary knowledge, skill, and ability to the job that they function at a higher grade level than that normally associated with the assigned duties. These are called rank-in-person promotions. The Career Programs Selection Board (DIAR 22-25) will recommend individuals to the Director for rank-in-person promotions based on budget availability for each semi-annual review period.

6. **Definitions:**

a. *Civilian Table of Organization (CTO)*—The civilian position management control document for DIA. The left side shows target grade levels; the right side shows the on-board incumbent's grade level.

b. *Target Grade.* The target grade represents the full performance or expert level of work. In positions covered by career ladders, knowledges, skills, and abilities are defined for the expert level. In positions not covered by career ladders, the classification standard defines the full performance level of work. It is shown on the left side of the CTO. The target grade is not the authorized grade for the JTDRN incumbent on the right side of the CTO, but rather the target for use within an organization. It represents the career ladder potential within a particular office. The target grade is open to all qualified employees within a particular office and is not a designation for the individual who lines up on the right side of the CTO.

c. *Target Average Grade Level.* The total of all target grades divided by the number of authorized positions in each directorate. This average is shown on the CTO for each organizational unit and cumulated up to Deputy Directorate or Special Office level.

d. *On-board or Incumbent's Grade.* The grade of the person in the position. It does not need to be in agreement with the target grade. It is shown on the right side of the CTO.

e. *On-board Average Grade Level.* The total of all on-board or incumbent grades divided by the number of authorized billets. This average is shown on the CTO for each organizational unit and cumulated up to Deputy Directorate or Special Office level.

7. **Responsibilities:**

a. The Directorate for Human Resources administers the position management program throughout the Agency. Specific responsibilities are to:

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(1) Develop plans, policies, implementing procedures, and controls for administering the program with the advice and consent of the Senior Human Resources Board (SHRB).

(2) Provide advice and assistance to management officials and supervisors on all aspects of position management, including the development and use of standardized position descriptions.

(3) Carry out position review programs ensuring that civilian positions are appropriately described, evaluated, and documented. These may be coordinated on an organizational or individual basis.

(4) Establish internal guides and standards for use in grading and classifying Agency positions, as well as interpreting and facilitating the application of existing standards to specific Agency requirements.

(6) Support activities of the Career Programs' Selection Board regarding rank-in-person promotions.

b. Managers and Supervisors.

(1) Establish and maintain within their area of responsibility an effective position structure consistent with approved mission, manpower authorizations, Agency personnel policies, and administrative authority, which will achieve optimum balance of economy, effectiveness, and employee motivation and/or development.

(2) Utilize appropriate standard descriptions to the maximum extent for subordinate positions.

(3) Certify in writing that the description is an accurate statement of the major duties and responsibilities of the position and its organizational relationships, and that the position is necessary to carry out Agency functions for which the supervisor is responsible.

(4) Establish and maintain an official operating position description file (containing the copies of descriptions provided by the Assistant Deputy Director for Human Resources (RHR)) where it will assist in planning, carrying out, and evaluating work assignments of subordinates as well as in organizational analyses and maintenance of the manpower data base. This file should contain a copy of each position description used in the organization and be readily accessible to employees, upon request, to review their own position description.

(5) Comply with position management procedures relative to the CTO.

c. This regulation establishes a DIA SHRB responsible for management of the CTO. The membership of the SHRB consists of: Executive Director (ED), Chairperson; Deputy Director for Resources and Systems (RS); Deputy Director for Foreign Intelligence (VP); Deputy Director for Operations, Plans, and Training (VO); Deputy Director for JCS Support (JS), and Deputy Director for External Relations (DI). RHR will serve as Executive Secretary. The Comptroller

(OC) will serve as financial advisor. Members may be represented by alternatives.

d. This regulation provides for the Career Programs Selection Board (CPSB) established by DIAR 22-25, to review requests for rank-in-person promotions.

8. CTO:

a. General. The CTO will identify a target grade level for each civilian position in the DIA below DISES level, except wage system, part-time, foreign national, and temporary positions. It will be marked "For Official Use Only."

b. Average Grade Control. An average of all target grade levels will be computed. Each Deputy Director for and the ED will be required to manage positions within the authorized average established for his/her subordinate organizations.

c. Target Grade and On-board Grade. The actual grade of a position's incumbent may be higher, lower, or the same as the target grade.

d. Promotion Point. A bank of CTO promotions permitted annually within the budget estimate. Each promotion made equals one point, regardless of grade.

e. Minimum Management Controls. Each Deputy Director for and the ED shall establish controls within subordinate directorates to ensure that the approved target average grade level and promotion points are not exceeded. As a minimum, these controls will include:

(1) A control point where each SF52 (Request for Personnel Action) is sent for comparison with the CTO. The comparison should confirm that taking the action will not cause the target average grade level to be exceeded.

(2) A control point where each SF52 involving a promotion is sent for approval and counting against the fiscal year's promotion points.

f. Optional Management Controls. Each Deputy Director for and the ED may establish controls to include:

(1) Subordinate control points at the Assistant Deputy Directorate level or at a lower level.

(2) Control of target average grade levels or promotion points at the Assistant Deputy Director level with or without a reserve at the Deputy Directorate level.

(3) Boards or committees to prioritize directorate options with regard to grade levels or promotions.

(4) Review of reorganization proposals to determine if SRB action is needed.

(5) Review by the appropriate Subject Matter Expert of all promotion actions proposed in the career ladder to ensure minimum essential training and developmental activities have been accomplished.

** g. Changes to the CTO.* Twice each year, normally in the spring and fall, each Deputy Director for or the ED may request changes to the left side of the CTO as follows:

* (1) RHR issues a call for CTO changes.
 * (2) Proposed changes to the CTO are reviewed/evaluated by RHR and then the SHRB meets formally to approve/disapprove.

* (3) Upon formal approval by the SHRB, RHR will make left side (target) CTO changes.

* h. *Out-of-Cycle Changes to the CTO.* Changes to the left side (target) of the CTO may be made at other times as a result of a reorganization as described in paragraph 10.e. below.

9. Position Descriptions:

a. *General.* Position descriptions identify the major duties and responsibilities of a position and constitute a basic and essential ingredient of any position management or position classification program. They provide an official record of a decision by the responsible management officials that certain work is to be performed by an employee or group of employees. In the latter instance, a standard position description will be used to cover a number of like positions within a given organization element or on an Agency-wide basis.

b. *Purposes and Uses.* Position descriptions have many and varied applications. For example, they reflect grade level; contain knowledge requirements for purposes of recruiting, selecting, and promoting; reflect performance appraisal factors, career ladders, and applicable career development programs; establish competitive levels for reduction-in-force; and indicate either "exempt" or "non-exempt" status in accordance with the Fair Labor Standards Act.

c. *Preparation.* Management is responsible for determining the duty assignment of each position and for utilizing standard descriptions to the maximum extent possible. RHR will provide advice and guidance, as necessary, to management officials and supervisors on such matters. Multi-purpose or standard descriptions covering a group of positions common to specific operating elements will be jointly developed by management representatives and human resource managers.

d. *Format and Content.* RHR will classify, using existing or new standards, as well as prescribe format and content for position descriptions.

e. *Number of Copies.*

(1) Copies of position descriptions through the GS-15 grade level will be maintained by RHR and at the lowest supervisory level. An employee has access to the description for his/her position in the supervisor's or RHR's file.

(2) DISES position descriptions are maintained in RHR. Access will be provided to DISES members and senior DIA officials with a need to know.

10. **Reorganizations:** Reorganizations often involved the deletion of existing positions for some Deputy Director for or the ED and the gain of new positions for another.

a. Whenever reorganizations are contemplated, management officials should discuss the matter with RHR in advance to ascertain the effect the proposal will have on existing positions and requirements.

b. When the reorganization will impact on the assignment of positions to another Deputy Director for or the ED, or on the target grades shown in the Civilian Table of Organization, the SHRB's approval will be required. Included in the SHRB approval process will be a recomputation of the CTO target grades for the gaining and losing SHRB member.

c. Any Deputy Director for or the ED may rearrange positions within the organization, keeping the left side grades constant. Promotions above the left side grade may be made through the rank-in-person process.

d. When work complexity increases, a group of positions may warrant a higher target grade. The proposed changes in the CTO will be discussed with RHR and then presented to the SHRB for approval. The CTO target grades and target grade average will then be recomputed.

* e. As a result of a reorganization and before the next formal SHRB meeting, a Deputy Director for or the ED may request out-of-cycle changes to the left side of the CTO when the lack of CTO grade flexibility will adversely affect the efficiency of the organization to perform its mission. Proposed out-of-cycle changes should be sent to RHR for review and evaluation. RHR will send the evaluation and proposal(s) for simultaneous written review/coordination and approval by SHRB members. Upon concurrence by a majority of the SHRB members, RHR will make the left side (target) CTO changes.

11. Rank-in-Person Promotions:

a. The Career Programs Selection Board will recommend candidates to the Director (DR), DIA for rank-in-person promotion above the target grade in the CTO. The DR will retain final authority for the promotion decisions.

b. Rank-in-person promotion consideration will generally be limited to employees who have a minimum of 1 year in the position impacted and a minimum of 2 years experience in the DIA. The promotion must not result in the Deputy Directorate exceeding its average target grade in the CTO.

c. Rank-in-person promotion is based on impact in a specified position beyond the CTO target grade. This impact is generally not transferable to another position which is constituted in the CTO at a lower target grade.

d. Individuals may be considered for rank-in-person promotion only upon nomination by management.

e. RHR will issue a call for promotion consideration twice a year, in April and October, to Deputy Directors for and the ED. The format of submission will be specified in the call.

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f. Promotions desired will be prioritized by Deputy Directorate or Special Office.

g. Promotees and non-promotees will be notified by RHR as soon as practicable after DR decision. Promotions will be effective the pay period following DR decision.

h. There is no charge to the CTO promotion point bank for rank-in-person promotions. The promotions, however, may not cause the Senior Review Board member's on-board average grade level to exceed the authorized average grade level.

12. Appeal:

a. *General.* At any time an employee believes that the classification of his/her position is in error, he/she may appeal the classification. DIA's classification appeal system has four steps. Consultation with RHR (to include forwarding of any written decisions) should occur at each step.

b. *Step 1.* When an employee feels that the title, series, or grade of his/her position is incorrect, the matter should be brought to the attention of the supervisor. The supervisor will explain the basis for the existing classification, consulting with RHR if needed. This initial step may be accomplished in writing.

c. *Step 2.* If dissatisfied with the oral or written supervisory response, the employee may appeal to his/her Assistant Deputy Director (or equivalent in staff offices) within 10 calendar days of receiving the

response. Within 30 calendar days of the receipt of the appeal, the Assistant Deputy Director will provide the employee with a written decision.

d. *Step 3.* If dissatisfied with that decision, the employee may further appeal to his/her Deputy Director (or Staff Office Head) within 14 calendar days. Within 30 calendar days, the Deputy Director will provide the employee with a written decision.

e. *Step 4.* If dissatisfied with that decision, the employee may make a final appeal to the ED within 14 calendar days. Within 60 calendar days, the ED will provide a final DIA decision. There is no further right of administrative appeal.

f. *Representation.* An employee is entitled to be represented by an attorney or other representative. The employee must designate the name of the representative in writing. DIA may disallow as an employee's representative:

- (1) an individual whose activities as a representative would cause conflict of interest or position,
- (2) an individual who cannot be released from official duties because of priority needs of Government,
- (3) an employee whose release would give rise to unreasonable costs to the Government, or
- (4) any person who does not possess appropriate security clearance. (The Agency will not initiate security clearance action solely for the purpose of employee representation.)

[Redacted Signature]

Executive Director

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**DEFENSE INTELLIGENCE AGENCY
REGULATION NO. 22-25**

**HEADQUARTERS, DEFENSE
INTELLIGENCE AGENCY
WASHINGTON, DC 20301
13 December 1984**

CIVILIAN PERSONNEL

Career Programs Selection Board

1. Purpose: To establish policies and procedures for the selection of DIA civilian employees for participation in long-term career development and training opportunities.

2. References:

- a. Federal Personnel Manual, Chapter 410, "Training."
- b. DoD Instruction 1430.5, "Civilian Employee Training Policies and Standards," 26 June 1978.
- c. DIAR 24-1, "Training of DIA Personnel."
- d. DIAR 20-16, "DIA Personnel Assigned or Detailed to Duty in Non-DoD Agencies and Activities."

3. Applicability: This regulation applies to all DIA civilian personnel except those in the Defense Intelligence Senior Executive Services (DISES).

4. Supersession: This regulation supersedes DIAR 24-10, "DIA Full-Time Study Program," 9 March 1981.

5. Policy:

a. It is a management responsibility to nominate DIA civilian employees to be considered for a long-term career development or training opportunity. Self-application procedures also may be used to supplement management nomination. An individual may decline selection; however, declination will suspend all future consideration for such opportunities unless the Director (DR), DIA waives the suspension because of compelling reasons for the declination.

b. Long-term career development and training opportunities are to improve employees' performance of present duties and of reasonably anticipated future duties. Both career development and training will be designed in accordance with the needs of the Agency and with established career ladders, which specify requirements for development at each level of competency.

c. Long-term development and training opportunities will be generally limited to employees who have at least 2 years of continuous, full-time em-

ployment in DIA. Training for the sole purpose of obtaining a degree is prohibited.

d. Rotational assignments will be covered by a memorandum of understanding which will, at a minimum, define duties, beginning and completion dates, a performance rating scheme, time and attendance procedures, and supervision of the assignment.

6. Responsibilities:

a. The DR, DIA will retain final authority for selection of employees for long-term development and training opportunities.

b. The existing Senior Review Board (SRB) will review recommended selections prior to submission to the DR for final selection.

c. A Career Programs Selection Board (CPSB) will recommend candidates through the SRB to the DR for various programs.

d. The Executive Director will serve as voting Chairperson. The Executive Director will report and bring issues to the SRB.

(1) The CPSB will meet on a regular bi-monthly basis and at other times as needed.

(2) The CPSB's responsibilities include establishing valid selection criteria, reviewing the qualifications of nominees and applicants, conducting interviews as necessary, establishing priorities, insuring that post development utilization has been specified, and preparing recommendations for forwarding through the SRB to the DR.

e. The Assistant Deputy Director for Training (OT) will serve as the Executive Secretary to the CPSB.

(1) The Executive Secretary is responsible for support to the CPSB, which includes announcement of training programs, preparation of recommended criteria for each training opportunity, evaluation of nominations and preparation of recommendations for the CPSB, and preparation of documentation for CPSB deliberations. The Executive Secretary may not eliminate a properly endorsed nomination

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It may provide an assessment of whether or not it meets established criteria.

(2) The Executive Secretary will be assisted by a designee from the Directorate for Human Resources (RHR). RHR's representative will process any personnel actions involved in the career program's implementation, prepare memoranda of understanding for rotational assignments, manage the billet control, and coordinate assignments external to the DIA with the OSD.

7. Membership:

a. There will be nine members of the CPSB. The CPSB will be comprised of the Executive Director, one designee by the Deputy Director for Intelligence and External Affairs, and one by the Deputy Director for JCS Support, and two designees each by the Deputy Director for Foreign Intelligence, by the Deputy Director for Management and Operations, and by the Deputy Director for Resources and Systems. Designees should, if possible, be at the DISES or Flag Officer/General Officer level.

b. Each Deputy Director should also designate an alternate for each principal CPSB member.

8. Scope of Operations:

a. The CPSB manages selection for all long-term civilian career development and training opportunities, including:

(1) Full-time study at senior Service schools and civilian universities.

(2) Director of Central Intelligence (DCI) Exceptional Analyst Program.

(3) Defense Advance Language and Area Studies Program (DALASP).

(4) National Security Agency, Central Intelligence Agency, Intelligence Community Staff, or other external or rotational assignments in accordance with DIA career ladders.

(5) Rotational positions (civilian) in the liaison office or at a U&S Command in accordance with DIA career ladders.

(6) Rotational assignments across Deputy Directorate lines, such as those to the National Military Intelligence Center (NMIC), in accordance with the DIA career ladders.

(7) Congressional Fellowship, Presidential Interchange Assignments.

(8) Any other training or assignment opportunity that is of career importance or exclusively exceeding the programs mentioned above.

9. Procedures:

a. Individuals may be considered for a long-term

development or training opportunity based upon management nomination or self-application submitted through the employee's normal chain-of-command. Long-term training and career development opportunities generally will be advertised to the DIA workforce via either a training or career opportunity announcement and/or a *DIA Bulletin* notice. Selection can be made without such announcement at CPSB discretion.

b. Nominations will be prepared in the format prescribed by the announcement. Nominations must be forwarded from the originators through each organizational level in the chain-of-command through the Deputy Director level and then on to the Executive Secretary for consolidation.

c. All nominations must include an endorsement by the appropriate Deputy Director or Chief of Special Office and a specific plan for post-development utilization. Multiple nominations from the same Deputy Directorate or Special Office for the same program must be prioritized.

d. Selectees and nonselectees will be notified by the Executive Secretary as soon as practicable after DR decision.

e. For some programs, the accepting organization or institution may have final acceptance authority after the DR selection. The Executive Secretary will coordinate all submissions and related communications for such programs.

10. Utilization/Control:

a. Selection for a program does not guarantee reassignment, promotion, or preselection for any Agency assignment.

b. Individuals must be assigned to a permanent billet in order to be selected for a long-term development or training opportunity.

c. An individual selected for a development opportunity will remain assigned to the permanent billet he/she occupied at the time of selection, or until management assigns him/her to another permanent billet.

d. If the Assistant Deputy Director (or equivalent) determines that the trainee's function is absolutely essential, the senior civilian temporarily may be assigned to fill the position, on an overage basis, and, in turn, his/her position also may be filled if deemed essential by management, until the trainee's return.

e. Operational control of individuals is in the gaining organization or institution.

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f. Details concerning attendance and leave will be coordinated by the gaining organization with the selectee's permanent supervisor. It will be the responsibility of the selectee's permanent supervisor

to forward routine personnel actions to the gaining organization and to insure appropriate coordination/completion.

FOR THE DIRECTOR:

OFFICIAL:

DONALD W. GOODMAN
Brigadier General, USAF
Chief of Staff

STAT

Chief, Publication and
Presentation Division

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CHAPTER 2: POSITION MANAGEMENT
 UNIT 2: ESTABLISHING A POSITION

INTRODUCTION

Supervisors/managers are responsible for making effective use of the personnel spaces allocated to them. When you determine that a new position is needed or an old one needs to be recast, you must have a position description for it. In DIA, most of the time you will be able to properly describe a position using one of the standard PD's prepared for DIA's career ladders.

FINDING HELP

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CHAPTER 2: POSITION MANAGEMENT
UNIT 2: ESTABLISHING A POSITION

Position Classification

The DIA has been exempted under PL98-618 from provisions of the Classification Act of 1949 (Title 5, Section 5332). Under PL98-618 rates of basic pay for DIA civilian officers and employees are to be fixed in relation to the rates of basic pay provided in the General Schedule for positions which have corresponding levels of duties and responsibilities. Except for members of the Defense Intelligence Senior Executive Service (DISES), no officer or employee may be paid at a basic rate in excess of the highest rate of basic pay of the General Schedule. The Directorate of Human Resources will classify positions based on approved position descriptions. These classifications are shown as the target grade on the left side of the CTO.

Position Descriptions

A position description (PD) identifies the major duties and responsibilities of a position. It is a basic and essential ingredient of any position management or position classification program. The PD provides an official record of a decision by the responsible management officials that certain work is to be performed by an employee or group of employees. While it is possible to design an individualized PD for positions with unique responsibilities, most positions in DIA will be able to be described using standard PD's drawn up to cover a number of like positions within a given organizational element or even DIA-wide.

Supervisors/managers are responsible for determining the duty assignments of each position and for using standard PD's to the maximum extent possible. Standard (multi-purpose) PD's covering a number of similar positions will be jointly developed by representatives of management and of the Directorate for Human Resources (RHR). RHR will also provide advice and guidance, as needed, to supervisors/managers on PD matters, and will prescribe the format and content of PD's. Copies of all PD's will be maintained by RHR and, for positions other than DISES, also by the immediate supervisor of the position. An employee must always be given access to his/her PD.

The PD system is rooted in the career ladders provided for each of DIA's major occupational groups. Each ladder has up to four levels--entry, mid-level, expert, and senior expert. In each career ladder, a PD is provided for the higher grade at each level (if there is more than one grade at a level) up through the expert (full performance) level. A statement of difference is provided for the lower grade. PD's are also provided for the first-level and for the second-level supervisors.

CHAPTER 2: POSITION MANAGEMENT
UNIT 2: ESTABLISHING A POSITION

USING THE SIMPLIFIED POSITION DESCRIPTION SYSTEM

- o Determine duties of the position.
- o Compare these to the standard PD's and select the best match.
- o Prepare a personnel action package.
- o Submit the package for review by higher level supervision and the control point.
- o On receipt of the approved PD, notify the incumbent of the position of the action taken.
- o Review position documentation periodically to determine if the PD still accurately describes the duties of the position.

Annual Review of Positions

Supervisors/managers must annually review all occupied positions under their control to determine if they are necessary and accurately described. A vacant position is reviewed when the supervisor seeks to fill it. For encumbered positions this review takes place at the time of the performance appraisal. This permits the supervisor to discuss the accuracy of the PD and the DIA Form 300 codes with the incumbent, and to certify to the accuracy or inaccuracy of the PD and DIA Form 300 codes on DIA Form 124 (Employee Appraisal). Major revisions or a proposed removal of an employee from the standard description in use will require that supervisors provide RHR with a draft for review. All DIA Form 300 code changes and drafts will be transmitted attached to the completed DIA Form 124. Whenever a position is vacated, the supervisor will certify as to the accuracy of the PD and DIA Form 300 codes before any recruitment to fill the vacancy begins. Positions no longer necessary should be abolished.

Position Management Review

Beyond the supervisory certification process, RHR is responsible for checking the accuracy of PD's by a technique called the Position Management Review.

CHAPTER 2: POSITION MANAGEMENT
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The human resource manager will interview an employee at the work site, discuss the work operation in detail, and examine work samples and products. Findings will be discussed with and verified by the supervisor and then will be subject to detailed analysis. Reviews may be made for a variety of reasons, including:

- when major changes are found during the regular supervisor-employee review
- when requests have been made to change positions
- under certain conditions of reorganization or functional realignment

The human resource manager will make arrangements for the review through the employee's supervisor.

Control of Grade Escalation and of Positions at High Grades. Good management dictates that employees be compensated equitably for the work they perform. Many agencies have found that there is a tendency for average grade levels to climb, partly because positions are graded higher than their actual duties and responsibilities warrant. It is incumbent on supervisors/managers to adhere to the grade limits in the CTO and not to permit pressure of outside competition for quality personnel to inflate position descriptions. In particular, higher-level duties should be concentrated in as few positions as possible, rather than spreading them thinly over a number of positions, thereby increasing their grades. Rank-in-person promotions (See below) should be reserved for those clearly deserving them.

Rank-in-Person Promotions

Rank-in-person promotion is based on the impact of a particular incumbent of a specified position which augments the duties and responsibilities of the position beyond the CTO target grade. This impact is generally transferable to another position listed on the CTO at the same target grade (i.e., GS-15 to GS-15), but is generally not transferable to another position with a lower target grade (i.e., GS-15 to GS-14). Individuals may be considered for such a promotion only upon nomination by management. Consideration will generally be limited to employees who have a minimum of two years experience in DIA and of one year in the impacted position. The nomination and consideration process for rank-in-person promotion is as follows:

- o RHR will issue a call for such promotion nominations twice a year, in April and October, to the Executive Director and Deputy Directors for.
- o RHR will specify the format of submission.

CHAPTER 2: POSITION MANAGEMENT
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- o The Executive Director and the Deputy Directors for will consider nominations, bearing in mind that the promotion(s) must not result in the Directorate's exceeding its average target grade in the CTO.
- o Promotions recommended will be prioritized by each Deputy Directorate or Special Office.
- o The Career Programs Selection Board will review all nominations and prepare recommendations.
- o Recommendations will be submitted to the Director, DIA (DR) for final decision.
- o Nominees will be notified by RHR as soon as possible after the decision by the DR.
- o Promotions will be effective the pay period following the DR's approval.

There is no charge to the CTO promotion point bank for rank-in-person promotions.

Complaints and Appeals

At any time that an employee believes that the classification assigned to his/her position is in error, he/she may appeal the classification.

DIA ADMINISTRATIVE CLASSIFICATION APPEAL SYSTEM		
ACTION	INDIVIDUAL RESPONSIBLE	PRIOR CONSULTATION WITH RHR REQUIRED?
o Bring the question as to title, series, or grade of a position to the attention of the supervisor.	Incumbent of the position	No
o Explain the basis for the existing classification, orally or in writing.	Supervisor	Optional

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DIA ADMINISTRATIVE CLASSIFICATION APPEAL SYSTEM (Con't)		
ACTION	INDIVIDUAL RESPONSIBLE	PRIOR CONSULTATION WITH RHR REQUIRED?
o If dissatisfied with the supervisor's response, may appeal to Assistant Deputy Director or equivalent in staff offices within 10 calendar days of receiving the response.	Incumbent of the position	No
o Within 30 calendar days of the receipt of the appeal, provide the employee with a written decision.	Assistant Deputy Director or equivalent	Yes
o If dissatisfied with that decision, may further appeal to his/her Deputy Director for (or Staff Office Head) within 14 calendar days.	Incumbent of the position	No
o Within 30 calendar days of the receipt of the appeal, provide the employee with a written decision.	Deputy Director for or equivalent	Yes
o If dissatisfied with that decision, may further appeal to Executive Director within 14 calendar days.	Incumbent of of the position	No
o Within 60 calendar days of the receipt of the appeal, provide a final DIA decision.	Executive Director	Yes

CHAPTER 2: POSITION MANAGEMENT
UNIT 2: ESTABLISHING A POSITION

An employee appealing a classification is entitled to be represented by an attorney or other representative. The employee must designate the name of the representative in writing. DIA may disallow as an employee's representative:

- o an individual whose activities as an employee representative would cause a conflict of interest or position
- o an individual who cannot be released from official duties because of priority needs of Government
- o an employee whose release would give rise to unreasonable costs to the Government, or
- o any person who does not possess appropriate security clearance. (DIA will not initiate clearance action solely for the purpose of employee representation).

OFFICIAL GUIDANCE: DIAR 22-22, Civilian Personnel Position Management
DIAR 22-14 A&B, Civilian Personnel Processing of
Personnel and Position Actions
DIAR 22-58, DIA Performance Appraisal System
A Step-by-Step Supervisor's Guide for Using the
Intelligence Professional Simplified Position
Description System. 14 August 1986

CHAPTER 3: STAFFING AND PROMOTIONS

OVERVIEW Preparing to fill a position involves organizing information to guide the search for, and the review of, applicants for vacant positions in your work unit. This information includes the recommended qualifications requirements against which applicants will be screened, the rating factors for evaluating qualified applicants and ideas concerning the best recruitment strategy. The guidance you provide impacts on both who will apply for the position and the ability of the person hired to fill the position. Promotions of on-board employees need also to be made with the greatest care.

As a supervisor/manager, you are responsible for working closely with the Directorate for Human Resources in preparing to fill vacant positions or to recommend a promotion.

CHAPTER 3 CONTENTS

Chapter 3 contains 5 units, each of which relates to your responsibilities for taking staffing actions and recommending promotions.

- o Unit 1: Preparing to Fill a Position
 - DIA Staffing Policy
 - Initiating Recruitment Actions
 - How to go About Filling the Position
- o Unit 2: Details/Other Temporary Measures
 - Details
 - Temporary Employment
 - Consultants and Experts
- o Unit 3: Competitive and Non-competitive Procedures
 - Preliminary Steps in Filling Civilian Positions Through Merit Selection
 - Evaluating Candidates
 - Non-competitive Procedures
- o Unit 4: Selecting and Appointing the Candidate
 - Selecting the Most Appropriate Candidate from a Merit Selection Certificate
 - Special Staffing Actions
 - In-processing and Indoctrination of Civilian Personnel
 - Resolving Complaints
- o Unit 5: Trial Period
 - The Use of Trial Periods
 - Procedures in Using Trial Periods

CHAPTER 3: STAFFING AND PROMOTIONS
UNIT 1: PREPARING TO FILL A POSITION

INTRODUCTION

Preparing to fill a position involves organizing information to guide the search for and the review of applicants for vacant positions in your work unit. Thorough preparation is essential for all staffing actions and more than repays the investment by increasing the probability of a successful placement and by avoiding complaints and challenges.

FINDING HELP

IF YOU WANT TO KNOW ABOUT....	GO TO....
o DIA staffing policy	Page 3-3
o Initiating recruitment actions	Page 3-3
o How to go about filling the position	Page 3-3

CHAPTER 3: STAFFING AND PROMOTIONS
UNIT 1: PREPARING TO FILL A POSITION

DIA Staffing Policy

Staffing in DIA will be done through fair and equitable practices with the object of obtaining the best qualified candidates available to meet DIA's total requirements for employment and assignment. Selections will be based on qualifications and job-related criteria that are relevant to successful performance in DIA's highly sensitive positions. All DIA staffing actions will be executed without regard to race, color, sex, age, religion, national origin, political affiliation, or any other non-merit factor. Reasonable accommodation will be made in cases involving applicants with physical or mental handicaps. In staffing from outside DIA, eligibles with veteran's preference will be given preference for employment consistent with Government policy, to the extent administratively feasible. The appointment of guards, messengers and custodians will be made from among preference eligibles so long as such eligibles are available.

Although more than one member of an immediate family may be employed in DIA, normally no more than one member of the same immediate family may be assigned to the same organizational element at the Division level or below. Good judgment must be used in placing such employees to assure that situations are not created which will embarrass management or employees. If employees in the same organization marry, management will cooperate with the Directorate for Human Resources in arranging an appropriate reassignment. No official or supervisor of DIA who has the authority to make or recommend selections of personnel may advocate a close relative for appointment or promotion. Any supervisor/manager who needs advice on the application of DIA staffing policy should consult the Directorate for Human Resources.

Initiating Recruitment Actions

SF 52, Request for Personnel Action, is the basic document used by supervisors/managers to initiate recruitment actions. The form will be completed in duplicate, and approved, before forwarding the original to RHR. The supervisor/manager will retain the duplicate until RHR informs him/her of the final action taken on the request. Detailed instructions for completing the SF 52 are found in DIAR 22-14, Enclosure 1, but for the most part supervisors/managers will be able to complete the form adequately without consulting these instructions.

How to Go About Filling the Position

Frequently a supervisor may choose how a given position is to be filled from among a variety of options. These options can be grouped according to whether or not competitive selection procedures must be used.

CHAPTER 3: STAFFING AND PROMOTIONS
UNIT 1: PREPARING TO FILL A POSITION

Competitive merit selection procedures will apply except when:

- o RHR determines that it is not practical, or in the best interest of DIA and/or employees to adhere to normal competitive selection procedures (e.g., in the event of a significant reorganization when compelling mission-related circumstances exist, or in staffing positions in narrow or isolated career fields)
- o RHR determines that the position is one where external resources would provide the most appropriate source of candidates (e.g., non-professional positions at GS-6 or below, professional or technical positions at GS-12 or below, wage system positions, positions where DIA would benefit from external recruitment to obtain critically needed skills)
- o the non-competitive promotion policy cited in DIAR 22-49 applies.

Salary is, of course, an important element in recruitment for vacancies. Normally, there is little latitude in this regard, but in the case of certain hard-to-fill categories of positions, a salary rate in excess of the minimum rate may be authorized. Advanced hiring rates will be permitted only when substantial attempts to obtain the best qualified candidates at minimum rates are unsuccessful. The Senior Review Board, based on information and advice from the Directorate for Human Resources, will determine the occupational shortage groups for which advanced hiring rates will be authorized. The Assistant Deputy Director for Human Resources, in consultation with the Assistant Deputy Director of the hiring organization, may authorize an employment offer in designated shortage occupations. RHR will advise you on how to proceed in specific cases.

OFFICIAL GUIDANCE: DIAR 22-49, Civilian Personnel Staffing

**DEFENSE INTELLIGENCE AGENCY
REGULATION NO. 22-49**

**HEADQUARTERS, DEFENSE
INTELLIGENCE AGENCY
WASHINGTON, DC 20340-0001
15 December 1986**

CIVILIAN PERSONNEL

Staffing

1. **Purpose:** To prescribe policies and procedures for staffing civilian positions in the DIA.

2. **References:**

- a. 10 U.S.C. 1604.
- b. DEPSECDEF Memorandum, Delegation of Authority to Implement Section 501(a) of Public Law 98-618, 16 January 1986.
- c. DIAR 22-1, "Management of Federal Wage Jobs."
- d. DIAM 22-2, "Personnel Management Information System."
- e. DIAR 22-9, "Employment of Retired Military Personnel."
- f. DIAR 22-22, "Position Management."
- g. DIAR 22-36, "Advanced Hiring Rate Program."
- h. DIAR 22-47, "Special DIA Pay Rates."
- i. DIAR 22-30, "DIA Career Ladders."
- j. DoD 1430.10-M, (Annex 3), "Defense Intelligence Special Career Automated System," March 1984.
- k. DoD Directive 5105.21, "Defense Intelligence Agency," 19 May 1977.

3. **Applicability:** This regulation applies to the staffing of civilian positions except foreign national positions in the Defense Attache System and the Defense Liaison Detachments, and positions in the Defense Intelligence Senior Executive Service.

4. **Definitions:**

a. *Candidate Evaluation Panel.* A panel of three to five individuals who have significant knowledge of the career ladder or function of the position to be filled. It is responsible for evaluating and interviewing candidates and for recommending to the selecting official the most highly qualified candidates.

b. *Concurrent Consideration.* The simultaneous and equal consideration of internal and external candidates for a position.

c. *External Candidates.* Individuals not employed by the DIA as civilians.

d. *Internal Candidates.* Current DIA civilian employees who apply for a position or are referred from the DIA Personnel Management Information System (PMIS).

e. *Job Related Criteria.* Knowledge, skills, and abilities that must be brought to the job for successful performance, against which all candidates are evaluated. Job-related criteria are stated in the applicable career ladder and may supplement minimum DIA qualification standards.

f. *Selection Certificate.* A list of the best qualified candidates in alphabetical order from which final selection is made by the selecting official.

g. *Selecting Official.* The immediate supervisor of the position to be staffed or other management official so designated.

h. *Promotion.* A promotion means a change of an employee, while serving continuously with the same agency:

(1) To a higher grade or rate of pay when both the old and the new positions are under the same salary or wage schedule.

(2) To a position with a higher rate of pay when the old and new positions are under different salary or wage schedules.

i. *Reassignment.* A reassignment is a change of an employee from one position to another without promotion or demotion while serving continuously within the Agency.

j. *Staffing.* An appointment, transfer, detail, reassignment, or promotion action.

k. *Transfer.* A transfer means a change of an employee without a break in service of 1 full work-day from a position in one Federal agency to a position in another.

l. *Subject Matter Expert.* Individual designated under provisions of reference h. as a technical advisor for a career ladder.

5. **Supersession:** This regulation supersedes DIAR 22-49, 6 October 1983. Because changes are extensive, they are not so indicated.

6. **Policy:**

a. *General.* Staffing in the DIA will be done through fair and equitable practices as detailed in this regulation pursuant to the authority in 10 U.S.C. 1604 delegated to the Director (DR), DIA, by references b. and j. The goal is to obtain the best qualified candidates available meeting the Agency's total qualification requirements for employment and assignment. Selection will be based on qualifications and job-related criteria that are relevant to successful performance in DIA's highly sensitive positions.

b. *Equal Employment Opportunity (EEO).* All DIA staffing actions will be executed without regard to race, color, sex, age, religion, national origin, political affiliation, or any other non-merit factor. Reasonable accommodations will be considered for cases

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involving physically or mentally handicapped individuals.

c. *Rights of Preference Eligibles.* It is DIA policy that in staffing from external sources, preference eligibles (veterans) will be given preference for employment consistent with existing Government policies to the extent administratively feasible. The appointment of guards, messengers, and custodians will be made from among preference eligibles as long as preference eligibles are available.

7. Non-Competitive Promotion Policy: ~~Non-competitive~~ promotions of employees, except those under the wage system, are subject to the following provisions:

a. Employees may be promoted only after serving a minimum of 1 year in the next lower grade with the following exceptions:

(1) An employee may be promoted two grades in 1 year to a position not higher than GS-05 provided the employee meets minimum DIA qualification requirements for the higher graded position. DIA qualification standards for general administrative, clerical, and office services positions require 6 months of GS-3 experience for promotion to GS-4, and 1 year of GS-4 experience for promotion to GS-5.

(2) An employee may be advanced to a grade previously held on a permanent basis in the Federal Government, or the next higher grade, provided the advancement is to a position in the same line of work as that previously held and subject to meeting minimum DIA qualification requirements for the position.

(3) An employee may be promoted two grades to a position not higher than GS-11 if he/she has served continuously in DIA prior to 1 October 1986, in a two-grade interval position under the Classification Act of 1949 (which has been superseded in DIA by reference a.).

(4) An employee may be promoted two grades to a position not higher than GS-11 if he/she had, prior to 1 October 1986, been serving under an Upward Mobility Program assignment leading to a two-grade interval position under the Classification Act of 1949.

b. After having served a minimum of 1 year in his/her present grade, an employee may be given a career promotion to the next higher grade in the same assignment to a grade at or below the authorized target level in the Civilian Table of Organization. Management must certify the availability of a sufficient quantity of work at the next higher grade level.

c. After having served 1 year in his/her present grade and when approved by the Director based upon rank-in-person factors as defined in reference e., an employee may be promoted to the next higher grade in the same assignment to a grade above the target level shown for the assignment in the Civilian Table of Organization (CTO), as defined in reference e.

d. After having served 1 year in his/her present grade, an employee may be promoted to the next higher grade in a new position after having satisfactorily completed the requirements of the DIA Upward Mobility Program.

e. After having served 1 year in his/her present grade, an employee may be promoted when the position occupied is to be upgraded because of a change in classification standards or to correct a classification error.

f. After having served 1 year in his/her present grade, an employee may be promoted when that employee had been previously selected through competitive procedures for detail over 60 days to the same position.

8. Agency Total Qualification Requirements for External Candidates: All external candidates must meet the following DIA total qualification requirements.

a. DIA shall specify minimum qualification requirements of education, training, and/or experience relevant to the position for which considered. The qualification requirements shall be discussed in an interview by a civilian personnel representative. Where applicable, the minimum qualification requirements may include test scores, selective placement factors, and an interview by a management official.

b. All candidates at GS-11 and below for GS-132 and GS-110 positions must take the Analyst Aptitude Test Battery (AAT) with the exception of candidates for imagery analyst positions and candidates who previously held analyst positions in the Intelligence Community. Test scores will be used in conjunction with other factors such as the application and interview in making selections. A cut-off score may not be used to screen-out candidates from further consideration.

c. A favorable response to inquiries to former employers and either candidate- or DIA-developed references or both shall be obtained.

d. Agency clearance and suitability standards and criteria shall be met. As a minimum, each external candidate is subject to favorable completion of a background investigation. This will include, in some instances, the results of a polygraph examination.

e. Satisfactory completion of a medical examination shall be required for positions having physical qualification requirements.

9. Applicability of Competitive Procedures:

a. Competitive merit selection procedures will apply to the staffing of vacant positions with the following exceptions:

(1) It is determined by the Chief, Civilian Staffing Operations Division that it is not practical or in the best interests of the Agency and/or employees to adhere to normal competitive selection procedures (i.e.,

in the event of a significant reorganization, when compelling mission-related circumstances exist, or in staffing positions in narrow or isolated career fields. Should the situation involve the assistant Deputy Director for Human Resources (RHR), the concurrence of the Deputy Director of Resources and Systems will be obtained) or

(2) The Chief, Civilian Staffing Operations Division (RHR-2) determines that the position is one where external resources would provide the most appropriate base of candidates (e.g., non-professional positions at GS-06 or below, professional or technical positions at GS-12 or below, wage system positions, positions where DIA would benefit from external recruitment to obtain critically needed skills) or

(3) When the non-competitive promotion policy in Paragraph 7, above, is applicable.

b. *Reassignment/Upward Mobility.* Managers will retain the right to staff vacancies through reassignment. This may be accomplished by requesting a list of eligibles limited to qualified Agency reassignment candidates (when the vacant position has a higher CTO target grade) or by effecting the action when the manager has administrative control over both the vacant position (if at the same or lower CTO target grade) and the employee to be reassigned. Reassignment effected at management's initiative will be subject to RHR-2 certification of employee eligibility. Vacancies also may be staffed in accordance with the Agency's Upward Mobility Program (DIAR 22-57).

10. Competitive Procedures:

a. When a position is to be filled by competitive procedures, a vacancy announcement shall be issued by RHR.

(1) The announcement may cover a specific position or positions. In these instances, it must be open for at least 2 weeks. Announcements open to external sources generally shall extend for 30 days.

(2) When a continuing staffing need exists, standing announcements without closing dates may be issued.

(3) Announcements shall include, as a minimum, position title, series and grade, area of consideration, organizational information, description of duties, and qualification requirements based on the knowledge, skills, and abilities in the applicable career ladder.

(4) The vacancy announcement shall specify the area of consideration that management and RHR deem appropriate. It may include consideration of external candidates concurrent with DIA employees. For GS-13 and above positions in the Intelligence Career Development Program, the area of consideration shall include registrants in the DISCAS System.

b. Paid or unpaid advertising may be used when the area of consideration includes concurrent consideration of external candidates.

c. RHR will screen applicants against the quali-

cation criteria stated in the announcement. The screening will be based on information submitted on the reverse of the announcement and the existing Employee Qualification Record (DD Form 1932/32s). A listing of candidates meeting the total Agency qualification requirements shall be forwarded directly to the selecting official for selection, except where a candidate evaluation panel is used.

(1) A candidate evaluation panel must be used for all GS-15 positions permanently filled through competitive procedures.

(2) A candidate evaluation panel will be used upon management request for positions competitively filled at GS-14 and below, or when determined to be appropriate by the Chief, RHR-2.

(3) A candidate evaluation panel will consist of 3-5 members appointed by RHR-2 from among full-time DIA civilians and DIA military officers. Military and subject matter expert representation on a panel is highly desirable. The presence of a non-voting EEO representative, and a non-voting personnel representative is required when the panel meets. The grade of voting panel members must equal or exceed the grade level of the position being staffed (i.e., panel members participating in the evaluation of candidates for GS-15 positions must be GS-15/above or 06. For GS-14 positions, the panelists must be at least GS-14's or 05's).

(4) The panel review should be based on applicable career ladder knowledges, skills, and abilities. Candidates may be interviewed in person or by telephone.

(5) When a panel is used, only the names of those three to five candidates determined by the panel to be best qualified will be forwarded to the selecting official. The panel has 30 days to complete its action.

d. The selecting official will be responsible for selecting from among the best qualified candidates referred to him/her. The selecting official may interview candidates in person or by telephone. The selecting official should contact RHR-2 concerning authorization for one-time payment of the travel expenses of candidates for shortage category positions, as defined by the Joint Travel Regulations, for selection interview. The selecting official will be responsible for documenting the reasons for selection and for acquiring whatever higher level approvals are prescribed within the Directorate.

e. The listing of candidates referred will be valid for 30 calendar days, subject to one extension of 15 days. If selection action has not been taken in 45 days, the listing expires, and the request for personnel action may be returned to the selecting official.

f. The selecting official shall return selection documentation to RHR. Only RHR may make a selection commitment or position offer to the selectee after a review of the documentation.

g. RHR shall notify the supervisor of the position

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of the selectee's acceptance, shall contact the supervisor of the selectee concerning release, and shall ensure a personnel action authenticating the action is signed. An employee selected for promotion or reassignment under competitive procedures shall be released not later than 30 calendar days following notification by RHR-2 of the selectee's acceptance. Ad hoc assistance may be provided on a mutually agreeable basis between losing and gaining offices; however, no delay in release beyond 30 calendar days is permitted.

h. RHR shall notify candidates who are not selected.

11. Resolving Complaints:

a. The initial step in a complaint is to contact RHR-2. RHR-2 will be fully responsive to any employee or applicant's questions or complaints regarding the operation of the Agency's staffing program. Every effort will be made to resolve questions/complaints on this informal basis. A DIA employee may then pursue it on a formal basis through the grievance process. For an applicant, the RHR-2 response will be final.

b. Complaints by employees which allege that the procedures set forth in this regulation were not followed may be considered under the provisions of DIAR 22-12, "Grievance Procedures." Complaints based solely on non-selection from a properly developed list of candidates or reassignment to a position with a lower target grade level will not be accepted.

c. Either employees or applicants may have non-selection based on alleged discrimination considered under DIAR 22-27, "Equal Employment Opportunity."

12. Special Staffing Program: In order to provide the maximum consideration to certain categories of personnel, the Agency will implement, when necessary, the following programs:

a. *Reemployment Program.* Priority consideration for employment will be given to former DIA employees displaced by RIF as prescribed in DIAR 22-24, "Reduction in Force." The duration of this program will be 1 year from the date of separation for all former non-temporary employees.

b. *Priority Reassignment Program.* This program is intended to facilitate the placement of Agency employees who have been designated surplus or overage. Such employees, as well as those subject to RIF or having return rights, will receive mandatory consideration prior to the issuance of a vacancy announcement for all positions for which they qualify. The non-selection of such employees must be endorsed by the appropriate head of the Directorate or the Executive Director.

c. *Statutory Return Rights.* The DIA provides return (reemployment) rights to certain former employees at a grade comparable with that held at time of depar-

ture from the DIA. The extension of these rights will be afforded in instances that might include, but not be limited to, initial entrance or recall to active military duty and separation for the purpose of employment in designated Federal agencies.

d. *Administrative Return Rights.* DIA may offer administrative return rights at comparable grades held at time of departure from the DIA to those employees selected for Federal overseas employment, i.e., Intelligence Career Development Program assignments.

e. Employees authorized either of the return rights described above, may upon return to the DIA, be placed in a billeted position without regard to competitive action. All return rights must be negotiated and approved by RHR-2 prior to separation from the DIA and documented on Standard Form 50 (Notification of Personnel Action).

13. Retired Military: Retired military personnel have every right to seek and be considered for employment in the DIA on the same basis as other applicants. It is important that retired members of the Uniformed Services be given consideration on an equitable basis in strict compliance with the spirit and intent of fundamental merit system procedures and principles of open merit competition. On the other hand, there can be no practice or appearance of preferential treatment for retired military personnel. This will protect the interests of the public as well as Federal civilian employees and at the same time protect retired members from unwarranted allegations that they may have obtained a position through influence based upon prior military service. To this end, the provisions of DIAR 22-9, reference e., will apply.

14. Maintenance of Records:

a. RHR shall maintain an individual file on each action for a period of 1 year from the completion date of the action. The file should include:

- (1) A copy of the Vacancy Announcement;
- (2) A listing of all candidates, with reasons for screen-out of DIA applicants when made; and,
- (3) The selection certificate.

15. Responsibilities:

a. RHR will administer the civilian staffing program, and will:

- (1) In collaboration with the supervisor of the vacant position, determine and document knowledge, skills, and abilities to be used for the evaluation and identification of best-qualified candidates.
- (2) Prepare and issue job vacancy announcements, when competitive procedures are used.
- (3) Identify candidates for all positions from internal resources and from external sources when required or requested by management.
- (4) Screen and evaluate all candidates against qualification requirements.
- (5) Ensure that the principles of EEO and the rights

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of preference eligibles are adhered to.

(6) Administer required written tests and provide test scores to appropriate supervisory personnel.

(7) Support candidate evaluation panel deliberations.

(8) Refer screened candidates for selection.

(9) Provide official selection notification.

(10) Effect non-competitive promotion and reassignment actions.

b. Supervisors and managers will:

(1) Initiate timely requests for personnel action.

(2) Collaborate with RHR in developing qualification requirements.

(3) Assist in identification of panel members, when requested.

(4) Select candidates for appointment, reassign-

ment, or promotion, in accordance with DIA policy.

(5) Obtain necessary approvals for selections.

(6) Promptly release employees who have been selected for assignment into other organizational elements.

(7) Assure that no official, outside of RHR, makes an employment commitment of any kind to any candidate.

(8) Prepares adequate documentation to support staffing actions and decisions.

c. Employees will:

(1) Maintain an up-to-date accurate employee Qualification Record (DD Forms 1932 and 1932s) per references i and k.

(2) Be responsible for maintaining cognizance of promotion opportunities as published by RHR.

FOR THE DIRECTOR:

OFFICIAL:

[Redacted Signature Box]

Executive Director

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CHAPTER 3: STAFFING AND PROMOTIONS
UNIT 2: DETAILS/OTHER TEMPORARY MEASURES

INTRODUCTION

Supervisors/managers may sometimes find it advantageous to fill positions on a temporary basis. Among the conditions in which a temporary action may be advantageous are:

- o when the regular incumbent of the position is away only temporarily
- o when the nature of the duties of the position reflects a short-term need
- o when there is a short-term workload increase
- o when rotational assignment to the position is to be used for development of the skills of DIA employees
- o when there is a special project.

FINDING HELP

IF YOU WANT TO KNOW ABOUT....	GO TO....
o Details	Page 3-6
o Temporary employment	Page 3-10

CHAPTER 3: STAFFING AND PROMOTIONS
UNIT 2: DETAILS/OTHER TEMPORARY MEASURES

Details

A detail is the temporary assignment of an employee without change in civil service or pay status, to a position other than the one held under a current appointment or to duties distinct from those of employee's official position. Among the situations in which the use of details may be expedient are:

- o when a temporary shortage of personnel, or an exceptional volume of work seriously interrupts the regular work schedule of an element
- o when a new position is being created, or reorganization or realignment of duties makes it necessary to assign employees temporarily to other duties and responsibilities until the new assignment can be reflected in manpower allocation actions
- o when short-term assignments not of a continuous nature are required
- o when assignment to different duties would contribute to an employee's career development.

Details should not be over-used, and appropriate controls and records must be maintained to insure that:

- o the details are consistent with good administration
- o a record of actual work assignments is maintained to credit employees with additional experience for career purposes.

Excessive detailing or the renewal of details, the conclusion of details followed by the immediate redetailing of employees to the same or similar positions, or rotating employees by detail to the same or similar positions (except for training, to perform a special assignment, or pending position change) are to be avoided.

CHAPTER 3: STAFFING AND PROMOTIONS
 UNIT 2: DETAILS/OTHER TEMPORARY MEASURES

LIMITATIONS ON DETAILS	
IF DETAIL IS TO	LIMITATION
A position classified at the same or lower grade	No more than 1 year in increments of up to 120 days.
An unclassified position	No more than 120 days; no renewal.
A higher-graded position during a major DIA reorganization	No more than 1 year in increments of up to 120 days; see last item regarding competition
A higher graded position not during a major DIA reorganization	No more than 240 days in increments of up to 120 days; see last item regarding competition
A position for rotational assignment career development	No more than 3 years.
A position at higher grade or with known promotion potential (other than rotational assignment)	If for more than 60 days, must be by competitive merit promotion procedures, except that selection is exempt from panel action where applicable; the supervisor/manager certifies his/her selection from eligible list.

CHAPTER 3: STAFFING AND PROMOTIONS
 UNIT 2: DETAILS/OTHER TEMPORARY MEASURES

DETAILING PROCESSES AND RESPONSIBILITIES		
NATURE OF ACTION	SUPERVISORY/MANAGERIAL RESPONSIBILITIES	PROCEDURE
Detail of more than 1 week but not in excess of 30 days within the same geographical location	<ul style="list-style-type: none"> o Issue appropriate written notice to employee (For shorter detail no written notice is needed) o Discuss with the employee: <ul style="list-style-type: none"> - reason(s) of the detail - nature of duties to be performed - expected period of detail - effect upon his/her employment status - any attendant travel and/or travel limitations - termination of detail and - expected return of employee to his/her official position 	<p>May be authorized informally between the DIA offices concerned. May not need to be reported. May not be extended or renewed without following procedures for longer details.</p>
Detail in excess of 30 days, but not in excess of 120 days	<ul style="list-style-type: none"> o Consult RHR prior to requesting o Initiate request sufficiently in advance to permit securing the approval of RHR o Discuss with the employee, as above 	<p>Requires prior approval of RHR. Submit request in duplicate on SF 52. Include information as to:</p> <ul style="list-style-type: none"> - reason(s) for the detail (under Item F14, Remarks by Requesting Office)

CHAPTER 3: STAFFING AND PROMOTIONS

UNIT 2: DETAILS/OTHER TEMPORARY MEASURES

DETAILING PROCEDURES AND RESPONSIBILITIES (Cont'd)		
NATURE OF ACTION	SUPERVISORY/MANAGERIAL RESPONSIBILITIES	PROCEDURE
Detail in excess of 30 days, but not in excess of 120 days (cont'd)		<ul style="list-style-type: none"> - position description or nature of duties to be performed (if detail is not to established position) - name and location of activity to which detailed - duration of detail.
Detail of 120 days or more	<ul style="list-style-type: none"> o Evaluate the employee's performance, if the appraisal becomes due 	
Extension of detail	<ul style="list-style-type: none"> o Initiate request 	Along with a written statement justifying the request, must be submitted on SF 52 by the requesting office at least 2 weeks before the expiration date of the detail.
Detail outside the geographic location involving travel	<ul style="list-style-type: none"> o Prepare necessary documentation o If detail is in excess of 30 days, follow instructions under that entry as well 	Prepare DDF 1610 (Request and Authorization for TDY Travel of DOD Personnel) with appropriate statement of justification for approval and preparation of travel orders.

CHAPTER 3: STAFFING AND PROMOTIONS
 UNIT 2: DETAILS/OTHER TEMPORARY MEASURES

DETAILING PROCEDURES AND RESPONSIBILITIES (Cont'd)		
NATURE OF ACTION	SUPERVISORY/MANAGERIAL RESPONSIBILITIES	PROCEDURE
Termination of detail	<ul style="list-style-type: none"> o Return the employee to his/her official position within the approved period of detail or terminate on completion of the detail 	Submit SF 52 to RHR. Item 5 of SF 52 will show "Termination of Detail and Item 6, which the detail ended.

An employee on detail will continue to be carried in the personnel authorization of the activity from which detailed. Time and attendance records for employees detailed for more than 30 days will be maintained by the office to which the employee is detailed. For shorter details, the detailing office will maintain the record, obtaining time and attendance data from the office to which the employee is detailed.

Temporary Employment

Temporary employment of personnel with highly specialized skills at salaries not to exceed that of GS-15 is useful to accomplish essential programs or projects that are not of a continuing nature, when regular DIA personnel are not available for such service.

REQUIREMENTS OF TEMPORARY APPOINTMENTS
<ul style="list-style-type: none"> o Each request for employment of a temporary employee must be approved by the Comptroller and RHR. o Normally, a temporary appointment will not exceed 1 year. o Each temporary position will be formally established, described and graded in accordance with DIA position management classification authorities and procedures.

CHAPTER 3: STAFFING AND PROMOTIONS
UNIT 2: DETAILS/OTHER TEMPORARY MEASURES

REQUIREMENTS OF TEMPORARY APPOINTMENTS (Cont'd)

- o Individuals may be recruited and appointed to temporary positions as exemptions from DIA's regular selection and promotion procedures, but they are required to meet the total DIA qualifications for the temporary position.
- o Temporary appointees are subject to statutory requirements related to dual compensation and employment of retired members of the Armed Forces.
- o Temporary employees may be appointed to regular full-time permanent positions, under normal staffing procedures.

OFFICIAL GUIDANCE: DIAR 22-15, Details
DIAR 22-32, Temporary Employment

CHAPTER 3: STAFFING AND PROMOTIONS
UNIT 3: COMPETITIVE AND NONCOMPETITIVE PROCEDURES

INTRODUCTION

Positions may be filled competitively or noncompetitively. No matter which method is used, candidates must be evaluated for basic eligibility. When a position is filled competitively, eligible candidates usually must, in addition, be evaluated against the specific criteria established for the position. Both determinations of eligibility and evaluations are based on information contained in applications, supplemental statements, and appraisals of performance and potential. Competitive merit selection procedures will generally apply.

FINDING HELP

IF YOU WANT TO KNOW ABOUT....	GO TO....
o Preliminary steps in filling civilian positions through merit selection	Page 3-13
o Evaluating candidates	Page 3-14
o Noncompetitive procedures	Page 3-15

CHAPTER 3: STAFFING AND PROMOTIONS
UNIT 3: COMPETITIVE AND NONCOMPETITIVE PROCEDURES

Preliminary Steps in Filling Civilian Positions Through Merit Selection

When a position is to be filled competitively, management and RHR must first determine the most appropriate area of consideration - the geographical or organizational area within which a search for eligible candidates is conducted. External candidates may be considered concurrently with DIA employees, if desired. For positions at GS-13 and above in the Intelligence Career Development Program, the area of consideration will include registrants in the DISCAS system. It is also necessary to develop qualifications criteria for the vacancy based on the knowledges, skills, and abilities in the applicable career ladder. (See Chapter 4, Unit 1)

Generally, a vacancy announcement will then be issued by RHR:

- o The announcement may cover a specific position or positions. In these instances, it must be open for at least 2 weeks. Announcements open to sources external to DIA will generally extend for 30 days.
- o When a continuing staffing need exists, standing announcements with no closing date may be issued.
- o Announcements will include, as a minimum:
 - position title, series and grade
 - area of consideration
 - the organization in which the vacancy is found
 - description of duties
 - qualifications requirements
 - opening and closing dates, and how to apply
 - statement of Equal Employment Opportunity
- o Generally, announcements which have recently opened will be listed in the DIA Bulletin.
- o Paid or unpaid advertising may be used when the area of consideration includes the concurrent consideration of external candidates.

Depending on the grade level of the vacancy, RHR or the candidate evaluation panel will decide on what basis the qualifications of applicants will be assessed. If written tests are to be used, they must be approved and administered by RHR. Generally, written tests will be used only where effectiveness of the test for the purpose for which it is to be used has been pre-established through acceptable personnel measurement techniques, using criteria of effectiveness acceptable to personnel measurement experts.

CHAPTER 3: STAFFING AND PROMOTIONS

UNIT 3: COMPETITIVE AND NONCOMPETITIVE PROCEDURES

External candidates (individuals not employed as civilians by DIA) must meet DIA total qualification requirements:

- o DIA-specified minimum education, training and/or experience relevant to the position for which considered; and an interview by a civilian personnel representative (Where applicable, this review may include test requirements, selective placement factors, and interview by a management official.)
- o For GS-132 and GS-110 positions at GS-11 and below, they must take the Analyst Aptitude Test Battery (AAT) with the exception of:
 - candidates for imagery analyst positions and
 - candidates who previously held analyst positions in the Intelligence Community.

Test scores will be used in making selections in conjunction with other factors such as the application and interview. Cut-off scores will not be used to screen-out candidates.

- o Consideration of inquiries to former employers and candidate- and/or DIA-developed references
- o Agency clearance and suitability standards and criteria. As a minimum, each external candidate is subject to favorable completion of a background investigation. This may include the results of a polygraph examination.
- o Satisfactory medical examination for positions having physical qualification requirements.

Evaluating Candidates in Merit Selection

The first step in evaluating candidates is to determine their basic eligibility. RHR will screen applicants against the qualification criteria stated in the announcement. (For highly technical positions, a subject matter expert may assist RHR.) The screening will be based on information submitted on the reverse of the announcement and, for current DIA employees, data in the PMIS or DISCAS. External candidates will provide information on an SF 171.

CHAPTER 3: STAFFING AND PROMOTIONS
UNIT 3: COMPETITIVE AND NONCOMPETITIVE PROCEDURES

A candidate evaluation panel will be used for all GS-15 positions filled on a permanent basis and will be used, upon management request, for positions at GS-14 and below, or when determined to be appropriate by RHR. The panel is appointed by RHR and consists of 3 to 5 individuals who have significant knowledge of the career ladder, discipline, or function of the position to be filled. Panel members must be full-time DIA civilian employees or DIA military officers; representation from both groups is desirable. The presence of a non-voting EEO representative and a personnel representative is required when the panel meets. The grades of voting panel members must equal or exceed the grade level of the position being filled.

The function of the panel is to review the qualifications of candidates who meet the basic eligibility requirements and to draw up a list of the most highly qualified candidates to be presented to the selecting official. (When qualification requirements are highly technical, the panel may also do most of the initial screening for basic eligibility.) The panel review should be based on applicable career ladder knowledges, skills and abilities. Awards received by employees will be given due consideration when employees are evaluated for promotion. Panels are encouraged to interview candidates (in person or by telephone) in addition to evaluating the paper record. The panel has 30 days to decide on the 3 to 5 candidates deemed to be best qualified and recommended to the supervisor of the vacancy. On receipt of the panel's recommendations or the list of eligibles from RHR, the selecting official is responsible for selecting from among the candidates referred. (See Unit 4 below)

Noncompetitive Procedures

Noncompetitive promotions of employees, except those under the wage system, are subject to the following provisions:

- o Employees may be promoted only after serving a minimum of one year in the next lower grade, except that an employee may be:
 - promoted two grades in one year to a position not higher than GS-5 provided the employee meets minimum DIA qualification requirements for the higher graded position (i.e., 6 months of GS-3 experience for promotion to GS-4 and 1 year of GS-4 experience for promotion to GS-5 in general, administrative, clerical, and office services positions).
 - advanced to a grade previously held on a permanent basis in the Federal Government, or promoted to the next higher grade, provided the advancement is to a position in the same line of work as that previously held and DIA minimum qualification requirements for the position are met.

CHAPTER 3: STAFFING AND PROMOTIONS

UNIT 3: COMPETITIVE AND NONCOMPETITIVE PROCEDURES

- promoted two grades to a position not higher than GS-11 if he/she has served continuously in DIA prior to 1 October 1986 in a 2-grade interval position.
- promoted two grades to a position not higher than GS-11 if he/she had, prior to 1 October 1986, been serving under an Upward Mobility Program leading to a 2-grade interval position under the Classification Act of 1949.
- o After serving a minimum of one year in his/her present grade, an employee may be:
 - given a career promotion to the next higher grade in the same assignment, if the grade is at or below the authorized target level in the CTO. Management must certify the availability of a sufficient quantity of work at the higher grade,
 - promoted to the next higher grade in the same assignment if that grade is above the target level for the assignment shown in the CTO, provided the promotion is approved by the Director based upon rank-in-person factors. (See Chapter 2, Unit 2)
 - promoted to the next higher grade in a new position after having satisfactorily completed the requirements of the DIA Upward Mobility Program (See Chapter 4)
 - promoted when that employee had been previously selected through competitive procedures for a detail of over 60 days to the same position.

Managers have the right to staff vacancies through reassignment. Reassignment effected at management's initiative will be subject to RHR certification of employee eligibility.

Employees may request reassignment independent of any vacancy announcement to assist in career development, or in certain cases, in meeting a compelling personal need. It is DIA's policy to assist such employees whenever possible consistent with the best interests of DIA and of the employee. Supervisors/managers are required to fully consider employee-initiated requests for reassignment and to make every attempt to resolve the request within the boundaries of their management control.

CHAPTER 3: STAFFING AND PROMOTIONS

UNIT 3: COMPETITIVE AND NONCOMPETITIVE PROCEDURES

EMPLOYEE-INITIATED REASSIGNMENT PROCEDURE

- o Employee submits request through channels to Assistant Deputy Directorate level or equivalent.
- o Each level examines current and projected vacancies to determine if the request can be met at that level with no significant adverse effect on mission accomplishment.
 - If so, the organization should initiate an SF 52 and forward it through channels to RHR.
 - If not, the Directorate will transmit the request to RHR with an endorsement stating the reason(s) why the request was not acted on. (Copy provided to employee)
- o RHR may arrange an interview with the employee to determine qualifications and/or to discuss the employee's wish to be reassigned.
- o RHR will examine all DIA vacancies to determine those positions for which the employee is qualified and suitable.
- o For vacancies for which the employee is qualified, the employee will be referred to the selecting official concurrently with other qualified candidates.
- o If after sufficient opportunity, the employee has not been selected for reassignment, RHR will consult with the employee and management officials to determine the next course of action.

In all noncompetitive actions, candidates must meet the established qualification requirements of the position.

OFFICIAL GUIDANCE: DIAR 22-49, Staffing

CHAPTER 3: STAFFING AND PROMOTIONS
UNIT 4: SELECTING AND APPOINTING THE CANDIDATE

INTRODUCTION

Selecting the right candidate insures that your unit is effectively staffed to perform its mission. Poor selection decisions undermine you unit's ability to fulfill its assigned responsibilities. Similarly, a protracted appointment process denies you the services of your new selectee and may negatively affect the morale of all candidates. As a supervisor/manager, you are the selecting official for positions in your unit, and you are responsible for initiating the appointment process. You need to understand the selection and appointment processes to staff your unit effectively and to ensure that your actions conform with laws, policies and regulations, and thus are not liable to be successfully challenged by non-selected candidates. You are responsible for giving all candidates full and fair consideration, and for making timely selection decisions on candidates provided by RHR or the panel.

FINDING HELP

IF YOU WANT TO KNOW ABOUT....	GO TO....
o Selecting the most appropriate candidate from a merit selection certificate	Page 3-19
o Special staffing actions	Page 3-21
o In-processing and indoctrination of civilian personnel	Page 3-23
o Resolving complaints	Page 3-27

CHAPTER 3: STAFFING AND PROMOTIONS
 UNIT 4: SELECTING AND APPOINTING THE CANDIDATE

Selecting the Most Appropriate Candidate from a Merit Selection Certificate

When the rating process is completed, the candidate evaluation panel's recommendations, or the list of eligibles screened by RHR, are referred to the selecting official for selection action.

STEPS IN SELECTION	
STEP	DESCRIPTION
Review qualifications of those referred	<ul style="list-style-type: none"> o Review list of certified candidates and qualifications material on each to determine if additional information is needed or desirable to enable you to select from among the candidates.
Complete selection interviews	<ul style="list-style-type: none"> o Interviewing candidates either in person or by telephone is encouraged. Interviews are helpful in clarifying previously supplied information, in determining the candidate's interest in and attitude toward the position, and in evaluating oral communications skills. The one-time payment of interview travel expenses of candidates for shortage category positions is authorized; however, it must be done well in advance.
Make selection	<ul style="list-style-type: none"> o The selecting official: <ul style="list-style-type: none"> - may select any of those certified - may request that the area of consideration be broadened if all candidates certified are either not available, or do not in the selecting official's judgment possess all the qualifications necessary to perform in the position. Reasons must be conveyed to RHR in writing. RHR will determine validity of the reasons and act accordingly - may not announce the selection until RHR has received and reviewed the certificate.

CHAPTER 3: STAFFING AND PROMOTIONS
 UNIT 4: SELECTING AND APPOINTING THE CANDIDATE

STEPS IN SELECTION (Cont'd)	
STEP	DESCRIPTION
Obtain necessary concurrences	<ul style="list-style-type: none"> o Selecting official will clear the proposed selection with whatever higher level approvals are prescribed within the Directorate. The supervisor has 30 calendar days, subject to one 15-day extension, to make a firm decision. If no selection has been made in 45 days, the request for personnel action may be rescinded.
Transmit to RHR	<ul style="list-style-type: none"> o The documentation of the selection will be transmitted to RHR for review and action.
Notify Selectee	<ul style="list-style-type: none"> o After RHR has confirmed that the proposed selection meets all regulatory requirements, it will make a formal offer to the selected candidate and will notify candidates who were not selected. <u>Only RHR may make a selection commitment or position offer to the selectee.</u> o Upon acceptance of the offer RHR will notify the selecting official, and will contact the appropriate administrative officer or supervisor of the selectee concerning release. o A DIA employee selected for promotion or reassignment will always be released within 30 calendar days of the notification by RHR. However, <u>ad hoc</u> assistance may be provided via mutual agreement between the losing and gaining offices. o Selections are subject to the selectee's obtaining necessary security clearance.

CHAPTER 3: STAFFING AND PROMOTIONS
 UNIT 4: SELECTING AND APPOINTING THE CANDIDATE

Special Staffing Actions

1. Employment of Retired Military Personnel

The first consideration in filling positions in DIA is to insure the appointment of fully qualified individuals - generally, the best qualified available. In most cases this should be a candidate selected from among eligible employees of DIA or from among DoD employees registered in the Intelligence Career Development Program in accordance with in-service placement and promotion procedures. Sometimes, however, it becomes necessary to recruit from outside DIA and retired members of the Armed Forces have every right to seek and be considered for civilian DIA positions on the same basis as other external candidates. However, there is a special obligation to insure that consideration of retired members of the Armed Forces is extended on an equitable basis and that there is strict compliance in spirit and procedure with the merit system principle of open competition. This means that even the appearance of preferential treatment of retired military applicants must be avoided.

The following must be strictly observed before employing any retired member of the Armed Forces:

- o Full consideration will be given to eligible and qualified DIA employees.
- o When it has been determined that there is not a sufficient base of qualified and available DIA employees (or former employees in the DIA Reemployment Priority Program), recruitment for the position will be conducted so as to insure that reasonable efforts are made to obtain applicants from all possible sources and so as to avoid any suspicion of attempts to restrict competition.
 - The vacancy must be well-publicized.
 - Recruitment must be conducted over a long enough time to give all interested candidates an opportunity to apply.
 - Qualification requirements must not be designed to give advantage to a particular individual.
 - Every reasonable effort must be made to locate qualified candidates before appointing a retired member of the Armed Forces.
 - When appointing a retired member of the Armed Forces, it must be clearly established that he/she is better qualified than any in-service candidate.

CHAPTER 3: STAFFING AND PROMOTIONS

UNIT 4: SELECTING AND APPOINTING THE CANDIDATE

- o Positions will not be held open pending the retirement of a member of the Armed Forces, in order to provide that person an opportunity to be appointed to the position. Any delay in active recruiting for a vacancy must be fully justified for reasons unrelated to the impending retirement.
- o If the vacant position was last occupied by the proposed appointee or another military incumbent, it must be clearly demonstrated that the proposed change to civilian incumbency is to meet a bona fide management need and not to afford civilian employment to the proposed appointee.

After the equitable consideration of all candidates and having adhered to the above principles, sometimes the best candidate is found to have been separated from military service for less than 180 days. The appointment can be made if equally well-qualified candidates are not available among current employees considered under in-service placement and promotion procedures, nor among those individuals required to be considered in priority placement programs or on reemployment priority lists, and intensive external recruitment efforts have failed to produce any better qualified candidates. In either case, the selecting official will submit through channels a memorandum to RHR proposing the appointment. When, after review, it is confirmed that the appointment of the retiree would best serve DIA's interests and that the appointment adheres to the above principles, RHR will request the approval of the Director, DIA to appoint the candidate prior to the end of the 180-day waiting period.

2. Reemployment Program

Priority consideration for employment will be given to former DIA employees displaced by Reduction-in-Force. Former non-temporary employees are entitled to this consideration for 1 year from the date of the employee's date of separation. Non-selection of such former employees must be endorsed by the Executive Director or by the appropriate Deputy Director.

3. Priority Reassignment Program

This program is intended to facilitate the placement of DIA employees who have been designated surplus or overage. Such employees, as well as those former employees having return rights including those returning from overseas assignment, will receive mandatory consideration for any vacancy for which they are qualified, prior to the issuance of a vacancy announcement. Non-selection of such candidates must be endorsed by the Executive Director or by the appropriate Deputy Director.

CHAPTER 3: STAFFING AND PROMOTIONS
 UNIT 4: SELECTING AND APPOINTING THE CANDIDATE

The DIA is required by statute to provide return (reemployment) rights to certain former employees at a grade comparable with that held at the time of departure from DIA. These Statutory Return Rights may apply (but are not limited) to these circumstances:

- o initial entrance or recall to active military duty
- o separation for employment in designated Federal agencies

In the interest of good management and employee morale the DIA may offer Administrative Return Rights at a grade comparable to that held at the time of leaving DIA to those employees selected for DoD overseas employment (Intelligence Career Development Program).

Employees with either of these return rights may, upon return to DIA, be placed in a billeted position without regard to competitive action. All return rights must be negotiated and approved by RHR prior to separation from DIA and documented on SF 50 (Notification of Personnel Action).

In-Processing and Indoctrination of Civilian Personal

The in-processing procedures of DIA are to:

- o insure that the appointments of all newly-assigned employees are properly documented and meet all legal/regulatory requirements
- o assist new employees in adjusting readily to their jobs and job environment, in acquiring positive attitudes toward the work of DIA, and in becoming familiar with DIA and the organizational unit to which they are assigned.

THE IN-PROCESSING PROCEDURE	
STEP	DESCRIPTION
Entrance on-duty processing	<p>Each new civilian employee of DIA will:</p> <ul style="list-style-type: none"> o receive initial orientation from RHR covering these topics: <ul style="list-style-type: none"> - a brief explanation of his/her appointment

CHAPTER 3: STAFFING AND PROMOTIONS

UNIT 4: SELECTING AND APPOINTING THE CANDIDATE

THE IN-PROCESSING PROCEDURE (Cont'd)	
STEP	DESCRIPTION
Entrance on-duty processing (Cont'd)	<ul style="list-style-type: none"> - employee rights, opportunities, and privileges - leave, pay, health benefits, insurance, retirement, and compensation for injury - merit promotion policy, equal employment opportunity, and incentive awards programs - employee development, training opportunities, and upward mobility - trial periods and performance appraisals - responsibilities and obligations of employees. <ul style="list-style-type: none"> o complete necessary appointment forms, take an oath of office and visit the offices listed on DIA Form 185, Part A (Incoming Check List) before reporting to his/her duty assignment. o receive an appointment packet for delivery to the immediate supervisor; this will be assembled for each new employee and will contain: <ul style="list-style-type: none"> - DIA Form 313 (Supervisor's Check List for Inducting a New Employee) - a basic discussion guide to be used by supervisors in indoctrinating new employees into their jobs and work environment. - AF Form 1287 (Time and Attendance) - form used by timekeepers and certifying supervisors for recording attendance for pay purposes. - Civilian Personnel Information Booklet - handbook designed to acquaint newcomers with basic benefits, privileges and responsibilities of DIA employees.

CHAPTER 3: STAFFING AND PROMOTIONS

UNIT 4: SELECTING AND APPOINTING THE CANDIDATE

THE IN-PROCESSING PROCEDURE (Cont'd)	
STEP	DESCRIPTION
Entrance on-duty processing (Cont'd)	<ul style="list-style-type: none"> o within 2 weeks of arrival in DIA be provided an orientation by an official of the assigned Directorate who will outline the missions and functions of the organization. o be scheduled to attend the DIA Orientation for Newly-Assigned Personnel as soon as possible after entrance on duty. o be provided with information regarding the mandatory reporting requirements of PL91-121 on defense-related employment and sign an acknowledgment if he/she is paid at a rate equal to or greater than the minimum rate for GS-13.
Supervisory processing	<p>The immediate supervisor of a new employee will:</p> <ul style="list-style-type: none"> o appoint an experienced employee as sponsor to assist the new employee (after receiving notification that an offer of employment letter is being prepared) o receive a new employee and acquaint him/her with the job and work environment using DIA Form 313 as a basic discussion guide o insure that each new employee receives a Directorate-level orientation o make periodic checks on the employee's progress to discuss his/her accomplishments or problems experienced o insure that the indoctrination of newly employed personnel includes a security orientation outlining the purpose and principles of the security program and the employee's personal responsibility for protecting classified information, as well as the reading and initialing of DIAR 50-2, Information Security Program, and DIAR 60-6, Standards of Conduct.

CHAPTER 3: STAFFING AND PROMOTIONS

UNIT 4: SELECTING AND APPOINTING THE CANDIDATE

THE IN-PROCESSING PROCEDURE (Cont'd)	
STEP	DESCRIPTION
Civilian Personnel Sponsor processing	<p>The civilian sponsor appointed by the supervisor provides newly assigned employees with personalized assistance before and during the DIA in-processing. An appropriate amount of official duty time during the regular work day will be afforded to sponsors to complete the following tasks:</p> <ul style="list-style-type: none"> o Within 7 days after being notified by RHR that the new employee has accepted the job offer, the sponsor will dispatch a welcome letter. o After initial correspondence, if feasible, the sponsor should contact the incoming employee by telephone and establish personal contact. o Offer further assistance, as needed: <ul style="list-style-type: none"> - furnishing information regarding housing, schools, transportation, etc. - arranging for temporary housing such as guest house, motel or other accommodations (The sponsor must not commit the newcomer financially without his/her consent.) - furnishing additional information, if requested (If in doubt about such a request, the sponsor should consult RHR.) o If possible, sponsors should arrange to meet new employees who arrive from outside the local area. In all cases, the sponsor will: <ul style="list-style-type: none"> - accompany the new employee during in-processing the day he/she enters on duty (Sponsors should plan to arrive at the RHR Processing Room at 1000 hours on that day.

CHAPTER 3: STAFFING AND PROMOTIONS

UNIT 4: SELECTING AND APPOINTING THE CANDIDATE

THE IN-PROCESSING PROCEDURE (Cont'd)	
STEP	DESCRIPTION
Civilian Personnel Sponsor processing (Cont'd)	<ul style="list-style-type: none"> - insure that office and desk space have been prepared - introduce the new employee to co-workers - take any other reasonable action to assist the new employee and/or family in becoming settled in the area.

Resolving Complaints

Managers/supervisors and/or RHR will be fully responsive to an employee's questions or complaints regarding the operation of DIA's staffing program. Every effort will be made to resolve problems on an informal basis. If a matter cannot be resolved informally, the employee may pursue it on a formal basis.

Complaints which allege that the required procedures were not followed may be considered under DIA grievance procedures (See Chapter 5, Unit 5). Before filing a complaint, an employee should discuss the matter with the RHR. Complaints based solely on non-selection from a properly developed list of candidates or reassignment to a position with a lower target grade level will not be accepted. Non-selection based on alleged discrimination will be considered under EEO complaint procedures (See Chapter 7, Unit 2).

Appropriate records of staffing actions will be maintained to serve as evidence that the selections were made on a sound, fair, and merit basis and to provide answers to questions that management and employees may raise. RHR will maintain an individual file on each action for 1 year from the completion date of the action. In no case will an employee be permitted access to records pertaining to other employees.

OFFICIAL GUIDANCE: DIAR 22-49, Civilian Personnel Staffing
 DIAR 22-9, Employment of Retired Military Personnel
 DIAR 22-13, Civilian Personnel In- and Out-Processing
 and Indoctrination of Civilian Personnel

CHAPTER 3: STAFFING AND PROMOTIONS
UNIT 5: TRIAL PERIOD

INTRODUCTION

Most newly-appointed personnel must complete a one-year trial period to further assess their overall qualifications and suitability for continued employment in DIA's sensitive intelligence environment. This trial period makes a significant contribution toward the integration of new employees into the permanent work force. It provides a final indispensable test--that of observation in the work environment and actual performance on the job--which no preliminary measuring methods can approach in validity. During the trial period, the new employee's conduct and performance in the actual duties of the position will be observed, and, if they are found inadequate, the employee may be separated.

FINDING HELP

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o Procedures in using trial periods	Page 3-29

CHAPTER 3: STAFFING AND PROMOTIONS
UNIT 5: TRIAL PERIOD

The Use of Trial Periods

The trial period provides DIA with a measure of protection against the retention of any person, who in spite of having met preliminary qualification requirements and satisfied initial pre-employment checks, is found in actual performance on the job to be lacking in overall fitness (or potential to acquire fitness), or not to be fully suitable for continued employment with DIA. In addition to satisfactory performance of job requirements, the employee must exhibit other desirable characteristics such as high standards of integrity, a mature personality, good work habits, respect for higher authority and fellow employees, and willingness to learn and improve. An employee who is determined during the one-year trial period to be deficient in these qualities, or who does not meet DIA suitability requirements, will not be retained in DIA.

All employees newly appointed to DIA are required to serve a one-year trial period with the following exceptions:

- o employees serving on temporary appointments; however, should an employee be converted to an appointment without time limitation, a trial period is required beginning with the date of appointment conversion
- o former DIA employees who have satisfactorily completed a one-year trial period and who are rehired within 6 months of their date of separation or who are exercising statutory or administrative re-employment rights with DIA.

First-line supervisors are responsible for:

- o insuring full and fair evaluation of an employee's suitability, abilities, and capacities during the trial period
- o rendering the interim Fifth Month Employee Trial Period Assessment
- o rendering, in conjunction with the next higher level reviewer, a final trial period recommendation on DIA Form 257 (Notice of Completion of Probationary or Trial Period).

Procedures in Using Trial Periods

An employee required to serve a trial period will be so notified on SF 50 (Notification of Personnel Action) issued at the time of his/her appointment. The supervisor will also receive written notice when an employee reporting for duty is subject to a trial period, and another notice when the Fifth Month Employee Trial Period Assessment is due. This interim assessment is to assure that supervisors deal forthrightly with trial period employees in regard to

CHAPTER 3: STAFFING AND PROMOTIONS
UNIT 5: TRIAL PERIOD

Procedures in Using Trial Periods (Cont'd)

any matters which may impact on the satisfactory completion of the trial period. Ninety days prior to the end of an employee's trial period, the supervisor will receive DIA Form 257 (Notice of Completion of Probationary or Trial Period).

Supervisors must make their final recommendations to RHR no later than the tenth month of the trial period as to whether or not the employee should be retained in the permanent work force. However, if at any time during the trial period, the employee fails to demonstrate his/her suitability for continued employment, separation action may be initiated by the supervisor, who will contact RHR immediately. Equally, any unsatisfactory performance or derogatory information about the employee during the final 2 months of the trial period (after a supervisor has recommended the employee's retention) could adversely affect the earlier 10-month assessment.

ACTIONS RESULTING FROM TRIAL PERIOD ASSESSMENT	
NATURE OF ASSESSMENT	ACTIONS
Entirely Satisfactory	<ul style="list-style-type: none"> o Supervisor will sign certification on DIA Form 257 and return it to RHR for filing in the employee's Official Personnel Folder. o A letter will be sent by RHR to the employee notifying him/her of satisfactory completion of the trial period.
Warrants Consideration for Reassignment	<ul style="list-style-type: none"> o If employee has not been fully satisfactory in his/her present position, but has demonstrated the capacity of being a useful DIA employee in some other role, the supervisor, after receiving next higher-level approval, should so indicate on DIA Form 257, providing information on those duties which the individual can perform acceptably. o The notification should be forwarded to RHR as soon as possible to facilitate possible placement action. RHR should be notified by telephone as soon as the determination is contemplated.

CHAPTER 3: STAFFING AND PROMOTIONS
UNIT 5: TRIAL PERIOD

ACTIONS RESULTING FROM TRIAL PERIOD ASSESSMENT (Cont'd)	
NATURE OF ASSESSMENT	ACTIONS
Warrant Consideration for Reassignment (Cont'd)	<ul style="list-style-type: none"> o After review of the individual's record and consultation with the supervisor, RHR may attempt to reassign the individual subject to DIA needs and available billets. If reassignment is not possible, the employee may be terminated prior to completion of the trial period.
Unsatisfactory	<ul style="list-style-type: none"> o Supervisor will consult with the next higher level of supervision. If concurrence is obtained, the supervisor will sign DIA Form 257 and will prepare a detailed written statement to RHR, through his/her supervisor, specifying the deficiencies in performance, conduct, or character which disqualify the employee for continued DIA employment. The statement must give enough <u>factual</u> information about the employee to make the basis for the action clear. The supervisor will then discuss the deficiencies with the employee. o Supervisor will forward the notification to RHR as soon as possible before the due date and notify RHR-4 by phone of the action. o On receipt of this notice, RHR will review and evaluate the case for adequacy of the determination prior to taking any action to terminate the employee. o If possible, the employee will be notified of the termination action in writing at least 2 weeks in advance. The notice of termination will contain insofar as possible, the reason(s) for the termination. A SF 50 (Notification of Personnel Action) giving the effective date of the separation will accompany the termination notice.

CHAPTER 3: STAFFING AND PROMOTIONS
UNIT 5: TRIAL PERIOD

ACTIONS RESULTING FROM TRIAL PERIOD ASSESSMENT (Cont'd)	
NATURE OF ASSESSMENT	ACTIONS
Unsatisfactory (Cont'd)	<ul style="list-style-type: none"> o When disqualifying, derogatory, or suitability information is derived from outside the employee's normal environment, the information will be furnished to RHR. The matter will be reviewed and appropriate consideration given to terminating the employee during the trial period. RHR will prepare and coordinate the termination notice with appropriate DIA officials before effecting the action. o The employee's separation must be effected before the employee has completed the trial period. Otherwise, notice requirements applicable to the separation of an employee must be followed (See Chapter 5, Unit 4). <u>The termination action must be made effective no later than the day before the trial period will have been completed (2 days before the anniversary date of the employee's appointment).</u>

An employee terminated during the trial period has no statutory or regulatory right of appeal. However, an employee may appeal on the grounds that the termination was based on discrimination because of race, color, age, religion, sex, marital status, national origin, or handicapping condition. An appeal of this kind must be submitted to DIA within 15 calendar days and will be processed as an EEO appeal (See Chapter 7, Unit 2), but will not defer the trial period termination action.

OFFICIAL GUIDANCE: DIAR 22-31, Civilian Personnel Trial Periods

CHAPTER 4: CAREER DEVELOPMENT

OVERVIEW As a supervisor/manager, employee development is an integral part of your responsibility to help ensure that the organization's future needs for employees with particular knowledges and skills will be met.

Individual career appraisal helps a supervisor/manager and an employee to think through needs for maintaining and improving job-related knowledge and skills and to set realistic goals to help meet those needs.

CHAPTER 4 CONTENTS Chapter 4 contains 2 units which highlight the supervisor/manager's role in employee career development.

- o Unit 1: Career Ladders
 - DIA Policy
 - Supervisory/Managerial Responsibilities
 - Upward Mobility Program

 - o Unit 2: Selection For and Acquiring Training
 - Selecting an Individual for Development
 - The Career Programs Selection Board (CPSB)
-

CHAPTER 4: CAREER DEVELOPMENT
UNIT 1: CAREER LADDERS

INTRODUCTION

A career ladder is the combination of progressive knowledge and skills needed to advance to higher-graded positions in a particular occupation. It is DIA's policy to provide a career development program which will insure a well-trained and educated, highly motivated, loyal, professional workforce, proud of its contribution to the security of the United States. A key part of this program is the establishment of career ladders for major occupational groups.

FINDING HELP

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o Supervisory/managerial responsibilities	Page 4-3
o Upward Mobility Program	Page 4-3

CHAPTER 4: CAREER DEVELOPMENT
UNIT 1: CAREER LADDERS

DIA Policy

To lead the military intelligence community requires an environment which attracts, develops, and retains highly qualified personnel. It is DIA policy to provide a career development program which will result in a well-trained and educated workforce, abreast of political and technological developments, highly motivated, loyal, and proud of its contributions to the security of the United States. A critical element in this program is the establishment for major occupational groups of career ladders, which systematically set forth the knowledge and skills progressively needed to advance to higher graded positions in each occupation.

Supervisory/Managerial Responsibilities

Supervisors who rate performance are responsible for assessment of the level and kind of knowledge/skills held by their employees in a given career ladder. Comparison of the knowledge/skills level of each employee with the level shown in the career ladder as being necessary for his/her grade in the occupation will reveal any shortfall. It is the supervisor's first responsibility to address such shortfalls by training or developmental work assignments, and then to enhance each employee's knowledge and skills for advancement up the ladder.

RHR is responsible for management of the career development system, which includes a thorough review of each ladder every 3 years. A Subject Matter Expert (SME) is designated for each ladder. The SME is responsible for technical advice to supervisors on the assessment of employees' knowledge and skills and guidance to employees in the ladder. The SME may initiate updates of the career ladder knowledge/skills, if he/she deems it appropriate.

Upward Mobility Program

The goal of the DIA Upward Mobility Program (UMP) is to provide DIA employees presently engaged in nonprofessional activities an opportunity to enter into technical and professional career ladders. The UMP is a planned, accelerated training and development program designed to equip employees to perform in identified target positions. Participants are employees in positions at GS-9 and below and equivalent wage rates who are in positions or occupational series which do not enable them to realize their full potential. All nonprofessional, paraprofessional and wage-grade personnel who have been continuously employed in DIA for 2 years or more may apply for an Upward Mobility target position.

CHAPTER 4: CAREER DEVELOPMENT
UNIT 1: CAREER LADDERS

The UMP candidate will be trained to perform the duties of the UMP target position and, upon successful completion of the required training program, will be reassigned or promoted to the position. A UMP target position may not exceed the GS-9 grade level. Each UMP selectee will have an individual development plan (IDP), a formal documented agreement between DIA and the trainee specifying the training and developmental activities which must be satisfactorily completed in a specified time period in order to qualify the trainee for the target position.

OFFICIAL GUIDANCE: DIAR 22-30, Career Ladders
DIAR 22-57, Civilian Personnel Upward Mobility
Program

**DEFENSE INTELLIGENCE AGENCY
REGULATION NO. 22-57**

**HEADQUARTERS, DEFENSE
INTELLIGENCE AGENCY
WASHINGTON, DC 20340-0001
30 March 1987**

**CIVILIAN PERSONNEL
Upward Mobility Program**

1. Purpose: To provide a structure for the establishment, maintenance, and evaluation of DIA's Upward Mobility Program (UMP) and to define program policy, goals, and objectives, organizational responsibilities, and the mechanics of UMP implementation.

2. Supersession: This regulation supersedes DIAR 22-57, 12 March 1984. Because changes are extensive, they are not so indicated.

3. References:

a. The Equal Employment Opportunity Act of 1972, Public Law 92-261.

b. Executive Order 11478.

c. President's Memorandum of 8 August 1969 to Heads of Departments and Agencies.

d. FPM Chapters 410 and 536; FPM Letter 713-27.

e. DIAR 22-49, "Staffing."

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

4. Policy: Public Law (PL) 92-261 established a requirement for agencies to include in their annual Equal Employment Opportunity (EEO) plan, "... provision for the establishment of training and education programs designed to provide a maximum opportunity for employees to advance so as to perform at their highest potential." The UMP is established in compliance with PL 92-261 and Executive Order 11478 and the longstanding policy of the DIA to provide equal opportunity in employment on the basis of merit and without regard to race, color, sex, age, religion, national origin, physical or mental handicap, political affiliation, or any other nonmerit factor. In consonance with applicable public laws, Executive Orders, and Office of Personnel Management guidelines, DIA's UMP shall provide the maximum opportunity for employees to perform at their highest potential and advance in accordance with their abilities.

5. Goal and Objective:

a. *Goal.* To provide Agency employees presently engaged in nonprofessional activities the opportunity to enter into technical or professional career ladders.

b. *Objective.* To improve DIA's operations and effectiveness through the development of its human resources.

6. Applicability: This regulation applies to the staffing of all Upward Mobility positions. All nonprofessional (e.g., secretary, administrative assistant, intelligence technician) and wage-grade personnel who have been continuously employed with the Agency for 2 years or more may apply for positions under the UMP. (Note: Employees accepting a volun-

tary downgrade to enter the UMP will not have a reduction in salary. Their pay will be adjusted or they will have pay retention entitlements that will be explained by the Directorate for Human Resources upon selection for the Program.)

7. Definitions:

a. *Upward Mobility*—systematic actions taken by management to provide specific career opportunities for lower-level employees who are in positions or occupational series which do not enable them to realize their full potential.

b. *Upward Mobility Program*—a planned, accelerated developmental and training program designed to equip lower-level employees with the skills, knowledges, and abilities needed to perform in a target position. Such a position will be in a career ladder affording greater growth potential than the position currently held by the employee.

c. *Target Position*—a JTD authorized position within a DIA element that has been approved for staffing in accordance with the provisions of this regulation. The target position may be at the GS-5 through the GS-9 grade level. A higher-graded position may be filled at GS-9 or below to permit staffing under the Upward Mobility Program. The UMP candidate will be trained to perform the duties of the target position and will be reassigned or promoted to the position upon successful completion of the required training program.

d. *Transitional Position*—the position identified by management to which the UMP selectee is assigned for training and development. The position is established to bridge the gap between a lower-level position and the entry level to an established career ladder, or to bridge the gap between a career ladder with lesser career growth to one with greater growth potential. Thus, it provides an extension to the career ladder. The transitional position will be nonprofessional, but will be designed to provide grade-building experiences to qualify the individual for the target position and will be supplemented and supported by a formal training plan (i.e., individual development plan). The position will not exceed the GS-9 grade level. The UMP selectee will be assigned to the JTD billet of the target position.

e. *Individual Development Plan (IDP)*—for UMP selectees, the IDP becomes a formalized documented agreement between DIA and the UMP trainee. The IDP is developed by management, RHR, and OT, and specifies the training and developmental activities which must be satisfactorily completed in a specified

OPR: RHR-5

DIAR 22-57

time period in order to qualify the trainee for the target position.

f. *Potential*—the ability (and desire) to acquire and use skills and knowledges needed to successfully perform higher-level work, specifically in those positions targeted for staffing through the UMP.

g. *Crediting Plan*—a guide prepared by RHR-2 in conjunction with management to be used by the Candidate Evaluation Panel (CEP). The crediting plan identifies the factors to be evaluated when assessing the candidates' potential for success in the UMP. Factors may include work experience; education and training; performance indicators; and job elements, based on the applicable career ladder.

h. *Candidate Evaluation Panel (CEP)*—a panel of three to five individuals who have significant knowledge of the career ladder, discipline, or function of the target position. The designated Subject Matter Expert (SME) for the career ladder will be one of the panel members. The CEP is responsible for evaluating candidates and recommending to the selecting official the best qualified candidates.

i. *Selecting Official*—the immediate supervisor of the position to be staffed or other management official so designated.

8. Responsibilities:

a. *General*. The Assistant Deputy Director for Human Resources (RHR) and the Assistant Deputy Director for Training (OT) will jointly take actions necessary to ensure that the provisions of this regulation are carried out commensurate with the availability of spaces, funds, and composition of the workforce.

b. RHR will:

(1) Take necessary actions to ensure that the intent of applicable laws, Executive Orders, and guidelines are carried out.

(2) Designate a program manager from RHR to operate the UMP.

c. The UMP manager will:

(1) Take actions necessary to ensure compliance with the provisions of this regulation.

(2) Establish internal guidelines to administer UMP and designate personnel to accomplish UMP procedures.

(3) Develop and maintain required records, reports, and statistical information to include implementation, operation, and employee participation.

(4) Assist in the development of the IDP.

d. Chief, Program and Policy Division, will conduct program management evaluations (PME's) in accordance with DIAR 20-3.

e. OT will:

(1) Designate personnel to provide expert advice and assistance on training matters to management

and RHR in the development, monitoring, and completion of IDP's.

(2) Take actions necessary to ensure that training and development provisions of the regulation are carried out commensurate with the availability of spaces and funds.

(3) Assist in the development of the IDP.

f. The EEO Officer or designee will provide advice and assistance as requested for successful UMP operation and include in the annual Affirmative Action Plans essential data on the UMP.

g. Managers and supervisors will:

(1) Identify positions under their jurisdiction that could be staffed under the UMP.

(2) Continually monitor the progress of participating employees and counsel or assist them in all areas of their IDP.

(3) Support the UMP as required for employee participation in educational and training programs.

9. Procedures:

a. *Identification of Target Positions*. At least once a year, the Staffing Operations Division (RHR-2) will solicit from the major elements the nomination of target positions which might be appropriate for staffing through the UMP. In addition, supervisors and managers should review on a continuing basis vacant positions to determine their applicability for staffing under the UMP. Positions may be downgraded to the GS-9 level or below to permit their staffing under this program. Target positions to be included in the program will be selected with consideration of the organization's mission, realistic opportunity for successful placement when training is completed, and a determination that the requisite skills of the position can be acquired through training. Care should be exercised to assure that target positions identified for UMP are at the lowest practical entry level into the skills area for the occupation concerned. An SF 52 (Request for Personnel Action) will be submitted by the appropriate supervisor for each vacant target position identified for staffing under this program.

b. *Staffing UMP Positions*. When RHR-2 receives a request to staff a position through the UMP, the staffing specialist will:

(1) Refer to the appropriate career ladder and/or conduct a job analysis of the target position and consult management as needed to finalize the knowledges, skills, and abilities needed to perform the duties of the target position.

(2) Prepare a vacancy announcement that clearly indicates that the position(s) is being filled under the UMP; designates target position's title, series, and grade, description of duties, requirements for an IDP based on the knowledges, skills, and abilities in the applicable career ladder; and gives details on application procedures and deadlines.

(3) Accept and screen applications and prepare all necessary personnel records for the Candidate Evaluation Panel (CEP) to include a copy of the vacancy announcement, the position description, and the career ladder for the target position, the crediting plan, employee personnel records, and supplemental forms as appropriate.

c. Certificate of Eligibles.

(1) A Candidate Evaluation Panel (CEP) of three to five members will be used for evaluating the UMP applicants and will be established in accordance with DIAR 22-49, "Staffing," Paragraph 10.c(3). The designated SME for the career ladder will be one of the voting panel members.

(2) Panel reviews will be based on an assessment of the employee's *potential* to acquire the career ladders knowledges, skills, and abilities.

(3) Interviews of the most highly qualified applicants by the panel are required before the certificate of "best qualified" is prepared.

(4) Based on the CEP determination of the best qualified candidates, a certificate of three to five employees will be prepared for each vacant position.

(5) The panel will complete its review within 30 days.

d. Selection of Trainee. The selecting official will select from among the list of best qualified candidates. Interviews of all candidates referred are encouraged. The certificate will be suspended for 15 calendar days, subject to one extension of 15 days. If selection action has not taken place in 30 days, the certificate expires and the request for personnel action may be returned to the selecting official.

e. Notification. Only RHR may make a selection commitment or position offer to the selectee once the documentation has been returned and is reviewed for compliance with regulations. An employee selected for the UMP will be released not later than 30 calendar days following notification by RHR-2 of the selectee's acceptance. RHR will notify candidates who are not selected.

f. Development of Trainees. An Individual Development Plan (IDP) will be prepared for each UMP trainee within 30 days after assignment. This will allow the supervisor an opportunity to further assess the trainee's current knowledges, skills, and abilities. The IDP will be developed by the supervisor in coordination with RHR-2 and OT-2, and a copy will be provided to the trainee. It should be designed so that the employee will be fully qualified to assume the new

position at the end of the training and development period. The IDP will identify on-the-job training activities, both informal and formal training courses, and any developmental activities planned. Each area will specify target completion dates and the knowledges, skills, and/or abilities to be developed through each. The period covered by the IDP will depend on the length of development time, which varies according to the entry level of the trainee and the speed with which the employee masters the skills and knowledges at each grade level. Normally, the IDP will cover from 1 to 2 years, but emphasis should not be on time, but on demonstrated performance.

g. Evaluation of Trainee's Progress. The supervisor, OT, and the UMP manager are responsible for monitoring the progress of the trainee toward completion of the IDP. Supervisors will ensure that the IDP is followed, the trainee is available for required training and developmental activities, and each phase is monitored. On a quarterly basis, the supervisor will evaluate the trainee's progress, complete DIA Form 482, and forward through appropriate channels and OT-2 to the RHR-2 Upward Mobility Program Manager. The evaluation will assess the employee's overall development on the job and the employee's application of training received. Evaluations will be discussed with the employee.

h. Completion of the Program. The UMP trainee's continuation in the program will be contingent upon satisfactory training progress and performance evaluations. Employees who are unable to meet the performance requirements and show satisfactory progress after a reasonable period of time will be returned to their former position if still vacant, or to a comparable vacant position in the Agency. If a comparable vacancy does not exist, employee will be assigned to a vacant position at the same grade, for which qualified, as the one from which he/she entered the UMP. The employee will be noncompetitively reassigned to the first vacant position in the Agency which is at the same grade level and with similar duties as the one from which the employee entered the UMP. Upon successful completion of the program, the trainee will be reassigned or promoted to the target position, subject to meeting time-in-grade requirements. The supervisor is responsible for submitting the SF 52 to effect the assignment. Development of candidates in the applicable career ladder beyond the target position will follow existing personnel procedures and regulations.


Executive Director

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**DEFENSE INTELLIGENCE AGENCY
REGULATION NO. 22-30**

**HEADQUARTERS, DEFENSE
INTELLIGENCE AGENCY
WASHINGTON, DC 20301
19 March 1985**

CIVILIAN PERSONNEL

DIA Career Ladders

1. Purpose: To establish policies and procedures for the implementation of career ladders for the professional career development of DIA civilians.

2. References:

- a. Federal Personnel Manual, Chapter 410, "Training."
- b. DoD Directive 5010.10, "Intelligence Career Development Program," 9 August 1972.

3. Applicability: This regulation applies to all DIA civilian personnel.

4. Supersession: This regulation supersedes DIAR 24-7, 4 February 1975, and DIAR 24-8, 6 March 1975.

5. Definition: A career ladder is the combination of progressive knowledge and skills needed to advance to higher graded positions in a particular occupation.

6. Policy: It is DIA policy to provide a career development program which will insure a well-trained and educated, highly motivated, loyal, professional workforce proud of its contributions to the security of the United States. To lead the military intelligence community requires an environment which attracts, develops, and retains highly qualified personnel. A key part of the program is the establishment of career ladders for major occupational groups.

7. Responsibilities:

a. Supervisors who rate performance will be responsible for assessment of what knowledge/skills are held by employees in the applicable career ladder. Action should initially be taken to correct shortfalls by training or developmental work assignments, and then to enhance each employee's knowledge and skills for advancement in the ladder.

b. The Assistant Deputy Director for Human Resources (RHR) is responsible for management of the career development system, which includes a ladder update each 3 years and applicable implementation procedures.

c. The Assistant Deputy Director for Training (OT) is responsible for the training and education policies and procedures needed to provide career ladder knowledge and skills.

d. The designated Subject Matter Expert (SME) for each ladder is responsible for technical advice to supervisors on the assessment of knowledge and skills. The SME may initiate updates, as appropriate.

8. Implementation:

a. The DIA career ladders program will be implemented on a phased basis, under guidance of RHR.

b. Implementation of the career ladders program will not involve any loss of grade or pay for any DIA employee.

FOR THE DIRECTOR:

OFFICIAL:

[Redacted Signature Box]

Chief, Publication and
Presentation Division

[Redacted Signature Box]

Executive Director

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CHAPTER 4: CAREER DEVELOPMENT
UNIT 2: SELECTION FOR AND ACQUIRING TRAINING

INTRODUCTION

Employees must be selected for development and training to enhance the present and future accomplishment of DIA's mission, without discrimination because of race, religion, color, natural origin, age, sex, handicapping condition or other factors unrelated to the need for training. The selection of employees for training is usually a sensitive process and requires proper handling. The best way to avoid problems is to clearly communicate to employees the criteria used in making the selection. Candidates for training which will prepare an employee for career or occupational change, or as part of a promotion program such as upward mobility, must be identified using merit selection procedures.

FINDING HELP

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o The Career Programs Selection Board (CPSB)	Page 4-6

CHAPTER 4: CAREER DEVELOPMENT
UNIT 2: SELECTION FOR AND ACQUIRING TRAINING

Selecting an Individual for Career Development

Long-term development and training opportunities are to improve an employee's performance of present duties and of reasonably anticipated future duties. Both development and training must be designed in accordance with established career ladders which specify requirements at each level of competency. It is a management responsibility to nominate DIA employees to be considered for long-term career development or training opportunities. In making such nominations, supervisors must make the benefit to DIA their primary consideration. Self-application procedures may be used to supplement management nomination. Equally, an employee may decline selection, which normally rules him/her out from future consideration.

Long-term development and training opportunities will generally be limited to employees who have at least 2 years of continuous, full-time employment in DIA, and who are assigned to a permanent DIA billet. Training for the sole purpose of obtaining an academic degree is prohibited; an employee may, however, earn a degree if it is an incidental by-product of needed training.

The Career Programs Selection Board (CPSB)

A Career Programs Selection Board (CPSB) manages all long-term civilian career development and training opportunities. The Director, DIA retains final authority for selections.

After the Director, DIA has acted on the CPSB nominations, selectees will be notified promptly by the Executive Secretary. In some cases, the institution or organization providing the development opportunity retains the right of screening candidates proposed by DIA. The Executive Secretary is responsible for all submissions and related communications for such programs.

While on developmental assignment, the trainee remains assigned to his/her permanent billet, but attendance and leave matters will be coordinated by the gaining organization with the trainee's permanent supervisor. The permanent supervisor will also forward routine personnel actions (e.g., within grade or cost-of-living increases) to the gaining organization, and will insure appropriate coordination/completion. A representative from RHR will process any personnel actions involved in the career program's implementation, prepare memoranda of understanding for rotational assignments, manage the billet control, and coordinate assignments external to DIA with OSD.

OFFICIAL GUIDANCE: DIAR 22-25, Career Programs Selection Board



CHAPTER 5: MANAGING EMPLOYEE PERFORMANCE AND CONDUCT

OVERVIEW Managing employee performance and conduct involves establishing performance standards, monitoring and evaluating employee performance, motivating individuals and work groups, and providing rewards when appropriate and sanctions when necessary. The accomplishment of these tasks requires managerial and interpersonal skills, awareness of DIA's needs, and knowledge of legal, regulatory and procedural requirements.

CHAPTER 5 CONTENTS

Chapter 5 contains 5 units, which deal with these activities:

- o Unit 1: Performance Appraisal
 - The DIA Performance Appraisal System
 - Performance Planning
 - Competencies, Performance Areas, and Standards
 - The Performance Appraisal Process
 - Requests for Reconsideration of Ratings
 - Communicating With Employees
 - o Unit 2: Employee Awards
 - Employee Incentive Awards
 - Quality Step Increases and Sustained Superior
 - Performance Awards
 - Awards from Outside DIA
 - Certificates of Achievement and Letters of Commendation and Appreciation
 - o Unit 3: Dealing with Performance Problems
 - Counseling and Other Remedial Strategies
 - Reassignment, Demotion, and Removal
 - o Unit 4: Taking Disciplinary Actions
 - Principles of Discipline
 - Supervisor's Disciplinary Responsibilities
 - DIA Behavior Standards
 - Types of Disciplinary Actions
 - Effecting Adverse Actions
 - o Unit 5: Employee Grievance and Appeal Procedures
 - Employee Grievance System
 - Appeals from Adverse Actions
-

CHAPTER 5: MANAGING EMPLOYEE PERFORMANCE AND CONDUCT
 UNIT 1: PERFORMANCE APPRAISAL

INTRODUCTION

Performance appraisal is sometimes regarded by supervisors as "personnel office red-tape." It is, on the contrary, a multi-purpose procedure which is absolutely fundamental to effective management. The appraisal of employee performance is a system designed to recognize and reward effective employees and to identify ineffective ones so that remedial measures can be taken. It is an integral part of a sound employee/supervisor relationship, which provides the necessary communication on work objectives and standards of performance, and which permits the development of plans for improving personal performance and productivity. (Because performance appraisal undergirds the employee career development system, another aspect of the subject is discussed in Chapter 4, Unit 2.) Systematic and accurate evaluations of employees:

- o Depend on performance standards linked to the work unit's mission and the employee's position description,
- o Enhance performance, career development, and professional growth of employees, and,
- o Provide the basis for preparing other personnel decisions regarding within-grade increases, reassignments, promotions, development, reduction-in-grade, and removal.

Although performance ratings are documented annually, performance appraisal is actually a continuous process. The hallmark of effective performance appraisal is communication between the supervisor and the employee.

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UNIT 1: PERFORMANCE APPRAISAL

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UNIT 1: PERFORMANCE APPRAISAL

The DIA Performance Appraisal System

It is DIA's policy to operate a performance appraisal system which:

- o provides for periodic appraisals of employee job performance,
- o encourages employee participation in establishing performance standards,
- o uses the results of appraisals as input for training, rewarding, reassigning, promoting, reducing in grade, retraining, and removing employees.

The DIA performance appraisal system 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. The essential features of the system are:

- o Establishment of performance standards which will, to the maximum extent feasible, permit the accurate evaluation of job performance on the basis of position-related criteria.
- o Communication to each employee at the beginning of the appraisal period of the standards, competencies, and performance areas of his/her position.
- o Evaluation and periodic review of each employee's performance during the appraisal period on the basis of such standards.
- o Recognition and reward of employees whose performance warrants it.
- o Assistance to employees in attaining at least Fully Successful performance levels.
- o Reassignment, reduction in grade, or removal of employees who fail to attain Fully Successful performance levels.

Supervisors/managers who rate the performance of employees will:

- o 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.
- o revise performance plans in consultation with the employee, as necessary, during the rating period.

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- o prepare and maintain an accurate position description for each employee and certify the accuracy of the description annually. (See Chapter 2, Unit 2).
- o keep cognizant of employee's performance and throughout the rating period inform employees of specific areas in which improvement is needed and how to make the improvement.
- o recommend awards and other appropriate incentives, for eligible employees whose work is significantly above performance requirements.
- o render a timely annual appraisal of each employee's performance.
- o coordinate appraisal and award recommendations with higher level management, as appropriate.
- o provide a copy of the final appraisal to the employee.
- o take or propose corrective or adverse action, as appropriate, when the performance of an employee is below established standards.

Managers who are reviewing officials will:

- o insure that rating officials under their supervision are familiar with the performance appraisal program.
- o insure that the performance expectations/requirements of each position are realistic, fair, and reasonable in relation to other positions in the reviewing official's organization, and that they reflect organizational priorities, goals and objectives.
- o review performance appraisals and award recommendations for thoroughness, objectivity, soundness, and documentation sufficiency; adjust ratings, as needed, and provide justification.
- o periodically evaluate subordinate supervisors, considering their effectiveness in meeting their performance evaluation responsibilities.
- o provide reconsideration of an appraisal if requested in writing.

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ANNUAL PERFORMANCE APPRAISAL PERIOD FOR DIA EMPLOYEES	
POSITION TYPE	APPRAISAL PERIOD
o Professional Intelligence	1 July - 30 June
o Professional Support	1 April - 31 March
o Managerial/Supervisory	1 October - 30 September
o Clerical/Administrative; Technicians, Wage System	1 January - 31 December

Appraisals must be submitted by the rating 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.

Competencies, Performance Areas, and Standards

Job-based competencies, performance areas, and standards have been developed for the 5 DIA occupational groups: Professional Intelligence, Clerical, Support Professionals, Technicians and Wage System, and Managerial/Supervisory. They were obtained systematically by gathering extensive data from samples of incumbents in all units, grades and types of position. 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 given occupational group.

The Performance Appraisal Process

Appraisal of employee performance is a continual process even though it normally culminates in a single formal annual rating. The employee's immediate supervisor is usually responsible for appraising performance. It is important for morale, personnel management, employee benefits and career development that employees receive accurate and timely performance appraisals. Managers at successive levels must assure the effective performance of subordinate managers in performance planning and appraisal duties.

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Appraisal of performance is closely integrated with performance planning. When progress or adjustments in the latter are conscientiously discussed during the year, there should be no rating surprises at the end of the rating period. The planning and appraisal process consists of 6 major steps (See DIAM 22-58, DIA Performance Appraisal Process, Appendix I):

- o Selection of relevant competencies, performance areas, and standards
- o Initial interview between employee and supervisor to review these
- o Periodic review of performance and relevance of established competencies, performance areas, and standards
- o Interview to discuss annual appraisal of the employee's performance and the determined rating
- o Reviewing official's action
- o Feedback of final rating to the employee

It is recommended that supervisors maintain a temporary file of each employee's performance records, which should include the performance plan and appraisal, coaching/counseling records, warnings, reprimands, and the like. Throughout the appraisal period, supervisors should keep notes on subordinates' performance to ensure significant events are not overlooked or forgotten. In particular, the notes should record events for which no formal written records are maintained, such as client comments and supervisor/employee discussions. For competencies and performance areas lacking tangible products, notes should include a record of key incidents which exemplify the employee's performance. (A supervisor's miscellaneous uncirculated notes if they are not used as a basis for the rating do not constitute a system of records under the Privacy Act, and are, therefore, ordinarily not available to the employee.)

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:

- o a rating of each designated competency and performance area identified in the planning phase, and
- o an overall rating derived from a composite of the summary competency and individual performance area ratings.

Each competency and performance area will have established performance standards at the Outstanding, Fully Successful, and Unsatisfactory performance levels. A supervisor must compare the employee's performance with the standards and determine which performance level most accurately represents the

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employee's performance. Two intermediate levels - Exceeds Fully Successful and Minimally Satisfactory - may be selected by interpolation (e.g., if an employee's performance exceeds the Fully Successful standard, but falls short of the Outstanding standard, the Exceeds Fully Successfully level should be assigned.) A numeric rating of from 5 to 1 (Outstanding = 5, Unsatisfactory = 1) is entered on DIA Form 124, Sections C and D, Part 2a, for each competency and performance area.

A Summary Adjective Rating of Competencies is calculated by dividing the sum of the ratings for all the competencies by the number of competencies. This average rating is translated into an adjective rating as follows:

<u>Average Rating</u>	<u>Summary Adjective Rating</u>
4.5 and above	Outstanding
3.5 - 4.4	Exceeds Fully Successful
2.5 - 3.4	Fully Successful
1.5 - 2.4	Minimally Satisfactory
1.4 and below	Unsatisfactory

The Summary Rating of Competencies has the weight of a single performance area.

An Overall Adjective Performance Rating is determined by a composite of the Summary Adjective Rating of Competencies and the individual performance area ratings. If the Summary Rating of Competencies is less than Fully Successful, then no overall rating above Minimally Satisfactory can be assigned. Equally, if any performance area is rated less than Fully Successful, then no overall rating of Outstanding can be given. The overall rating is entered on DIA Form 124, Section B, Part 1(a).

ASSIGNING OVERALL RATINGS BELOW FULLY SUCCESSFUL	
STEP	DESCRIPTION
Warning Letter	o At least 90 days before a rating of Minimally Satisfactory or Unsatisfactory is assigned, the supervisor must give the employee a warning letter informing the employee specifically:

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ASSIGNING OVERALL RATINGS BELOW FULLY SUCCESSFUL (Cont'd)	
STEP	DESCRIPTION
Warning Letter (Cont'd)	<ul style="list-style-type: none"> - how performance fails to meet the requirements of the position - how performance may be improved - what efforts will be made to assist and/or train the employee in improving performance - that he/she has 90 days to bring about the improvement - that an overall rating of Minimally Satisfactory or Unsatisfactory will be rendered if performance does not improve to meet requirements - that if the necessary improvement is made a Fully Successful rating will be given and the warning letter will not be retained in the employee's official personnel folder
Assistance	<ul style="list-style-type: none"> o Before issuance, the supervisor will consult and coordinate with a higher level supervisor and the Directorate for Human Resources (RHR). The original letter will be given to the employee, a copy retained by the supervisor, and a copy forwarded to RHR to be filed in the official personnel folder. o The supervisor must give the employee planned assistance to improve his/her performance. If within 90 days the employee's performance: <ul style="list-style-type: none"> - improves sufficiently to warrant a Fully Successful rating, the supervisor will complete the appraisal form with a Fully Successfully rating. On receipt of the DIA Form 124 by RHR, the warning notice will be destroyed

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ASSIGNING OVERALL RATINGS BELOW FULLY SUCCESSFUL (Cont'd)	
STEP	DESCRIPTION
Assistance (Cont'd)	- does not improve sufficiently, the supervisor, after consulting with the appropriate higher level supervisor and coordinating with RHR, will deliver to the employee the written notice of Minimally Satisfactory or Unsatisfactory rating. This will be followed by appropriate management action (See Unit 3 below).

Communicating with Employees

The essence of the performance planning/performance appraisal process is communication between employees and supervisors. It begins with communicating expectations to the employee by the identification of competencies, performance areas, and standards at the beginning of the appraisal period by monitoring and feeding back the employee's success in meeting standards. Any change in the ground rules needs to be conveyed promptly and reflected in the performance plan.

Coaching is an aspect of communication which demands a high level of patience and energy on the part of the supervisor. Its objective is to improve subordinates' job effectiveness and efficiency, and it occurs daily not sporadically. The related skill of providing positive and negative feedback in a timely manner is a critical aspect of the performance appraisal process. Effective feedback results in improved performance or in sustained good performance on the part of the person receiving it. Feedback expressed in terms of concrete behaviors is more likely to be understood and acted on by the employee (e.g., "You have failed to meet critical deadlines three times in the last month," NOT "You're not reliable."). The supervisor must be able to specify clearly where development is needed and to make sound development suggestions to the employee. Finally, for employees who are performing very effectively, there is no better reinforcement than the supervisor's telling the employee face-to-face that his/her performance is exceptional.

OFFICIAL GUIDANCE: DIAM 22-58, DIA Performance Appraisal System

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.

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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 per-

formance 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.



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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.

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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.

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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.

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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.

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(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.

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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.

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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.

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- (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

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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-

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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.

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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.

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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.

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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

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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 re-employment 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:

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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 Determina-

tion 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.

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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 is 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 un-circulated 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.

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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.

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- 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.

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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:

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

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.

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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.

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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

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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.

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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.

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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) _____

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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) _____

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Competency	Additional Standard	Performance Level Indicated
Leadership	As a leader of groups, organizes tasks and determines appropriate assignments, 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

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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.

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Sample Supervisory Comments

E. Appraisal Comments

1a. Supervisor's Comments 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

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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.

IF YOU WANT TO KNOW MORE ABOUT ...	THEN GO TO PAGE ...
• Performance Appraisal Overview	33
• Performance Planning	36
• Solving Performance Problems	39
• Providing Feedback	42
• Listening and Communication	46
• Documenting Performance	49
• Evaluating Performance	49
• Conducting the Appraisal Interview	51

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

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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.

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(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.

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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.

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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.

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STEP

REMEMBER TO:

Document the performance plan.

- 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.
- 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: _____

	<u>Yes</u>	<u>No</u>	<u>Needs Improvement</u>
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?	_____	_____	_____

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	<u>Yes</u>	<u>No</u>	<u>Needs Improvement</u>
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.

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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?

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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 ...

1. Lack of resources are preventing the work from being done.
2. The employee does not have sufficient skill.
3. The employee does not understand expectations of the job.

Then Try ...

- Supplying more or better tools, equipment, space, assistance time, etc.
- Arranging training that will help provide the knowledge and skill needed to be successful on 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.

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- (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.

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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.

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Comparison of Inferential and Behavioral Feedback

<p>Inferential Feedback</p> <p>Tell about how other person feels; makes "you" statements.</p> <p>Can be observed or verified.</p> <p>Is difficult to agree on.</p> <p>Uses the verbs "to be," "to know."</p> <p>Uses absolutes.</p> <p>Is general/abstract.</p> <p>Is a value judgement.</p> <p>Attributes causes or motives.</p>	<p>Behavioral Feedback</p> <p>Tell about the event.</p> <p>Can be observed and verified.</p> <p>Makes agreement easier.</p> <p>Users action verbs.</p> <p>Differentiates clearly.</p> <p>Is concrete/specific; doesn't use adverbs.</p> <p>Is free of values.</p> <p>Is not locked into attributing causes or motives.</p>
<p>Examples</p> <p>You don't care ...</p> <p>You don't know ...</p> <p>You don't take into consideration ...</p> <p>You need to be more conscientious ...</p> <p>You should know these things ...</p> <p>Good work ...</p> <p>You are never here when I need you ...</p> <p>You always come late when we have meetings ...</p>	<p>Examples</p> <p>The report contained a very concise, useful conclusion ...</p> <p>Your language was vague ...</p> <p>Six absences in two months is not acceptable ...</p> <p>The contract omitted a vital section ...</p> <p>The data analysis was inaccurate, according to my figures ...</p> <p>I observed you interrupting that subordinate ...</p>
<p>Don't Say ...</p> <p>"You're rude and tactless with other employees."</p> <p>"The work you turn in contains too many stupid errors."</p> <p>"You really botched the semiconductor contract."</p>	<p>Say ...</p> <p>"You left Rosena very hurt and angry when you told her that she was not dressed well enough to attend the luncheon meeting."</p> <p>"The computer programmers are having difficulty on processing your work because of coding mistakes."</p> <p>"We had a lot of trouble processing the semiconductor contract because the forms were incomplete."</p>

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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 ..."

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- e. Carefully evaluate the accuracy and potential value of what you have heard.
- f. Gather additional information from other sources or by observing your own behavior and other people's reactions to it.
- g. Avoid overreacting to feedback, but, where desired, modify your behavior in suggested directions and then evaluate the outcomes.
- h. Avoid behaviors that hinder one from effectively receiving feedback, such as "justifying," "building a case," "apologizing," and "rejecting."

6. Communicating negative Feedback Effectively: Communicating negative feedback is an unpleasant task for many managers. By observing the following six principles, negative feedback can be communicated with relative ease and with effective results.

- a. Use descriptive statements rather than evaluative statements. Descriptive statements involve no judgments and do not imply any necessity for change. Therefore, there is no basis for defensiveness when the person is not being judged or criticized.
- b. Maintain a problem-orientation rather than a control-orientation. Emphasize collaboration rather than direction. "We did not meet the schedule. What can we do about it" rather than "You should do something about meeting the schedule next time."
- c. Practice spontaneity rather than rigid adherence to a strategy, which implies a set agenda. An agenda is necessary, but it is also a control mechanism. To avoid defensiveness, build flexibility into the agenda.
- d. Express empathy and avoid neutrality which conveys lack of concern. "This is our problem" should be substituted for "This is your problem." Make an effort to truly identify with the employee's problems.
- e. Stress equality over superiority that generally invites defensive reactions. Encourage shared planning.
- f. Accept the relative nature of performance levels, and do not treat all performance weaknesses or strengths as ultimate certainty. Absolute performance is only relative to certain performance objectives or standards. Behavior can change, as can performance. Weaknesses are temporary and should be treated as such.

Observation of these six principles will help the manager communicate negative feedback more effectively, without generating defensiveness in the receiver. Defensiveness blocks objectivity and meaningful discussion, and should be avoided as much as possible. When it occurs, you should deal with it as a feeling/reaction, instead of persisting with the topic or discussion.

Section F — Listening and Communicating

1. General: A large part of the success of any performance appraisal system hinges on the relationship — the rapport, the trust, the respect — between a supervisor and an employee. This relationship can be improved if communication skills, particularly listening, are improved. Rarely does an employee view a supervisor who does not listen effectively as a positive force in improving performance. This section presents information and suggestions on the following:

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- a. Assessing your listening skills.
- b. Communicating interest.
- c. Using listening techniques.

2. Assessing Your Listening Skills: Assessing your strengths and weaknesses in listening to others will help you to identify areas for improvement.

LISTENING SELF-ASSESSMENT FORM

Rate yourself on each of the following characteristics using the following scale:

Always = 4 points
 Almost Always = 3 points
 Rarely = 2 points
 Never = 1 point

Listening Characteristics

Responses

1. Do I allow the speaker to express his or her complete thoughts without interrupting?	4	3	2	1
2. Do I listen between the lines, especially when conversing with individuals who frequently use hidden meanings?	4	3	2	1
3. Do I actively try to develop retention ability to remember important facts?	4	3	2	1
4. Do I write down the most important details of a message?	4	3	2	1
5. In recording a message, do I concentrate on writing the major facts and key phrases?	4	3	2	1
6. Do I read essential details back to the speaker before the conversation ends to ensure correct understanding?	4	3	2	1
7. Do I refrain from turning off the speaker because the message is dull or boring, or because I do not personally know or like the speaker?	4	3	2	1
8. Do I avoid becoming hostile or excited when a speaker's views differ from my own?	4	3	2	1
9. Do I ignore distractions when listening?	4	3	2	1
10. Do I express a genuine interest in the other individual's conversation?	4	3	2	1

Total Score _____

Excellent listeners score between 35 and 40. Good listeners score between 30 and 34.

3. Communicating Interest: Communicating interest or attending, is the ability to utilize yourself and the environment around you in a manner that indicates that you are paying attention to the employee. It consists of physically attending and arranging the setting.

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There are at least two reasons for using the skill — one benefits you and one benefits the employee:

- a. You can gather information about the employee which you need to help the employee explore his or her perspective.
- b. You let the employee know that he or she is important.

Physically attending is made up of the following five ingredients:

- a. *Make Eye Contact.* This does not mean staring at the employee. The goal is to let the employee know you are paying attention by looking at his or her face. Making eye contact should not be used to intimidate the employee.
- b. *Face the Employee.* Sit roughly SQUARE with the employee; your left shoulder to his or her right shoulder and your right shoulder to his/her left shoulder.
- c. *Maintain a Facilitative Distance.* Sit close enough to see the employee, but not so close as to make the employee uncomfortable.
- d. *Use Posture.* This refers to the way you position your body. The more you lean toward the employee, the more interest you are communicating.
- e. *Resist Distractions.* Eliminate behaviors that would lead the employee to believe that you're not paying attention (e.g., fidgeting, paper shuffling, phone calls, etc.).

4. Listening Techniques: The following listening techniques, if properly used, demonstrate to the employee that you are hearing him/her, and will assist you in getting a full picture of the employee's point of view.

a. *Reflecting Content (or Paraphrasing).*

Employee: I just don't know. I've been trying very hard to keep my mind on the job, but I don't seem to be doing any better.

Supervisor: You've been really putting an effort into concentrating, but not seeing much improvement.

b. *Reflecting Feelings.*

Supervisor: Hi, how are things today?

Employee: Not very well really.

Supervisor: Oh? You're feeling low today?

Employee: Yeah — things just aren't fair.

Supervisor: You're sounding a little defeated.

c. *Reflecting Meanings ("You feel ... because").*

Employee: My team leader is driving me crazy. I never know what's expected of me, and then I'm told I'm not meeting his expectations.

Supervisor: You feel frustrated because he doesn't communicate his expectations to you.

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d. *Reflecting Implications.*

"If what you're saying is true, then we'd be able to ..."

"That would cause us to change our plans on ..."

"Have you thought about the effect of that on ..."

e. *Summary Reflections.*

"Let's see if I can restate some of your major points so far."

"You seem to be coming back to two major points, which are ..."

"Your bottom line position seems to be ..."

Section G — Documenting Performance

1. **General:** Documentation is sometimes useful in order to record positive and negative performance for employee feedback, to assist in rendering an accurate, fair rating, and to help justify a rating. Documentation can be in the form of notes, memoranda, reports, etc. To document an aspect of performance, remember to make the notes as soon as possible after the event and to provide feedback to the employees. There is nothing secret about documentation. Anything important enough to write down is important enough to share with the employee. This section presents useful guidelines on performance documentation.

2. **Performance Documentation Guidelines:** The following chart depicts guidelines for achieving documentation that is accurate, behavioral, and consistent.

DOCUMENTATION GUIDELINES

Documentation Requirement

Guideline

Accurate

Record objective facts concerning actual performance as they occur, rather than from memory.
Record only job-related behavior.
Record direct observations rather than relying on "hearsay" reports from others.

Behavioral

Describe specific behavior rather than making evaluative statements or describing an individual's personality.

Consistent

Record both positive and negative behaviors rather than emphasizing either.
Keep the same basic format and level of detail of documentation for each subordinate.
Maintain documentation on all employees in a given work group. Periodically review the collective documentation to be sure that the desired quantity, quality, and consistency are being maintained.

Section H — Evaluating Performance

1. **General:** While the roles of planner, problem-solver, and communicator have been stressed, any performance appraisal system ultimately requires a supervisor to be a judge as well.

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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.

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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:

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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.

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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.

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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?	_____	_____	_____

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CHAPTER 5: MANAGING EMPLOYEE PERFORMANCE AND CONDUCT
UNIT 2: EMPLOYEE AWARDS

INTRODUCTION

Public recognition rewards superior ideas and outstanding group and individual performance. Recognition also enhances the morale and motivation of other employees by encouraging them to emulate the superior performance. The DIA employee incentive awards program provides honorary and cash awards that recognize creativity and productivity; it also includes provisions for nominating DIA employees for awards conferred from outside DIA and for rewarding employee suggestions that contribute to the efficiency and economy of DIA operations and the work of the Federal Government.

As a supervisor, you need to be aware of the importance of informal recognition that you can provide. You also need to be familiar with the procedures for taking advantage of DIA's formal awards program. It is your responsibility to ensure that all employees have an equal opportunity to earn awards and to encourage those under your supervision to submit suggestions.

FINDING HELP

IF YOU WANT TO KNOW ABOUT....	GO TO....
o Employee incentive awards	Page 5-12
o Quality Step Increases (QSI) and Sustained Superior Performance Awards (SSP)	Page 5-13
o Awards from outside DoD	Page 5-15
o Certificates of Achievement and Letters of Commendation and Appreciation	Page 5-15

CHAPTER 5: MANAGING EMPLOYEE PERFORMANCE AND CONDUCT
UNIT 2: EMPLOYEE AWARDS

Employee Incentive Awards

It is the policy of DIA to encourage the fullest participation of DIA employees in improving government operations, and to recognize and reward personnel at all levels, individually or in groups, for:

- o contributions to efficiency, economy, and other improvements in Government operations that are above those normally expected, and
- o special achievements in the public interest in connection with, or related to, their official employment.

Managers/supervisors are responsible for:

- o identifying program and operational areas where superior results may warrant recognition
- o identifying individuals or groups of employees whose contributions, acts, services, or superior accomplishments merit commendation, and
- o submitting recommendations for awards.

A record of all monetary awards and letters of commendation granted a civilian employee will be filed in his/her personnel folder.

MOST COMMON AWARDS IN DIA		
TYPE OF AWARD	DESCRIPTION	APPROVING OFFICIAL
o Special Act or Service Awards (SAS)	o A one-time lump sum cash amount granted to individuals or groups for accomplishments of tangible or intangible benefit within or outside assigned job responsibilities. When within job responsibilities, the contribution must be substantially superior to normal performance requirements. (See DIAR 22-16 for benefits calculation.)	o Depends on amount of award (See DIAM 22-16 for approving authority).

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Employee Incentive Awards

It is the policy of DIA to encourage the fullest participation of DIA employees in improving government operations, and to recognize and reward personnel at all levels, individually or in groups, for:

- o contributions to efficiency, economy, and other improvements in Government operations that are above those normally expected, and
- o special achievements in the public interest in connection with, or related to, their official employment.

Managers/supervisors are responsible for:

- o identifying program and operational areas where superior results may warrant recognition
- o identifying individuals or groups of employees whose contributions, acts, services, or superior accomplishments merit commendation, and
- o submitting recommendations for awards.

A record of all monetary awards and letters of commendation granted a civilian employee will be filed in his/her personnel folder.

MOST COMMON AWARDS IN DIA		
TYPE OF AWARD	DESCRIPTION	APPROVING OFFICIAL
o Special Act or Service Awards (SAS)	o A one-time lump sum cash amount granted to individuals or groups for accomplishments of tangible or intangible benefit within or outside assigned job responsibilities. When within job responsibilities, the contribution must be substantially superior to normal performance requirements. (See DIAR 22-16 for benefits calculation.)	o Depends on amount of award (See DIAM 22-16 for approving authority).

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TYPE OF AWARD	DESCRIPTION	APPROVING OFFICIAL
<ul style="list-style-type: none"> - Director's Award for Exceptional Civilian Service 	<ul style="list-style-type: none"> - Gold medal, certificate and citation. The highest award the Director may bestow on DIA civilians. Normally, not more than 6 will be granted annually on a very selective basis for exceptional service and achievements of paramount significance to DIA, DoD and/or the Federal Government. Nominations solicited annually. 	<ul style="list-style-type: none"> - Director, DIA
<ul style="list-style-type: none"> - DIA Award for Meritorious Civilian Service 	<ul style="list-style-type: none"> - Gold medal, certificate, and citation for contributions of the highest scope, exceptionally meritorious, and worthy of special acclaim. Normally, not more than 8 will be granted in any year. Nomination procedure same as for Director's Award for Exceptional Civilian Service. 	<ul style="list-style-type: none"> - Director, DIA

Quality Step Increases (QSI) and Sustained Superior Performance Awards (SSP)

For performance that is far above what is normally expected, there are two forms of monetary awards which have substantially the same criteria:

- o The Quality Step Increase (QSI) is an increase in a General Schedule employee's basic pay rate to the next higher rate of his/her grade, and is used to recognize sustained high quality performance which is expected to continue.

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- o The Sustained Superior Performance Award (SSP) is a lump-sum one-time cash award used to recognize superior performance sustained by an employee for a minimum 12-month period at the same grade level.

Since, once a QSI is awarded, the benefit continues from year to year, use of the QSI should be limited to cases in which it can reliably be predicted that the employee will continue to make an exceptional contribution to the work of DIA. Thus the SSP, but not the QSI, can be used to reward performance of an employee temporarily detailed to a position or performance in a peak workload situation not expected to continue. Equally, the SSP can be used when an employee is in the top step of his/her grade. No more than one monetary award for high-quality performance (QSI or SSP) can be granted within a 24-month period from the closing date of the period of performance upon which the last previous cash award was based.

Quality Step Increases should be used by managers for GS employees at all levels as an incentive to stimulate sustained high-quality performance and as an award where special salary recognition is warranted. QSI's are in addition to regular step increases and are not considered to be equivalent increases in compensation. This means that an employee who receives a QSI does not start a new waiting period to meet the time requirements for the next regularly scheduled step increase. Care must be exercised to assure that quality increases are not repeatedly awarded to the same employee as a matter of routine. QSI's may be awarded for overall high quality performance maintained for a minimum of 12 months at the same grade level.

Supervisors will recommend QSI's and SSP's on DIA Form 124, concretely demonstrating that performance sustained over 12-months has exceeded normal requirements in the important elements of the position. Information previously documented on DIA Form 309 (Supervisor's Record of Employee) should be useful in preparing evidence of high-quality performance. The supervisor's recommendation of an employee for a QSI certifies that based on past experience, he/she believes that the employee's level of performance is likely to continue.

A promotion is considered one of the highest forms of recognition. An employee who has been thus recognized for a given period of high-quality performance cannot not be considered for a QSI. The recipient of a QSI may also be granted an honorary award or a one-time cash award under the provision for a Suggestion Award or a Special Achievement Award for a special act or service if the period of high quality performance also resulted in innovations, substantial savings, inventions, or special accomplishments of a truly exceptional nature.

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Awards from Outside DoD

Many awards are offered by organizations outside DIA for which DIA employees may be nominated. Normally, these awards are made on a very selective basis, and only individuals who have made outstanding contributions should be nominated. Nominations will be solicited from supervisors upon receipt of announcements from the award sponsors.

Certificates of Achievement and Letters of Commendation and Appreciation

Certificates of Achievement and Letters of Commendation may be used to recognize achievements of performance which would not normally meet the criteria for higher awards or where other awards are not appropriate. They can be used to recognize significant performance achievements of shorter duration than required for most other awards, or substituted for higher level awards when considered appropriate. Letters of Appreciation are used to express thanks to employees.

TYPE OF AWARD	DESCRIPTION
Certificate of Achievement	<ul style="list-style-type: none"> o Based on one or more of the following achievements that: <ul style="list-style-type: none"> - Demonstrate commendable resourcefulness and initiative in devising and improving work methods and procedures resulting in savings of manpower, time, space, or materials. - Favorably affect employee morale resulting in distinctly improved work performance and esprit de corps. - Meet DIA mission requirements or special workloads, involving unexpected difficulties and operational demands through personal diligence and initiative. - Provide outstanding leadership for the administration and management of projects or programs and their successful completion, or in the redirection of objectives and efforts to meet unique or emergency situations.

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TYPE OF AWARD	DESCRIPTION
Certificate of Achievement (Cont'd)	<ul style="list-style-type: none"> o The contributions should cover about 90 days or more unless the significance of the achievement itself is the sole basis. o Will not be granted: <ul style="list-style-type: none"> - at the time of retirement or separation as a token of appreciation, unless all other criteria are met - when another award has been granted on the same justification.
Letters of Commendation	<ul style="list-style-type: none"> o See DIAM 22-16.
Letters of Appreciation	<ul style="list-style-type: none"> o Suitable when services or contributions are better than would have been expected, or when services or contributions were provided by employees from other offices or organizations. <ul style="list-style-type: none"> - Also appropriate at the time of retirement, separation, or transfer when performance resulted in a job better than that normally expected. - All DIA officials may sign letters of appreciation. - Do not become part of the employee's official personnel folder.

OFFICIAL GUIDANCE: DIAM 22-16, Civilian Awards Program

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UNIT 3: DEALING WITH PERFORMANCE PROBLEMS

INTRODUCTION

As a supervisor, it is your responsibility to let employees know in specific terms when and how their performance does not meet the fully successful standards, and to develop courses of action that may enable the employees to improve their performance. Although this process of feedback and guidance culminates in the annual formal appraisal, it should be ongoing throughout the year.

When performance deficiencies and their causes are identified, a variety of remedial actions are available. If, then, performance does not improve to fully successful levels, other personnel actions may be required.

You should contact the Office of Civilian Personnel at the first sign of a real problem, so that the best course of action may be initiated. They will help you counsel the employee and show you how to document the counseling. They will also help make sure you are in compliance with law and regulations in all actions you take.

FINDING HELP

IF YOU WANT TO KNOW ABOUT....	GO TO....
o Counseling, coaching, and other remedial strategies	Page 5-18
o Reassignment, demotion, and removal	Page 5-18

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Counseling, Coaching, and Other Remedial Strategies

At any time a supervisor perceives that an employee's performance is falling short, he/she should prepare to counsel or coach the employee. The counseling should be positive, constructive, and designed to:

- o let the employee know specifically in what respect performance is deficient, and
- o develop a course of action that may enable the employee to improve performance.

Employees should be encouraged to advance reasons for their performance problems and to participate in determining a remedial course of action.

Coaching requires a large amount of patience and energy as well as close attention to individual employee needs. It occurs daily rather than occasionally. A good coach will recognize individual differences and must have a sincere interest in helping an employee to improve.

In a performance feedback session, the supervisor must first establish and maintain rapport with the employee and clearly state the purpose of the interview. During the interview the supervisor should:

- o give clear, understandable feedback in terms of actual behavior
- o establish goals and deadlines to motivate the subordinate
- o provide positive feedback for instances of good performance
- o make specific developmental suggestions to the subordinate
- o display interest in the employee's professional growth
- o make appropriate commitments and set realistic goals to resolve any conflict with the employee
- o coach the employee toward any conflict resolution needed with others
- o maintain a composed and professional attitude throughout the session, even if the subordinate becomes angry.

Reassignment, Demotion and Removal

If the employee's performance does not improve to the required level during the period allowed for improvement (or if he/she does improve, but returns to the same weak performance on the same performance element), the superior should consider arranging a reassignment, or proposing demotion or removal.

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An employee with a permanent, conditional, career, or career conditional appointment will be given a 30-day advance notice of the reasons for reassignment to a lower grade, the right to reply to such notice, and a notice of final decision after consideration of the reply.

If no reassignment or demotion is possible, it may be necessary to initiate removal action to separate the employee from the Federal service. A removal (or any other adverse action) may not be based solely on the fact that the employee has received an unsatisfactory performance rating. The adverse action in such a case must be based on specifically described deficiencies and reasons which warrant the conclusion that the adverse action is for just cause. By the same token, an employee with a current official performance of minimally successful or better may be removed for inefficiency. In this case, the adverse action should be based only on the period of time since the end of the period on which the official performance rating was based.

The 30-day advance notice of reasons for separating an employee for inefficiency will include specific details on:

- o the standard of performance required in area(s) of deficiencies
- o how the standard of performance has not been met
- o the efforts made to assist the employee to meet the standard of performance.

The employee is also entitled to reply to the notice and to receive a notice of final decision after consideration of his/her reply.

OFFICIAL GUIDANCE: DIAR 22-7, Adverse Actions
DIAM 22-58, DIA Performance Appraisal System

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 UNIT 4: TAKING DISCIPLINARY ACTION

INTRODUCTION

In addition to actions taken for reasons of unacceptable performance, disciplinary actions are taken to correct deficiencies of conduct. While sometimes deficiencies of conduct may be difficult to distinguish from performance difficulties, particularly where attitude and behavior affect performance, it is important to differentiate between the types of deficiencies because the procedures required to remedy conduct problems differ in some respects from those used for performance problems.

Misconduct includes violation of DIA regulations (e.g., abuse of leave, falsification of travel vouchers), violation of DIA conduct standards (e.g., conflict of interest and financial disclosure requirements), and violation of general conduct standards (e.g., insubordination). DIA will not interfere in the private lives of its employees but expects employees, on and off duty, to behave so as not to reflect unfavorably on the agency. It requires employees to be honest, reliable, trustworthy, of good character and reputation, and unquestionably loyal to the Government and DIA.

As a supervisor, you need to know how to identify and minimize misconduct by those under your supervision. If misconduct occurs, you need to know how to use the available range of disciplinary actions.

FINDING HELP

IF YOU WANT TO KNOW ABOUT....	GO TO....
o Principles of discipline	Page 5-21
o Supervisor's disciplinary responsibilities	Page 5-21
o DIA behavior standards	Page 5-22
o Types of disciplinary actions	Page 5-27
o Effecting adverse actions	Page 5-31

CHAPTER 5: MANAGING EMPLOYEE PERFORMANCE AND CONDUCT
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Principles of Discipline

Discipline involves relationships between supervisors, individual employees and groups of employees, and relationships of each individual employee to his/her associates and supervisor and to the organization. Discipline must be self-motivated, not imposed from outside. Employees will be fully informed of the conditions of their employment and of applicable laws, rules, regulations and DIA policy relating to conduct. Employees who are in doubt about specific standards of conduct will consult their supervisors, who in turn will consult RHR as necessary. Employees should be familiar with the Code of Ethics for Government Service.

DIA places primary emphasis on prevention of situations requiring disciplinary actions through effective employee-management relations. When disciplinary actions cannot be avoided, appropriate action will be taken promptly, impartially, and constructively. Employees involved will be fully informed of the reasons for the action against them. The objective of disciplinary action is correction and rehabilitation, not punishment.

Supervisors' Disciplinary Responsibilities

Orientation sessions and formal or informal talks by supervisors will be used periodically to draw employees' attention to their responsibilities and obligations. Information on conduct is not to be presented in a threatening manner. Instead, every effort will be made to stress the advantages of adhering to the rules, regulations and standards, and to promote cooperative discipline. Emphasize that the purpose of conduct requirements is the same as the purpose of laws generally - to protect society against an irresponsible minority, to protect the individual against arbitrary action, and to permit the organization to function.

The state of discipline is an indicator of the quality of supervision exercised. A supervisor achieves good discipline through instruction, good example, and practice which influence employees to abide by rules, regulations, and procedures, and aid them in controlling their emotions, and developing correct habits of behavior. Good discipline is stimulated by supervisors in giving employees the opportunity to express their views on matters affecting them, considering these views, and recognizing individual dignity and the need for a sense of security. It is enhanced further by appropriate recognition of employees' contributions, and by giving employees a sense of accomplishment, pride in the organization, and confidence in the personal integrity, consideration, and understanding of supervisors. And it is fostered and sustained by firm and decisive leadership and consistently fair and equal treatment of all employees.

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The supervisor will:

- o Maintain an office/shop atmosphere conducive to good employee-management relations and efficient work production.
- o Inform employees of rules, regulations, and standards of conduct.
- o Take all possible steps to prevent situations which might lead to having to take disciplinary actions.
- o Gather and analyze all of the facts and carefully consider circumstances and principles before initiating disciplinary action.
- o Constructively admonish employees individually and in private whenever necessary.
- o When essential, recommend more severe disciplinary action to the appropriate operating officials.

RHR will provide advice and assistance to supervisors, operating officials, and employees on disciplinary matters.

DIA Behavior Standards

DIA has established standards of conduct in a variety of areas.

AREA OF CONDUCT	BEHAVIOR STANDARD
Safeguarding Information	<ul style="list-style-type: none"> o Official DIA records and business will not be disclosed to anyone, or made the subject of conversation in or out of the office, except so far as is necessary to the proper discharge of official duties, and then only to authorized persons. Employees are subject to the penalties of laws and Executive Orders relating to safeguarding military information. o Speeches and articles, in official or private capacity, are subject to security regulations and any applicable requirements for clearance by security officials.

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AREA OF CONDUCT	BEHAVIOR STANDARD
<p>Complaints, Grievances, and Appeals</p>	<ul style="list-style-type: none"> o While DIA desires that employees seek to resolve problems or grievances locally, the right of employees, individually or collectively, to petition Congress, or any Member thereof, or to furnish information to either House of Congress, or to any committee or Member thereof, shall not be denied or interfered with. o However, DIA materials, equipment, or time will not be used by employees in connection with petitions and representations to Congress. The requirement for safeguarding information applies to such petitions, representations, or appearances.
<p>Private Employment and Interests</p>	<ul style="list-style-type: none"> o Employees may engage in private employment, with or without compensation, and acquire private interests in businesses, provided such employment or interests will not: <ul style="list-style-type: none"> - interfere with efficient performance of their DIA duties - conflict with, or give rise to suspicion of conflict with, the interests of the United States or DIA, or - bring discredit upon or cause criticism of DIA. o An employee engaged in or contemplating employment outside DIA during off-duty hours must report such employment.

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AREA OF CONDUCT	BEHAVIOR STANDARD
<p>Political Activities</p>	<ul style="list-style-type: none"> o An employee may hold State, territorial, or local office if it does not conflict with his/her duties, and is not in conflict with law, Executive Order, or with regulations prescribed by OPM. Caution must be exercised to <u>avoid any partisan political activity</u> which is prohibited by law. Where doubt exists as to the propriety of holding a given office, the employee will secure advice through RHR. o Employees who hold commissions as notaries public are prohibited from charging fees for performing any notarial act for an officer clerk or employee of the government in his/her official capacity or for any other person during the hours of such notary's service to the Government, including lunch periods. Violation is grounds for removal.
<p>Teaching Positions</p>	<ul style="list-style-type: none"> o Employees are prohibited from using privileged government information in preparing other persons for examinations of OPM or the Board of Examiners of the Foreign Service. o Employees will inform RHR whenever they accept outside teaching positions or engage in teaching activities. Determination will be made as to whether the activity is permitted by law, and if not prohibited, a notation to that effect will be placed in the employee's Official Personnel Folder.
<p>Gifts</p>	<ul style="list-style-type: none"> o Employees will not solicit contributions nor make donations for a gift or present to another employee or official for the purpose of obtaining any form of preferential treatment or consideration.

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AREA OF CONDUCT	BEHAVIOR STANDARD
Gifts (Cont'd)	<ul style="list-style-type: none"> o Employees or officials will not accept or agree to accept directly or indirectly any money, contract, or other thing of value for the purpose of having their official decisions or actions influenced thereby, or for giving, procuring, or aiding to procure a Government contract for any person. o Supervisors will not require any service personal to the supervisor and not connected with official duties, from any employee.
Canvassing, Soliciting and Peddling	<ul style="list-style-type: none"> o Canvassing, soliciting, and peddling are prohibited within DIA. Employees will not be permitted to engage in these practices, and other persons desiring to do so will not be admitted to any area. Exceptions may be permitted for activities of a broad social nature, or which are beneficial to employees and which have been specifically authorized by the Director.
Unauthorized Absence	<ul style="list-style-type: none"> o Employees are required to obtain approval of absence from duty (See Chapter 6, Unit 2). Any absence which is not approved will be charged as absence without leave and should be followed by appropriate disciplinary action.
Indebtedness	<ul style="list-style-type: none"> o Employees will pay just financial obligations in a timely manner, especially those imposed by law such as taxes. Special attention will be given in resolving complaints alleging indebtedness of employees to Federal, State or local governments. Employees will be interviewed about such indebtedness and there will be follow-up to insure fulfillment of payment agreements. Collection of Federal taxes by levy from the salary of a Federal employee is authorized by law.

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AREA OF CONDUCT	BEHAVIOR STANDARD
<p>Indebtedness (Cont'd)</p>	<ul style="list-style-type: none"> o Creditors and collectors will be denied access to employees during working hours for the purpose of presenting or collecting claims. Operating officials and supervisors who receive debt complaints by telephone will inform the creditor to submit the complaint by letter to RHR. Upon receipt of such a debt complaint RHR will initiate appropriate action to resolve the matter. It will assure prompt, courteous replies to indebtedness complaints. Creditors have the sole responsibility for extending credit. Therefore, RHR will ascertain that creditors have made a reasonable effort to collect the delinquent account before taking other action. o The receipt of a letter from a creditor alleging employee indebtedness is not to be construed as an offense for which disciplinary action may be taken. The offense is the failure without just cause to discharge a debt acknowledged to be valid. Where an employee maintains with reasonable substantiation that a debt is not valid, disciplinary action is appropriate only after failure to comply with a court judgment.
<p>Engaging in Riots and Civil Disorders</p>	<ul style="list-style-type: none"> o Any civilian employee convicted in a court of competent jurisdiction of inciting, promoting, or carrying on a riot (or any group activity resulting in material damage to property, or injury to persons which is found to be in violation of laws designed to protect persons or property in the community concerned) will be removed from his/her position under adverse action procedures. Prior to initiating such action, management officials must coordinate with RHR.

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Types of Disciplinary Actions

In selecting a disciplinary action in a particular case, the supervisor should normally choose the least severe action required by law or regulation which will be likely to remedy the employee's unacceptable conduct. Below are listed types of disciplinary actions, in order of severity, which are available to supervisors in carrying out their responsibilities. Supervisors must contact RHR before proceeding with any disciplinary action.

TYPE OF ACTION	DESCRIPTION
<p>Oral Admonishment</p>	<ul style="list-style-type: none"> o A discussion between a supervisor and an employee on the subject of the employee's conduct or his/her failure to observe a rule, regulation or administrative action of a lesser nature. o When the need for an admonishment arises, the supervisor will: <ul style="list-style-type: none"> - gather and carefully review all facts/findings concerning the infraction - advise the employee of the facts/findings - provide the employee an opportunity to express his/her views and explain the circumstances orally and/or in writing within 7 calendar days if the employee feels the action is unwarranted - weigh carefully the facts and the employee's explanation, and - if convinced that an admonishment is still in order, so advise the employee, including ways in which he/she can improve. o Admonishments are to be noted on an attachment to the supervisor's Record of Employees, DIA Form 309, but will not be made part of the employee's official personnel folder.

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TYPE OF ACTION	DESCRIPTION
Oral Admonishment (Cont'd)	<ul style="list-style-type: none"> o If at any time after an admonishment, the supervisor considers that the employee's conduct problems have cleared up, the employee will be so advised and the notation on the DIA Form 309 amended or expunged.
Letter of Instruction	<ul style="list-style-type: none"> o A written communication with an employee on the subject of the employee's conduct as in the oral admonishment. The letter of instruction may be used instead of the oral admonishment or to confirm it. o Letters of Instruction should place particular emphasis on specific steps the employee can take to improve the employee's behavior. o All actions described under Oral Admonishment apply to Letters of Instruction, except that the employee does not have an opportunity to respond.
Official Reprimand	<ul style="list-style-type: none"> o A formal letter to an employee on the subject of significant misconduct, or repeated infractions of a lesser nature. Official Reprimands are temporary records that are filed in the official personnel folder. (For purposes of subsequent disciplinary action, an official reprimand is equated in severity with suspension.) o An official reprimand is recommended by the immediate supervisor to the appropriate operating official, who will thoroughly investigate the matter. If justified, the letter of official reprimand will be prepared by the operating official. It will include a full exposition of the misconduct and notice that the employee may reply in writing and/or in person if he/she feels the reprimand is unwarranted. The employee will also be informed that unless the penalty is reduced, the reprimand will remain in the

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TYPE OF ACTION	DESCRIPTION
Official Reprimand (Cont'd)	employee's official personnel folder for up to 3 years along with the employee's reply. After reviewing the employee's reply, the operating official may withdraw or sustain the reprimand. The supervisor will make appropriate notations on the DIA Form 309.
Suspension	<ul style="list-style-type: none"> o Temporary enforced absence from duty in a non-pay status, which may be imposed for significant misconduct or repeated infractions of a lesser nature. Among factors which may have a bearing on whether to invoke this severe penalty are the: <ul style="list-style-type: none"> - number of previous repetitions of the offense - seriousness of the offense - overall or long-range effect of the penalty as well as its immediate effect - effect of the penalty on the employee and on other employees - effect on handling the workload - penalties imposed for comparable offenses DIA-wide - penalty requirements of law or regulation. o Adverse action procedures must be followed.

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TYPE OF ACTION	DESCRIPTION
Removal	<ul style="list-style-type: none"> o The most severe adverse action. The facts and circumstances must be analyzed carefully and must support the conclusion that the employee has clearly demonstrated his/her unwillingness or refusal to conform to the rules of conduct. Normally, a progression of disciplinary measures will have been applied in an effort to rehabilitate the employee before it is decided to remove him/her. However, some violations are so flagrant or serious as to warrant removal even for a first offense. o Adverse action procedures must be followed.

In choosing the most appropriate form of discipline to apply, a supervisor should bear these considerations in mind:

- o Reasonableness. A disciplinary action demands the exercise of judgment so that an employee will not be penalized out of proportion to the character of the offense. A primary criterion should be the previous record of service and work history of the employee.
- o Degree. The least severe penalty which, in the judgment of the operating official, will accomplish the desired corrective action, will be taken.
- o Repetition. The previous commission of related or unrelated offenses will have a bearing on the choice of action.
- o Mitigation. Any enticement or provocation, the grade and nature of the employee's position, the gravity of the offense and whether or not the disciplinary action accords with justice in the particular situation will be carefully considered.
- o Constructiveness. The extent to which the penalty will serve as an example to other employees, the opportunity for rehabilitation of the employee concerned and the possible effect on production will be taken into account.

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- o **Correctiveness.** The aim of disciplinary action will be directed toward correcting and improving behavior rather than punishment.
- o **Consistency.** To assure equitable and uniform treatment for all employees, the principle of "like penalties for like offenses" will be followed. (The Civilian Personnel Office, whose records indicate the history and circumstances of infractions throughout DIA, will provide guidance.)

Effecting Adverse Actions

All adverse actions must adhere to certain procedural requirements. A number of court decisions have emphasized the importance of strict compliance by a Federal agency with its own regulations in taking such actions. An employee cannot waive his/her rights granted by law or regulation. Generally, the procedures require advance notice, right to reply, and notice of final decision. The applicability of a specific procedure depends on the personnel action being taken, the type of appointment held by the employee, the existence or completion of a trial period, and the employee's entitlement to veteran's preference. To avoid costly procedural errors, supervisors should seek the guidance of RHR when considering taking an adverse action.

**OFFICIAL GUIDANCE: DIAR 22-6, Conduct of Employees
DIAR 22-7, Adverse Actions**

CHAPTER 5: MANAGING EMPLOYEE PERFORMANCE AND CONDUCT
UNIT 5: EMPLOYEE GRIEVANCE AND APPEAL PROCEDURES

INTRODUCTION

DIA employees' rights are provided for and protected by Federal statutes, OPM regulations, and DIA policies and procedures. Supervisory decisions may be subject to review, within and outside DIA, under mechanisms established by all these authorities.

As supervisor, you need to understand the several procedures by which DIA employees can air complaints or contest personnel actions, your role in each, and how that role differs in the various procedures. In every instance, assistance is available from RHR. On receiving a complaint, you should seek such assistance prior to taking any other action.

FINDING HELP

IF YOU WANT TO KNOW ABOUT....	GO TO....
o Employee grievance procedures	Page 5-33
o Appeals from adverse actions	Page 5-33

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UNIT 5: EMPLOYEE GRIEVANCE AND APPEAL PROCEDURES

Employee Grievance Procedures

Supervisors/managers are responsible for:

- o ensuring that grievance procedures (DIAR 22-12) are available to employees
- o being aware of employee concerns and dissatisfaction
- o taking prompt action to resolve problems within the supervisor's control before they become grievances
- o accepting grievances and attempting to resolve them promptly and objectively
- o rejecting grievances at the earliest possible step when they do not meet established criteria
- o consulting with any parties to the grievance or anyone who might aid in its resolution
- o following thorough on grievances in accordance with the procedures and times outlined in DIAR 22-12
- o putting required changes into effect when a grievance is upheld.

Appeals from Adverse Actions

An employee who wishes to seek reconsideration of a decision to take adverse action against him/her has certain rights of appeal, designed to insure that both employee and management points of view receive full and objective consideration. The only adverse actions covered by the appeal processes described below are:

- o discharge for cause
- o suspensions for more than 30 days
- o furlough without pay for 30 days or less, and
- o reduction in grade or pay.

An employee has the right to be accompanied, represented and advised by a representative of his/her choice. An appeal may be submitted by the employee or the representative. Appellants, their representatives and witnesses will be free from restraint, interference, coercion, discrimination, or reprisal. They will be allowed a reasonable amount of official time, normally not to exceed 3 working days to prepare the appeal. Official time and/or annual leave needed in excess of this will be at the discretion of management.

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Sometimes an appellant will make a timely allegation in writing that an adverse action was based on discrimination because of race, age, creed, sex, color, religion, national origin, or handicapping condition. The employee must be informed by DIA of the right to proceed either under the above appeal procedure or under Equal Employment Opportunity appeal procedures and of the scope of review provided in each. The employee must elect which avenue to pursue.

OFFICIAL GUIDANCE: DIAR 22-12, Employee Grievance System
DIAR 22-21, Employee and Management Relations
DIAR 22-7, Adverse Actions

**DEFENSE INTELLIGENCE AGENCY
REGULATION NO. 22-7**

**HEADQUARTERS, DEFENSE
INTELLIGENCE AGENCY
WASHINGTON DC 20340
7 April 1986**

CIVILIAN PERSONNEL

Adverse Actions

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OPR: RHR-1

DIAR 22-7

Section A

**Purpose, Definitions, Policy,
Authorities, and Responsibilities**

1. Purpose: To establish policy and procedures for the suspension, removal, termination, reduction in grade or pay and furlough for 30 days or less of civilian employees.

2. References:

- a. Title 5, United States Code, Chapter 75.
- b. Title 10, United States Code, Chapter 83.
- c. Veterans' Preference Act of 1944, as amended.
- d. DoD Directive 5105.21, "Defense Intelligence Agency," 19 May 1977.
- e. Executive Order 10450, 27 April 1943, as amended.
- f. DoD 5200.2-R, "Personnel Security Program," December 1979.
- g. Director of Central Intelligence Directive (DCID) 1/14.

3. Applicability: This regulation applies to all U.S. civilian employees of the Defense Intelligence Agency (DIA). Specific adverse actions procedures for Defense Intelligence Senior Executive Service (DISES) employees supplement this regulation and are published in DIA Manual 22-33. Trial period terminations are covered in DIA Regulation 22-31.

4. Supersession: This regulation supersedes DIAR 22-7, 12 February 1980 and DIA Regulation 22-17, "Appeals From Adverse Actions," 15 August 1975. Because changes are extensive, black lines in the margins, indicating changes, have been omitted.

5. Definitions:

- a. "Employee"—an individual in the excepted service who is not serving a trial period under an initial appointment or who has completed 1 year of current continuous service under other than a temporary appointment limited to 1 year or less.
- b. "Preference eligible"—an individual meeting the criteria of 5 U.S.C. 2108 who is entitled to certain employment and/or retention considerations.
- c. "Suspension"—the placing of an employee, for disciplinary reasons, in a temporary status without duties and pay.
- d. "Grade"—a level of classification under a position classification system.
- e. "Pay"—the rate of basic pay fixed by law or administrative action for the position held by an employee.
- f. "Furlough"—the placing of an employee in a temporary status without duties and pay because of lack of work or funds or other nondisciplinary reasons.
- g. "Day"—means calendar day.
- h. "Adverse action"—means a removal, suspension, reduction in grade, reduction in pay or a furlough of 30 day or less. It does not include a reduction-in-force action under DIA Regulation 22-24, "Reduction in Force."

6. Policy:

a. *Employment and Access*—No person shall be employed in, detailed to, or assigned to the Defense Intelligence Agency, or continue to be so employed, detailed or assigned, and no person so employed, detailed, or assigned shall have access to any classified information unless such employment, detail, assignment, or access to classified information is clearly consistent with the national security.

b. *Employment Suitability and Clearance Standards*—The employment standards of Executive Order 10450, as amended, and clearance standards of DoD 5200.2-R and DCID 1/14 shall be used as a basis for employment suitability and access determinations in the Defense Intelligence Agency.

c. *Employment Pending Final Determination*—Nothing contained herein limits or affects the responsibility and authority of the DIA to reassign or detail persons to temporary positions where access to classified information is limited or suspended pending final determination of employability or eligibility for access to classified information.

7. Authorities: The authority to remove, suspend, furlough, or reduce an employee's grade or pay is inherent in the DIA appointing authority. The DIA may take actions covered in Sections B and C of this regulation only for such cause as will promote the efficiency of the service. Actions covered by Section D may be taken only when the action is considered to be in the interests of national security or, in the interests of the United States and when the procedure prescribed in Section C of this regulation cannot be invoked consistent with the national security. Unless extended by the Congress, authority to take action under 10 U.S.C. 1604(e) expires on 30 September 1986.

8. Responsibilities:

a. *Supervisors and Directorate Management Officials*—in the exercise of their normal supervisory and managerial duties—are responsible for maintaining order, discipline, and high standards of work performance and employee conduct within their organizational elements. Accordingly, they are responsible for initiating corrective action when an employee's work performance or on-the-job conduct falls below established Agency standards. Such action may include closer supervision, letters of instruction, counseling, training, and oral admonishments or written reprimands (see DIAR 22-6, "Conduct of Employees"). When corrective action of this type fails or the employee's conduct or work performance requires a more severe action, it may be necessary to process a personnel action, such as suspension or removal. In no instance may disciplinary or adverse actions of suspension, removal, furlough, or reduction in grade or pay, as discussed herein and in DIAR 22-6, be initiated without the prior consultation of the personnel representative assigned by the Directorate for Human Resources.

b. *The Assistant Deputy Director for Human Resources (RHR)*—has the general responsibility and

authority for reviewing, processing, and record-keeping of all personnel actions related to both on-the-job and off-the-job offenses. With regard to actions taken on behalf of the DIA which are based on investigative reports and/or other derogatory material developed or obtained by the Assistant Deputy Director for Security and Counterintelligence (OS), the DIA Inspector General (IG) or the DIA General Counsel (GC), the Assistant Deputy Director for Human Resources or his/her designee is responsible for:

- (1) Considering the facts.
- (2) Performing or requesting additional investigation required to make a sound judgment.
- (3) Proposing an appropriate action to be taken.
- (4) Preparing the advance notice, if required.
- (5) Forwarding the total case file through the chain of command to the Command Element for decision.

c. *Management*—responsibilities for final decisions on proposed adverse actions are stipulated by separate paragraphs in Sections B through D of this regulation.

Section B

Suspension for 14 Days or Less

9. Coverage: All DIA employees who are not serving a trial period under an initial appointment or who have completed 1 year of current continuous employment in the same or similar positions under other than a temporary appointment limited to 1 year or less.

10. Exclusions: This section does not apply to Experts and Consultants or reemployed Federal annuitants, nor does it apply to suspensions taken in the interest of national security (5 U.S.C. 7532), which are covered in Section D of this regulation.

11. Standard for Action: The DIA may suspend an employee for 14 days or less for such cause as will promote the efficiency of the service.

12. Employee Entitlements:

a. An advance written notice stating the specific reasons for the proposed action. The minimum notice is a 24-hour notice.

b. A reasonable time to answer orally and in writing and to furnish affidavits or other documentary evidence in support of the answer. In no case will the time to answer be less than 24 hours from receipt of notice.

c. Be represented by an attorney (not at Government expense) or other representative.

d. A written decision and the specific reasons therefor at the earliest practicable date.

13. Procedures:

a. *Notice of Proposed action*—The notice shall be prepared by a management official or supervisor subordinate to an official designated in d., below. The notice shall contain a statement of reasons for taking suspension action in accordance with enclosure 2 and shall inform the employee of his/her right to

review the supporting material. Additionally, the notice may include but is not limited to:

(1) The name of the person or organization to whom employee's response is to be addressed.

(2) Date response is to be submitted by employee.

(3) Amount of official time authorized for preparation of employee response. Normally, up to 4 hours of official time will be granted.

b. *Employee's Response*—An official listed in d., below, or his/her designated representative, shall hear the employee's reply on a proposed suspension. The principal points of an oral reply will be recorded. The official to whom the reply is made will consider all facts presented by the employee either verbally or in writing and will determine whether the proposed suspension should stand, be modified, or withdrawn.

c. *Representation*—An employee may be represented by an attorney (not at Government expense) or other representative. The employee must designate the name of the representative in writing. The DIA may disallow as an employee's representative:

(1) Any individual whose activities as a representative would cause a conflict of interest.

(2) An individual whose release from his/her official position would give rise to unreasonable cost to the Government or whose priority work assignment preclude his/her release.

(3) Any individual who does not possess appropriate security clearance. (DIA will not initiate security clearance action solely for the purpose of employee representation.)

d. *Suspension Decision*—Assistant Deputy Directors, Deputy Directors, Chiefs of Special Offices, the Executive Director, Deputy Director and Director, DIA, are designated to sign letters of final decision for notices issued at one level below. In arriving at a decision, the decisionmaker shall consider only the reasons specified in the notice of proposed suspension and any response of the employee or his/her representative. The suspension decision must be made with respect to the accuracy of each reason and whether or not those found valid reasonably support the proposed action. The affected employee will be furnished with a written final decision and the reasons therefor at the earliest practicable date. A copy of final adverse action decisions will be forwarded to OS-3 for possible inclusion in the individual's security dossier.

e. *Appeal Rights*—An employee may, within 7 days, appeal to an official listed at enclosure 1 who is one level higher than the deciding official in his/her chain-of-command for a final review.

(1) The appeal must:

(a) Be in writing.

(b) State the reason(s) for the review.

(c) State the remedy sought.

(d) Include any available evidence, documents or written statements that the employee decides to offer in support of the appeal.

(2) The appellate official may assign an employee to act as a factfinder and to make a recommendation

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or, he/she may act on the petition as submitted. A written decision will be issued within 15 days of the receipt of the appeal. This will be the final DIA decision which is not subject to further administrative appeal, review, or processing under the DIA Employee Grievance System.

(3) In cases where one of the Deputy Directors for, a Chief of Special Office, or member of the Command Element is the original deciding official on a suspension, the Director, DIA will render a final review according to (1) and (2) above.

f. *Effective Dates*—A suspension of 14 days or less will be effective the day after the employee receives written notice of final decision unless the letter of final decision states otherwise. In no case will the suspension be effected prior to the close of any notice period stipulated in this section or the notice period specified in the letter of proposed suspension.

g. *DIA Records*—Copies of the following will be maintained by the Directorate for Human Resources in accordance with General Records Schedule 1, item 31.b., and furnished to the affected employee upon his/her request:

- (1) Notice of proposed action.
- (2) Response of the employee, if written.
- (3) Summary of the employee's response if made orally.
- (4) Notice of final decision and reasons therefor.
- (5) SF-52 effecting the suspension, together with any supporting material.

Section C

Removal, Suspension for More Than 14 Days, Reduction in Grade or Pay, or Furlough of 30 Days or Less

14. Coverage: All DIA employees who are not serving a trial period under an initial appointment or who have completed 1 year of current continuous employment in the same or similar positions under other than a temporary appointment limited to 1 year or less.

15. Exclusions: This section does not apply to:

- a. A suspension or removal taken in the interest of national security.
- b. A reduction-in-force action.
- c. Expert and Consultant employees.
- d. Reemployed Federal annuitants.

16. Standard for Action: The DIA may take adverse action covered by this section only for such cause as will promote the efficiency of the service.

17. Employee Entitlements:

a. At least 30 days advance written notice of the proposed action, unless there is reasonable cause to believe the employee has committed a crime for which a sentence of imprisonment may be imposed, stating the specific reasons for the proposed action.

b. A reasonable time, but no less than 7 working days, to answer orally, in writing or both, and to furnish affidavits and other documentary evidence in support of the answer.

c. Be represented by an attorney (not at Government expense) or other representative.

d. A written decision and the specific reasons therefor at the earliest practicable date.

18. Procedures:

a. *Notice of Proposed Action*—The notice shall be prepared by a management official or supervisor subordinate to an official designated to make final adverse action decisions (enclosure 1). The notice shall contain a statement of the reasons for taking adverse action in accordance with enclosure 2 and shall inform the employee of his/her right to review the supporting material. Additionally, the notice may include but is not limited to:

(1) The name of the person or organization to whom employee's response is to be addressed.

(2) Date response is to be submitted by employee.

(3) Amount of official time authorized for preparation of employee's response.

b. *Disclosure of Material*—Material which cannot be disclosed to the employee, to his/her representative, or to his/her designated physician shall not be used to support the reasons in the notice.

c. *Employee's Response*—

(1) The DIA will give the employee a reasonable amount of official time to review the material relied on to support its proposal, to prepare an answer and to secure affidavits, if he/she is otherwise in a duty status.

(2) An official listed at enclosure 1, or his/her designated representative, shall hear the employee's reply on a proposed adverse action. The principal points of an oral reply will be recorded. The official to whom the reply is made will consider all facts presented by the employee either verbally or in writing and will determine whether the proposed action should stand, be modified, or be withdrawn.

d. *Exceptions*—

(1) The minimum 30 days advance written notice is not required when there is reasonable cause to believe the employee has committed a crime for which a sentence of imprisonment may be imposed. In such a case, the affected employee shall be entitled to a minimum of a combined 7 days notice and answer period.

(2) The advance written notice and opportunity to answer are not necessary for furlough without pay due to unforeseeable circumstances, such as sudden breakdowns in equipment, acts of God, or emergencies requiring immediate curtailment of activities.

e. *Representation*—An employee is entitled to be represented by an attorney (not at Government expense) or other representative. The employee must designate the name of the representative in writing. DIA may disallow as an employee's representative:

(1) An individual whose activities as a representative would cause a conflict of interest.

(2) An individual who cannot be released from official duties because of priority needs of Government.

(3) An employee whose release would give rise to unreasonable costs to the Government.

(4) Any person who does not possess appropriate security clearance. (DIA will not initiate security clearance action solely for the purpose of employee representation.)

f. *Status of Affected Employees*—During the notice period, affected employees will remain assigned to their regular jobs in a pay status unless the employee's presence at the worksite could be injurious to the employee or other individuals, or could result in loss of or damage to Government property, or could otherwise jeopardize legitimate Government interests. In these circumstances the employee may be:

(1) Assigned to temporary duties where he/she is not a threat to safety, Government property, or the DIA mission.

(2) Placed on leave with his/her consent.

(3) Placed on involuntary sick or other leave when he or she is physically or mentally incapacitated for duty.

(4) Carried on appropriate leave (annual, sick, LWOP) or AWOL if he or she has absented himself or herself for reasons not originating with the DIA. If none of the preceding alternatives is available, then the DIA may place the affected employee in a paid, nonduty status during all or part of the advance notice period.

g. *Adverse Action Decisions*—The individuals listed at enclosure 1 are designated to sign letters of final decision. In arriving at a decision, the decisionmaker shall consider only the reasons specified in the notice of proposed adverse action, its properly executed amendments (if any) and the response of the affected employee or that of his/her representative. Furthermore, the decision must be made with respect to the accuracy of each reason and whether or not those found valid reasonably support the proposed action. The affected employee will be furnished with a written final decision and reasons therefor at the earliest practicable date.

h. *Appeal Rights*—

(1) Preference eligible employees may appeal Section C adverse actions to the Merit Systems Protection Board (MSPB). As part of the decision notice, the employee shall be provided:

(a) Notice of the time limits for appealing to the MSPB and the address of the appropriate Board office for filing the appeal.

(b) A copy of the Board's regulations.

(c) A copy of the appeal form (Optional Form 283).

(d) Notice that DIAR 22-12 "Employee Grievance System" does not apply. Under established rules, the DIA has 15 days from date of receipt of request from the appropriate MSPB

Field Office to provide the case record in Federal employee appeals or the MSPB will decide cases without it.

(2) Nonpreference eligible employees may appeal Section C adverse actions under DIAR 22-12.

i. *Effective Dates*—An adverse action will be effective the day after the employee receives written notice of final decision unless the letter of final decision states otherwise. In no case will an adverse action be effected prior to the close of any notice period stipulated in this section or the notice period specified in the letter of proposed adverse action. A copy of the final adverse action decision will be forwarded to Security Programs Division (OS-3) for possible inclusion in the individual's security dossier.

j. *DIA Records*—Copies of the following will be maintained by the Directorate for Human Resources in accordance with General Records Schedule 1, item 31.b., and furnished to the affected employee upon his/her request:

(1) Notice of proposed action.

(2) Response of the employee, if written.

(3) Summary of the employee's response if made orally.

(4) Notice of final decision and reasons therefor.

(5) SF-52 effecting the adverse action together with any supporting material.

k. *DIA Representation*—The General Counsel, DIA shall represent the DIA on all appeals before the MSPB.

Section D

Suspension and Termination for Reasons of National Security and Termination in the Interests of the United States

19. **General:** This section prescribes rules and procedures governing:

a. Actions to suspend and/or terminate the employment of civilian personnel of the DIA for reasons of national security, and

b. Action to terminate the employment of civilian personnel of the DIA for reasons of unacceptable conduct and/or performance when in the interests of the United States and when other provisions of law that authorize termination of employment cannot be invoked in a manner consistent with the national security.

Adverse actions for reasons and/or under conditions other than those described above are governed by and shall be processed in accordance with Sections B and C of this regulation, as appropriate.

20. **Use of Suspension and Removal Authorities:**

a. The use of suspension and removal procedures authorized by 5 U.S.C. 7532 shall be limited to cases involving a threat to national security.

b. Termination procedures prescribed in 10 U.S.C. 1604(e) will be invoked only when termination or removal from employment cannot, because of paramount national security interest, be effected under

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Section C of this regulation, DIAR 22-31, "Trial Periods," or under any other provisions of law.

21. Suspension Under 5 U.S.C. 7532:

a. 5 U.S.C. 7532 authorizes the Secretary of Defense to summarily suspend, without pay, any civilian employee when such action is deemed necessary in the interests of national security. This authority to suspend has been delegated to the Director, DIA, by DoD Directive 5105.21 (reference d.).

b. Prior to preparation of a letter of charges covering a proposed suspension action, the DIA shall consult with the General Counsel of the Department of Defense.

c. An employee who has been suspended under 5 U.S.C. 7532 and whose termination under that section is proposed, will be granted procedural benefits as follows:

(1) All suspensions will be for an indefinite period, that is, "until further notice."

(2) The 30-day time limit specified in 5 U.S.C. 7532 will be construed to mean calendar days.

(3) To the extent that the Director, DIA, determines that the interests of the national security permit, the employee concerned shall be notified of the reasons for his/her suspension. If it is determined that a statement can be given to the employee, the statement shall include all information except that which will reveal classified security information or material, investigative methods, or the identity of confidential informants.

(4) Within 30 days after the notification, the suspended employee is entitled to submit statements or affidavits to the Director, DIA, to show why he/she should be restored to duty.

22. Termination Under 5 U.S.C. 7532:

a. An employee may be terminated under 5 U.S.C. 7532 only by the Secretary of Defense.

b. After a person's suspension, and before termination, a permanent employee (excepted appointment without time limitation) who is a U.S. citizen is entitled to:

(1) A written statement of the charges against him/her within 30 days after suspension, which may be amended within 30 days thereafter and which shall be stated as specifically as security considerations permit.

(2) An opportunity within 30 days thereafter, plus an additional 30 days if the charges are amended, to answer the charges and submit affidavits.

(3) A hearing, at the request of the employee.

(4) A review of his/her case by the Secretary of Defense or his/her designee, before a decision adverse to the employee is made final.

(5) A written statement of the decision of the Secretary of Defense.

c. The decision of the Secretary of Defense is final.

23. Termination Under 10 U.S.C. 1604(e):

a. 10 U.S.C. 1604(e) authorizes the Secretary of Defense to terminate the employment of any civilian officer or employee of the DIA whenever:

(1) He/she considers that action to be in the interests of the United States; and

(2) He/she determines that the procedures prescribed in other provisions of law that authorize the termination of employment of that officer or employee cannot be invoked in a manner consistent with the national security.

Authority to terminate employment under 10 U.S.C. 1604(e) has been delegated to the Director, DIA, by the Secretary of Defense as provided in SecDef memorandum, 16 January 1986, subject: Delegation of Authority to Implement Section 501(a) of Public Law 98-618.

b. The DIA shall:

(1) Consult with the General Counsel of the Department of Defense, prior to preparation of a letter of charges proposing termination of employment pursuant to 10 U.S.C. 1604(e).

(2) Subsequent to issuing a termination of employment decision, promptly notify the Permanent Select Committee on Intelligence of the House of Representatives and the Select Committee on Intelligence of the Senate, through the Office of the Secretary of Defense, that this termination authority has been exercised.

c. Before terminating a person's employment under 10 U.S.C. 1604(e) the individual is entitled to:

(1) A written statement of the charges against him/her which shall be stated as specifically as security considerations permit.

(2) An opportunity to respond to the charges and submit affidavits. Unless unusual circumstances prevail, the employee will be entitled to a minimum of 7 days to respond orally, in writing, or both.

(3) To the extent that the DIA determines that the interests of the national security permit, the employee concerned shall be given an opportunity to review the evidence and/or other material relied upon to support the charges.

(4) A written decision of the Director, DIA, at the earliest practicable date.

d. Within 7 days of receipt, adverse decisions of the Director, DIA, are appealable to the Secretary of Defense. Appeals shall be in writing, addressed to the General Counsel of the Department of Defense and contain at a minimum, the following information:

(1) Name and current mailing address of the appellant.

(2) Copy of the decision letter.

(3) Statements or affidavits to show why the appellant should be reemployed.

e. Appeal decisions of the Secretary of Defense are final and may not be appealed or reviewed outside the

Department of Defense.

f. Any termination of employment under 10 U.S.C. 1604(e) shall not affect the right of the person involved to seek or accept employment with any other department or agency of the United States if he/she is declared eligible for such employment by the Director of the Office of Personnel Management (OPM).

FOR THE DIRECTOR:

OFFICIAL:

[Redacted Signature]

Executive Director

STAT

[Redacted Signature]

Chief, Publication and Presentation Division

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2 Enclosures

- 1. Officials Designated to Sign Section C Decisions and Notices and to Decide Appeals of Section B Decisions
- 2. Cause and Statement of Reasons to Support Adverse Action

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**OFFICIALS DESIGNATED TO SIGN SECTION C
DECISIONS AND NOTICES AND TO DECIDE APPEALS OF
SECTION B DECISIONS**

1. The following DIA personnel are designated to sign letters of final decision in cases of adverse action governed by Section C of this regulation whenever such action is based on an employee's job performance, conduct, or suitability, or for other reasons within the scope of their management responsibilities.

Director
Deputy Director
Executive Director
Deputy Director for Resources and Systems
Deputy Director for Foreign Intelligence
Deputy Director for Operations, Plans, and Training

Deputy Director for JCS Support
Deputy Director for External Relations
Inspector General
General Counsel
Chief, General Defense Intelligence Programs Staff

2. Notices of proposed adverse action shall be signed at a lower supervisory or managerial level (except where the action is initiated by the Director, DIA), and by the Assistant Deputy Director for Human Resources for actions proposed on behalf of the DIA.

3. Officials signing notices of proposed adverse action or letters of final decision are responsible for *prior* coordination of the action with the Directorate for Human Resources (RHR), determining the appropriateness of the action, and complying with all legal and regulatory requirements.

ENCLOSURE 1

**CAUSE
AND
STATEMENT OF REASONS
TO SUPPORT ADVERSE ACTION**

1. In general, adverse action is taken for cause, and by law, "only for such cause as will promote the efficiency of the service." A cause for adverse action rests upon the DIA's determination that an unfavorable personnel action (i.e. suspension, reduction in grade or pay, furlough for 30 days or less, or removal) is necessary in the terms of the employee-employer relationship.

2. Some causes for adverse action have been specified by law, executive order, or regulation. These include but are not limited to:

(a) Physical or mental unfitness for the position to which assigned.

(b) Criminal, infamous, dishonest, immoral, or notoriously disgraceful conduct on or off duty.

(c) Intention false statements or deception or fraud in initial or subsequent appointments.

(d) Habitual use of intoxicating beverages to excess.

(e) Abuse of narcotics, drugs, or other controlled substances.

(f) Reasonable doubt as to the loyalty of the person involved to the Government of the United States.

(g) Previous dismissal from employment for delinquency or misconduct.

(h) Any legal or other disqualification which makes the applicant unfit for Federal service.

(i) Any behavior, activities, or associations which tend to show that the individual is not reliable or trustworthy.

Other, obviously improper, adverse actions have been *prohibited* by law, executive order or regulation (for example, actions which are based on racial, religious or age discrimination; and actions taken as a reprisal for disclosure of information concerning a violation of law or regulation, mismanagement, gross waste of funds or a substantial and specific danger to public health or safety). Between required actions and prohibited actions, what constitutes proper and valid

cause is essentially for DIA management to decide.

3. Having an identifiable cause is not by itself enough to warrant adverse action. The DIA must base any action on its conclusions that the action is warranted and reasonable in terms of the circumstances which prompted it, and that it can establish enough releasable evidence concerning the facts which support the reasons for action. Generally, the DIA's evidence must meet the standard of "preponderance of the evidence" which is defined as "evidence that a reasonable person would accept as sufficient to find a contested fact more probably true than untrue." Furthermore, the DIA must be in a position to show how or explain why it believes the proposed action will promote the efficiency of the service. In a misconduct case this usually means establishing a reasonable connection between either the misconduct and its effect on the ability of the employee to perform job tasks effectively or the misconduct and the DIA's ability to accomplish its mission effectively.

4. Reasons (or charges) supporting adverse action are statements of what the employee did that was wrong. Ordinarily, it is preferable to specify reasons without using legal terms. If legal terms such as "grand larceny," "theft," or "gross negligence" are used, the DIA may have to prove *all* the elements necessary to establish that a crime has been committed, including felonious intent. Accordingly, terms such as "dishonest conduct" vice "theft" or "failure to follow instructions" vice "insubordination" are preferred. Avoid ambiguity; reasons should be specific with regard to dates, times, places, activities, and other facts or circumstances as appropriate.

5. Finally, reasons for adverse action must be supported by material which can be released (disclosed) to the employee, his or her representative, or a designated physician. The DIA may not use material to support reasons in the notice which would violate a pledge of confidence, if disclosed, or any material which is restricted or classified.

ENCLOSURE 2

CHAPTER 6: HOURS OF WORK, ATTENDANCE, AND LEAVE

OVERVIEW As a supervisor, you have the major ongoing responsibility for the administration and management of staff time and duty status. In order to fulfill these responsibilities, you need to:

- o Understand the limitations that are set by law and DIA regulations on your authority to establish work schedules, control absences, and make assignments
 - o Know about required forms and procedures, and
 - o Recognize related responsibilities for qualitative management of these essentially quantitative areas of personnel management.
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CHAPTER 6 CONTENTS

Chapter 6 contains two units, which present information on the following:

- o Unit 1: Hours of Work
 - Scheduling working hours
 - Fair Labor Standards Act (FLSA)
 - Special duty
 - Hazardous weather/environment dismissals
 - o Unit 2: Leave Administration
 - Leave policy and supervisory/managerial responsibilities
 - Attendance as an indication of deeper problems
 - Using various types of leave
 - Time and attendance certification
-

CHAPTER 6: HOURS OF WORK, ATTENDANCE, AND LEAVE
UNIT 1: HOURS OF WORK

INTRODUCTION

The basic workweek for U.S. civilian full-time employees of DIA is 40 hours, consisting of five 8-hour days, Monday through Friday from 0830 through 1700 with a 30-minute lunch period. There are, however, a variety of possible deviations from this schedule with which supervisors need to be familiar in order to deal with special situations such as emergency workloads. Some of these deviations, such as overtime, have compensation implications, and supervisors should be aware of possible alternative ways of dealing with unusual workloads.

FINDING HELP

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o Fair Labor Standards Act (FLSA)	Page 6-5
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CHAPTER 6: HOURS OF WORK, ATTENDANCE, AND LEAVE
UNIT 1: HOURS OF WORK

Scheduling Working Hours

The basic workweek for all U.S. civilian employees of DIA, apart from experts and consultants, is 40 hours, consisting of five 8-hour days, Monday through Friday, from 0830 to 1700 hours with a 30-minute lunch period. Minor deviations (i.e., beginning each 8-hour day within the period 0700 to 0930 and ending it between 1530 to 1800) are considered normal tours of duty. Any change in normal duty hours that affects 50 or more employees must be submitted to the Civilian Personnel Office at least 90 days in advance of the proposed effective date for approval.

When conditions require, the weekly 40-hour tour of duty may be scheduled to include Saturday and Sunday or may be scheduled over fewer than 5 days or not more than 6 days beginning at 0001 on Sunday and extending through 2400 hours on Saturday. Reasons for an uncommon or irregular tour of duty together with a schedule for the tour will be submitted to the CPO for approval at least 5 calendar days prior to implementation. Such deviations will generally be authorized only where the service provided is required on a continuing around-the-clock basis or must be performed outside regular working hours. It is highly desirable for all changes in work schedules to be explained personally to employees concerned. Employees should be given an opportunity to discuss problems that may result with supervisors, who should consider the hardship and try to accommodate bona fide needs.

SCHEDULING PRINCIPLES

- o Whenever possible, 2 consecutive days off will be provided in each workweek. As a minimum, one regular day off, preferably Sunday, will be provided.
- o Nonworking days should be staggered when it is necessary to provide 6- or 7-day coverage.
- o The tour for each full-time employee will cover a minimum of 40 hours.
- o So far as practicable, the daily tour of duty should be established in full hours. When fractional hours are required, the tour will be expressed in full hours and quarter-hour multiples.
- o The daily tour will be scheduled during the same hours each day (unless this will seriously disrupt operations or increase costs).
- o No breaks in working hours in excess of 1 hour should be scheduled.

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SCHEDULING PRINCIPLES

- o When changes in duty tours are necessary, as much advance notice as possible will be given the employee. (Unless prevented by circumstances, tours will be scheduled in advance over periods of not less than one week.)
- o Frequent schedule changes and fluctuations between day and night work should be avoided. Employees should remain on the same shift for at least 2 weeks.
- o RHR may authorize a rescheduling of the regular workweek on the written recommendation by operating elements to allow employees to take courses in educational institutions, when the rearrangement does not appreciably interfere with the work to be accomplished. No premium pay or other personnel costs will be incurred solely because of the rescheduling. While the courses need not be directly related to DIA's work, they should help to equip the employee for more effective work in DIA. (Government-sponsored training is taken on official time and does not require tour of duty rescheduling.)
- o As far as possible, official travel should be scheduled during duty hours.

LUNCH PERIODS

- o The authorized lunch period is 30 minutes.
- o Where one or two shifts are in operation, time for lunch will be scheduled apart from the tours of duty.
- o In functions operating with three 8-hour shifts and an overlap to permit a 30-minute lunch break per shift is impossible, a lunch break of 20 minutes or less may be counted as time worked, if workers spend the break near their work stations. If the work schedule does not include the lunch period or if more than 20 minutes is taken off, the time spent at lunch is not compensable.

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LUNCH PERIODS (Cont'd)

- o Lunch periods during periods of overtime work are not counted as part of the tour and are not compensated.

Fair Labor Standards Act (FLSA)

When considering the authorization of overtime work, supervisors need to be cognizant of the coverage of the Fair Labor Standards Act, which governs hours of work and compensation for work performed during overtime for certain types of employees. Employees are classified as exempt or non-exempt depending on whether or not they are covered by FLSA. The two categories are treated somewhat differently in respect to overtime compensation.

Generally, exempt employees include executive, supervisory, administrative and professional employees, plus locality rate foremen. Non-exempt employees include secretaries, clerical, and other non-supervisory employees.

Exempt employees:

- o receive overtime compensation for hours in excess of 40 per week or 8 per day during the administrative work week (0001 hours on Sunday through 2400 hours on Saturday)
- o may be compensated for irregular or occasional overtime unless compensatory time in lieu of pay is authorized
- o are generally paid overtime at 150 percent of basic pay rate; however,
 - a non-wage board employee whose rate of basic compensation is at the maximum rate for GS-15 is not eligible for overtime pay or compensatory time
 - an exempt employee cannot be paid at a rate which causes the employee's aggregate pay rate for any pay period to exceed the maximum rate for GS-15, nor can he/she be given a rate of overtime pay which exceeds the overtime rate payable to an employee in GS-10, Step 1.
- o at the discretion of management may be granted paid overtime during a period in which annual leave is taken.

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Non-exempt employees shall be compensated for every minute of regular overtime work. A quarter of an hour shall be the largest fraction of an hour used for crediting irregular or occasional overtime work. When irregular or occasional overtime work is performed in other than the full fraction, odd minutes shall be rounded up or down to the nearest full fraction of an hour used to credit overtime work.

An employee's position description carries a notation as to whether he/she is exempt or non-exempt.

Special Duty

All DIA employees are subject to remaining available on a 24-hour basis for recall to duty to work regular and irregular overtime, and to work uncommon tours of duty when required.

1. Standby Duty

An employee performs standby duty if he/she is officially ordered to remain at or within the confines of his/her duty station, not performing actual work but remaining in readiness to perform actual work should the need arise. An employee is entitled to overtime compensation or compensatory time off for standby duty when performed outside of his/her regular scheduled tour of duty.

2. On Call Duty

On call duty consists of periodic on call assignments established by an operating element on a rotating basis. Such an assignment requires an employee to be on call for emergencies by being near a telephone where he/she can be contacted. On call duty is not a part of the administrative workweek and an employee is not entitled to receive overtime or compensatory time off for on call duty unless he/she is required to return to his/her place of employment.

3. Night Duty

Night duty is regularly scheduled work (not overtime) performed between 1800 and 0600 hours. Such duty will be kept to a minimum, but circumstances sometimes make it necessary. General Schedule and Wage employees are treated differently in regard to payment of a night duty differential.

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- o For General Schedule employees, the night differential is 10 percent of the basic rate of compensation. This rate applies to the actual number of hours of night work during a tour of duty. To qualify for a night differential, the tour of duty must be scheduled at least one week in advance and must include night periods on at least 1 day of the two or more workweeks involved.
- o the night shift differential for Wage employees will be paid in accordance with the current approved locality wage schedule. When half or more of an employee's regularly scheduled shift falls between the hours of 1800 and 0600, he/she will be paid the night differential for the entire shift.

When daylight saving time goes into effect during a scheduled shift, employees are considered on duty for the normal number of hours provided the lost hour is charged to leave. If not, pay will be allowed only for the actual hours worked. On the other hand, when standard time returns, shift employees will be paid for the actual hours worked.

4. Overtime

Each hour of work in excess of 8 hours in a day or of 40 hours in an administrative work week that is officially ordered or approved, and performed by an employee is considered overtime work. Overtime will be authorized only to the extent necessary to accomplish essential workloads created by emergencies. When possible, assistance from other parts of DIA should be obtained during normal working hours to eliminate the need for overtime.

Overtime scheduled in advance on stated days and recurring over a period of at least 2 administrative work weeks is considered regular overtime. A workweek established to include regular overtime consists of the 40-hour basic workweek, plus the overtime. The period of required overtime must be identified by calendar days and by the number of hours per day. When establishing tours of duty including regular overtime, supervisors will observe the following principles:

- o A tour of duty including regular overtime is not to extend beyond 48 hours in an administrative workweek, except under extraordinary circumstances.

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- o Regular overtime will be requested for the shortest possible period and renewed as necessary.

Overtime performed on an intermittent or occasional basis, even though scheduled in advance, is considered irregular overtime. Whenever it is impracticable to prescribe a regular schedule of definite hours of duty for each workday of an administrative workweek, the 40 hours of the basic workweek are considered the regularly scheduled workweek and all additional hours of authorized and approved duty are irregular overtime. Overtime work involving a period of less than 2 administrative workweeks is also considered irregular overtime. Use of irregular overtime must be restricted to activities where operating requirements fully justify it. Such overtime will be scheduled as far in advance as feasible.

A quarter hour is the minimum period for which overtime will be paid. Overtime of less than that will be dropped. Any unscheduled overtime performed on a day when the employee was not scheduled to work, or for which he/she is required to return to his/her place of employment, will be considered to be at least 2 hours in duration for purposes of compensation.

AUTHORIZING OVERTIME	
ACTION	DESCRIPTION
Request for Overtime	<ul style="list-style-type: none"> o The supervisor prepares DIA Form 42 (Request for Irregular Overtime), describing the requirement, giving name(s), grade(s), and salary of the employee(s), and stating the number of overtime hours requested for each employee, and its dates and times. RHR maintains a list of clerical employees who have volunteered to do overtime work outside their organization. Supervisors may use the list whenever requirements exceed their own office's overtime capability.

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AUTHORIZING OVERTIME (Cont'd)	
ACTION	DESCRIPTION
Approval of Request	o The request will be forwarded through channels to one of the following, their deputies or designated assistants, for employees within their organizational elements: Executive Director, DIA; Deputy Directors for; Defense Attaches.
Implementation	o On approval the employee(s) will be notified and the request forwarded through the immediate supervisor, for the payroll records of the appropriate timekeeper.

When official travel cannot be scheduled during normal work hours, the travel time will be considered compensable hours of work if the travel:

- o requires performance of work while traveling,
- o is carried out under arduous conditions, or
- o results from an event which could not be scheduled or controlled administratively by DIA alone or acting in concert with other Government entities, and
- o the overtime is officially ordered or approved.

When travel time outside working hours is noncompensable, the reasons for requiring such travel will be documented and filed with the employee's DIA Form 309 (Supervisor's Record of Employee). On request, the supervisor will provide the employee with a copy of the documented reasons.

5. Compensatory Time

Compensatory time in lieu of paid overtime is an amount of time off equal to the time spent in irregular or occasional overtime. Compensatory time may be taken only during the basic hours of scheduled work compensated at straight time.

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Wage employees must be given paid overtime, not compensatory time. Conversely, other employees whose rate of pay exceeds the maximum rate of GS-10 may be required to accept compensatory time in lieu of paid overtime. (In such a case, the employee will be notified of the requirement at the time the overtime is ordered.) Non-wage employees at any pay rate may request and be granted compensatory time. (The employee's initials on the time and attendance report are evidence of the request.)

Compensatory time off:

- o normally will be taken in the same pay period as the overtime was worked
- o may be delayed no longer than the close of the fourth pay period after that in which the overtime was worked.

If an employee is prevented from meeting the latter deadline through no fault of his/her own, he/she will be paid for the overtime worked. Supervisors should make every effort to permit employees to take compensatory time off in a timely manner.

6. Sunday Time

Regularly scheduled non-overtime work on a Sunday will be kept to the minimum necessary to maintain essential activities and services. Any employee whose regularly scheduled tour includes an 8-hour period of non-overtime duty of which any part falls between midnight Saturday and midnight Sunday will be paid extra at the rate of 25 percent of his/her basic hourly compensation rate for each hour of work performed during that 8-hour period.

7. Holiday Duty

Legal holidays are observed by DIA. Work on these days will not be required except under unusual circumstances or for the maintenance of essential activities and services. Approval for holiday work will be obtained as for irregular overtime. For work on a holiday, an employee will be paid an additional amount equal to his/her basic rate of pay. U.S. citizens employed by DIA overseas may be excused from work on a holiday in the local area when:

- o Federal work may not properly be performed (e.g., the building in which the employees work is closed, local transportation is discontinued), or

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- o The Defense Attache, in consultation with the Chief of Mission, has determined that U.S. employees may be excused out of respect for local custom. Such absence will not result in loss of pay or charge to leave, except that if the local holiday occurs while the employee is on leave, leave will be charged for the holiday. An employee who works during normal working hours on a local holiday is not entitled to additional compensation.

The following applies to full-time U.S. citizen employees on regular tours of duty:

OBSERVANCE OF U.S. HOLIDAYS	
IF HOLIDAY FALLS ON....	THEN....
<ul style="list-style-type: none"> o a workday o a Sunday o a Saturday 	<ul style="list-style-type: none"> o the workday will be observed as a holiday. o the following workday will be observed as a holiday. If overtime is required on the Sunday, payment will be made at overtime rates. o the immediately preceding workday will be observed as a holiday. If overtime is required on the Saturday, payment will be made at overtime rates.

The following provisions apply to full-time U.S. citizen employees eligible for excused absence for holidays, who work 40-hour weekly tours of duty consisting of other than 8 hours a day, Monday through Friday.

- o The first regular nonworkday in the employee's workweek will correspond to Sunday for holiday benefits; the second will correspond to Saturday.

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- o When an employee's basic workday covers portions of two calendar days, the entire daily tour will be regarded as falling on the day on which it starts, for the purpose of determining holiday benefits. When such a workday begins on a holiday, the entire daily tour will be regarded as falling on the holiday. When such a workday begins on the day before the holiday, on the other hand, the entire tour is regarded as falling on the day before the holiday.
- o If an employee has two daily tours of duty which start on the holiday, the supervisor will determine which will be regarded as the holiday tour; the employee will be required to work or be in a leave status for the other tour.

OBSERVANCE OF U.S. HOLIDAYS (IRREGULAR TOURS OF DUTY)	
IF HOLIDAY FALLS ON....	THEN....
<ul style="list-style-type: none"> o a workday o a Sunday and the employee's basic workweek does not include Sunday o a Saturday and the employee's basic workweek does not include Saturday o a nonworkday (Labor Day and Thanksgiving only) 	<ul style="list-style-type: none"> o the workday will be observed as a holiday. o the following workday will be observed as a holiday; if overtime is required on the Sunday, payment will be made at overtime rates. o the immediately preceding workday will be observed as a holiday; if overtime is required on the Saturday, payment will be made at overtime rates. o the following workday will be observed as a holiday; payment for any overtime work required on Labor Day or Thanksgiving will be at overtime rates.

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OBSERVANCE OF U.S. HOLIDAYS (IRREGULAR TOURS OF DUTY) (Cont'd)	
IF HOLIDAY FALLS ON....	THEN....
<ul style="list-style-type: none"> o a nonworkday other than Saturday or Sunday (for all other holidays) o a regular non-workday (other than the first) of the employee's administrative workweek) 	<ul style="list-style-type: none"> o if the employee's workweek includes Sunday and the holiday falls on the first regular nonworkday of his/her administrative workweek, his/her next basic workday will be observed as a holiday. (For this purpose, the first nonworkday of the administrative workweek has been designated as the day in lieu of Sunday. If overtime work is required on this first nonworkday, payment for such overtime will be at overtime rates. o the workday immediately preceding the regular nonworkday will be observed as his/her holiday.

Hazardous Weather/Environmental Dismissals

The Director, DIA may close an installation or office for short periods (normally not to exceed 3 consecutive workdays) when emergency conditions or other valid reasons so dictate. This authority is delegated to the Executive Director. A Defense Attache, in consultation with the Chief of Mission, may close the Defense Attache Office under like circumstances.

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When employees are prevented from working because of an authorized closure, employees with a regular tour of duty whose appointments are not limited to 90 days or less (or who have been continuously employed for 90 days or more under one or more appointments) will be excused without charge to leave or loss of pay. In situations where DIA activities are not officially closed, but it is extremely hazardous for employees to report for work due to emergencies such as climatic conditions, disasters, or the breakdown of transportation, supervisors are authorized to administratively excuse employees for tardiness of up to 2 hours without loss of pay or charge to leave, or they may require employees to use annual leave or leave without pay.

OFFICIAL GUIDANCE: DIAR 22-4, Hours of Duty

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UNIT 2: LEAVE ADMINISTRATION

INTRODUCTION

Proper time and leave administration ensures that employees' work schedules are established and performed within legal requirements. As a supervisor you may be designated as a certifying official. If designated, you are responsible for assuring the accuracy of time and attendance records for employees in your unit. You have the responsibility of ensuring adherence to applicable work schedules, and of allowing certain deviations or adjustments to the work schedule for specific purposes.

You also have general responsibilities in administration of leave and other absences, in accordance with DIA regulations. As a supervisor, you must approve or disapprove requests for leave and other absences. Effective management of employee leave gives due regard to both DIA work requirements and the concerns of individual employees.

FINDING HELP

IF YOU WANT TO KNOW ABOUT....	GO TO....
o Leave policy and supervisory/managerial responsibilities	Page 6-16
o Attendance as an indication of deeper problems	Page 6-17
o Using various types of leave	Page 6-17
o Time and attendance certification	Page 6-31

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Leave Policy and Supervisory/Managerial Responsibilities

The leave program in DIA will be administered on a uniform and equitable basis within the scope of applicable laws and regulations with due regard for the needs of DIA and the welfare of individual employees. First-line supervisors or other supervisory levels certifying time and attendance reports are authorized to approve leave of their employees except for:

- o early dismissals and excusals for hazardous weather or other emergencies
- o leave without pay in excess of 80 hours
- o advance sick leave, and
- o administrative leave in unusual situations when circumstances peculiar to an individual personnel action militate against the employee's presence on duty, and annual leave or leave without pay is not appropriate. Supervisors may also approve brief absences for certain purposes (See below).

Supervisors authorized to approve leave will, for all employees under their supervision:

- o insure that employees know how to request and use leave
- o insure that all absences are charged to leave according to regulations
- o determine what kind of leave is appropriate in given circumstances
- o schedule annual leave on a year-round basis to ensure that all employees are given an opportunity for a reasonable vacation period and to use leave they would otherwise forfeit, while avoiding interference with the unit's mission
- o request advice and assistance from RHR when there is a question concerning the type of leave to be charged in a given absence
- o report unauthorized absences to appropriate officials, and
- o review leave records periodically to detect any problems regarding leave usage.

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Supervisors are in the best position to recognize employees who are abusing leave privileges and to take effective corrective action. They are encouraged to discuss the reasons for absence with employees who are absent excessively or who appear to be abusing leave privileges. In cases of chronic offenders who fail to respond to such discussions, it may be necessary to take progressively more severe corrective action.

Attendance as an Indication of Deeper Problems

Supervisors should be aware that patterns of attendance may reveal underlying problems, and that the attendance problem will clear up if the basic problem is remedied. Heavy use of sick leave, in particular, is often a symptom of:

- o alcohol or other drug abuse (See Chapter 8, Unit 2)
- o chronic illness of which the employee may or may not be aware
- o failure to understand that sick leave is not to be used casually when the employee would like a day off
- o dissatisfaction with the job or conditions of work.

Generally, a supervisor faced with a record of high sick-leave usage on the part of one or more employees should try to get at the true problem in addition to dealing with the specific leave situation.

Using Various Types of Leave

If an employee works less than his/her basic workweek and the absence is not due to a holiday, or for a reason meeting excused absence standards (described on pp. 6-13 & 14), you must charge the employee's absence to some type of leave.

TYPE OF LEAVE	DESCRIPTION
Annual Leave	<ul style="list-style-type: none"> o A right accrued by an employee to allow for scheduled vacation periods and to provide time off for personal or emergency purposes, subject to the approval of the supervisor. o Employee remains in pay status.

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TYPE OF LEAVE	DESCRIPTION
<p>Annual Leave (Cont'd)</p>	<ul style="list-style-type: none"> <li data-bbox="477 506 1427 726">o Must be applied for in advance, except in emergency situations, when the employee must telephone the immediate supervisor for approval of leave within 1 hour after the beginning of the employee's regular work shift. If the immediate supervisor is unavailable, the employee will contact the next higher level supervisor. <li data-bbox="477 762 1427 1209">o All periods of Federal civilian service and of honorable military service potentially creditable for a Civil Service annuity are creditable in determining an employee's annual leave accrual rate. For full-time employees, leave accrues at: <ul style="list-style-type: none"> <li data-bbox="558 953 1427 1014">- 4 hours per pay period with less than 3 years service <li data-bbox="558 1050 1427 1142">- 6 hours per pay period with 3 to 15 years (an additional 4 hours is added in the last full pay period in the calendar year) <li data-bbox="558 1178 1427 1209">- 8 hours per pay period with 15 or more years. <li data-bbox="477 1245 1427 1367">o An employee in a current appointment limited to less than 90 days earns annual leave only after being currently and continuously employed for 90 days under successive appointments without a break in service. <li data-bbox="477 1402 1427 1495">o Accumulates on the basis of a full pay period only and can be carried forward from year to year up to a maximum of 240 hours in most cases. <li data-bbox="477 1530 1427 1682">o May be advanced to the employee in excess of the accumulated amount, not to exceed the amount he/she would accumulate by the end of the current leave year or during the tenure of his/her appointment, whichever is less.

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TYPE OF LEAVE	DESCRIPTION
Annual Leave (Cont'd)	<ul style="list-style-type: none"> o Has a minimum charge of one hour. o Accumulated leave is payable in a lump sum when it is probable that an employee will not return to duty from the leave, except when the employee: <ul style="list-style-type: none"> - is being separated because of RIF - must be carried in leave pending extended active duty in the armed forces, or - has applied for disability retirement. o Leave schedules for the entire year will be established prior to 31 January to insure that all employees are given an opportunity for a reasonable vacation period and will not have to forfeit excess accumulated leave. The supervisor must insure that: <ul style="list-style-type: none"> - an excessive number of employees will not be on leave at the same time - enough personnel will be on duty to maintain essential operations. o Forfeited annual leave may be restored if the loss of leave was caused by: <ul style="list-style-type: none"> - administrative error - exigencies of the public business when annual leave was approved in writing before the start of the third biweekly pay period prior to the end of the leave year, or

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TYPE OF LEAVE	DESCRIPTION
<p>Annual Leave (Cont'd)</p>	<ul style="list-style-type: none"> - sickness of the employee when the leave was scheduled in advance as described above. o If an employee has compensatory leave to his/her credit, it will be used instead of annual leave except when this will result in the forfeit of excess annual leave. o Accumulated leave is converted to a lump sum cash payment when the employee leaves Government. o Employees will not be placed on annual leave: <ul style="list-style-type: none"> - in any disciplinary-type situation, or - pending issuance of notice of proposed adverse action or during the notice period, without their consent.
<p>Sick Leave</p>	<ul style="list-style-type: none"> o Employee remains in pay status. o May be used only for <u>bona fide</u> health reasons: sickness, injury, pregnancy, confinement, quarantine, caring for family member with communicable disease, absence for medical, dental or optical examinations or treatment, or absence for repair or adjustment of a prosthetic appliance. o Accrues at 4 hours per pay period for full-time employees. o Accumulates and may be carried over from year to year without limit. o Becomes available for use during the pay period following the pay period in which it is earned. o Has a minimum charge of one hour.

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TYPE OF LEAVE	DESCRIPTION
<p>Sick Leave (Cont'd)</p>	<ul style="list-style-type: none"> o Must be applied for in advance when possible, or as soon as possible after the beginning of an unexpected need. (The supervisor will be contacted within 1 hour after the beginning of the employee's work shift on each day of sick leave except for known long term absences such as hospitalization or pregnancy.) o When there is a reason to suspect leave abuse, a medical certificate may be required for any period of absence. o Sick leave in excess of 3 days must usually be supported by a medical certificate accounting for the entire period of absence. o Supervisors will forward to RHR copies of approved requests for continuous sick leave of 80 hours or more with accompanying medical support. If the employee is believed to be planning optional retirement, the case will be carefully monitored to insure that the leave is fully justified. o Sick leave may be advanced not to exceed 30 days subject to: <ul style="list-style-type: none"> - prior approval by RHR or designee - the prior exhaustion of all accrued annual leave - a determination that the employee will not be separated or retire before he/she can earn the amount advanced. o Accumulated sick leave may be counted toward increasing annuities upon the employee's retirement but does not result in a lump sum payment.

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TYPE OF LEAVE	DESCRIPTION
<p>Leave Without Pay (LWOP)</p>	<ul style="list-style-type: none"> o Entails temporary absence in non-pay status. o Is typically used when accumulated annual or sick leave is insufficient to meet the circumstances. o Is normally requested by the employee and is authorized in advance by management, except when prior request is impossible. o Supervisors who are authorized to approve annual and sick leave may grant LWOP of 80 hours or less. o Request for LWOP in excess of 80 hours will be forwarded to RHR, accompanied by an SF 52, for prior approval. o If an employee remains absent after being denied LWOP, or is deliberately absent without permission under circumstances which the supervisor believes do not justify approval of LWOP, the employee will be carried as Absent Without Leave (AWOL). o There should be reasonable expectation that the employee will return at the end of the LWOP before approval of extended LWOP is granted. o The value to the Federal Government or the serious need of the employee must be sufficient to offset the costs and administrative inconvenience to the Government that result from maintaining the employee in LWOP status. o Employees can be on LWOP only during periods for which basic rates are payable. o LWOP is charged in multiples of 15 minutes. o Initial grants of LWOP may not exceed 12 months. Extensions will be approved only when the interests of DIA are served.

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TYPE OF LEAVE	DESCRIPTION
Home Leave	<ul style="list-style-type: none"> o Earned by service at a duty post outside the U.S. (and outside the employee's place of residence if his/her residence is in the Commonwealth of Puerto Rico or a possession of the U.S.). o Is for use only in the U.S., Puerto Rico or a possession of the U.S. o A U.S. citizen serving abroad whose conditions of employment provide for return transportation to the U.S. at Government expense on completion of a minimum prescribed tour of duty is entitled to earn home leave. o For each 12 months of service abroad, employees will accrue home leave as follows: <ul style="list-style-type: none"> - if serving at a station for which a 20 percent or higher foreign or territorial (not tropical) pay differential is authorized: 15 days. - if serving at a station for which a foreign or territorial (not tropical) pay differential of at least 10 and less than 20 percent is authorized: 10 days. - other employee: 5 days. o May be granted to eligible employees: <ul style="list-style-type: none"> - in conjunction with renewal agreement travel. - after 24 months of continuous service abroad, provided additional time remains on the employee's tour; travel will be at employee's expense if leave is not taken in conjunction with renewal agreement travel.

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TYPE OF LEAVE	DESCRIPTION
<p>Home Leave (Cont'd)</p>	<ul style="list-style-type: none"> - within a reasonable time after an employee returns to the U.S. from service abroad when it is contemplated that he/she will return to service abroad immediately or upon completion of an assignment in the U.S. - in combination with other leaves of absence, however, employees who return to the U.S., Puerto Rico, or a possession of the U.S. in accordance with the above situations should be advised to use accrued home leave before using accrued annual leave except when the annual leave will be forfeited. o A grant of home leave in excess of the amount earned in a 24-month period may be denied <u>only</u> when the employee is clearly required not to be absent from his/her duty station for a longer period. o The minimum charge for home leave is one day. o Home leave may accumulate without limit. o Leave not to exceed 1 year will be granted without charge for absence due to injury incurred while serving abroad and resulting from insurgency, war, mob violence, or similar acts, provided that the injury was not due to the employee's intemperance, vicious habits, or willful misconduct. o Unused home leave may not be included in terminal leave or lump sum leave payments at the time of retirement or separation.

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UNIT 2: LEAVE ADMINISTRATION

TYPE OF LEAVE	DESCRIPTION
Court Leave	<ul style="list-style-type: none"> o Employee remains in pay status. o Is used for: <ul style="list-style-type: none"> - jury duty (release from jury duty will be requested by DIA only in the most exceptional circumstances) - attending judicial proceedings in a nonofficial capacity as a witness for a State or local government, or for a private party when the U.S., District of Columbia or State or local government is a party o Is not used for: <ul style="list-style-type: none"> - testifying in the employee's official capacity or on behalf of the United States or the District of Columbia (such testimony constitutes official duty status) - other court appearances. o The employee requesting court leave should present the Court order, subpoena, or summons as much in advance as possible and, on return to duty, will be required to submit written evidence of the attendance at court. o Employees who receive notices requiring their appearance during working hours to ascertain their eligibility for jury service may be excused administratively without charge to leave upon receipt of a statement from the clerk of the court certifying the reporting date and the hours excused.

CHAPTER 6: HOURS OF WORK, ATTENDANCE, AND LEAVE
UNIT 2: LEAVE ADMINISTRATION

TYPE OF LEAVE	DESCRIPTION
<p>Maternity Leave</p>	<ul style="list-style-type: none"> o There is no "maternity leave" per se; necessary time off is taken care of by any combination of sick leave, annual leave, or leave without pay, as necessary. o Employees should report their intent to request leave for maternity purposes as early as possible, indicating approximate dates and the type(s) of leave to be used. o Accumulated sick leave will be granted whenever the employee is incapacitated for the performance of her duties. o Other types of leave can be granted only to employees who certify on their applications for leave that they intend to return to duty on the expiration of the leave period. o If LWOP in excess of 80 hours, or advance sick or annual leave, is requested, the supervisor will discuss the request with the personnel management specialist servicing the organization. Except for annual leave, such leave must be approved by RHR. o Managers will not establish arbitrary dates for ceasing or returning to work. o If medical certificate appears to cover an unreasonable period of incapacity, the supervisor may consult the employee's physician to discuss the duties of the position. The physician's judgment of the period of incapacity will then be accepted as a basis for granting sick leave. o Requests for extended leave not supported by a medical certificate should, if approved, be charged to annual leave or LWOP.

CHAPTER 6: HOURS OF WORK, ATTENDANCE, AND LEAVE
UNIT 2: LEAVE ADMINISTRATION

TYPE OF LEAVE	DESCRIPTION
<p>Maternity Leave (Cont'd)</p>	<ul style="list-style-type: none"> o If extended absence is not approved or may result in administrative hardship, the employee may be separated, provided an attempt is made to determine the employee's intentions. o A male employee may request annual leave or LWOP to help care for his minor children or the incapacitated mother of his newborn child. Each request will be considered on its own merits.
<p>Military Leave</p>	<ul style="list-style-type: none"> o Is a leave of absence with pay for active duty or training with the Reserve component of the Armed Forces generally not to exceed 15 calendar days in a calendar year. o Full-time employees in appointments not limited to 1 year or less must be granted military leave upon advance presentation of official orders. o Certification by the appropriate military officer as to the employee's participation in active military duty will be required from the employee upon return to duty. o Military leave is charged on a calendar day basis except that no charge will be made for nonworkdays at the beginning or end of the period of absence. o Military leave is not granted for short periods of inactive duty training.
<p>Leave for Religious Observance</p>	<ul style="list-style-type: none"> o Absence from work to observe religious holidays including the Sabbath, will be permitted when arrangements can be made without undue interruption to work. The accommodation can be made by grant of leave, trading with a qualified employee, change of tour of duty, or other means.

CHAPTER 6: HOURS OF WORK, ATTENDANCE, AND LEAVE
UNIT 2: LEAVE ADMINISTRATION

TYPE OF LEAVE	DESCRIPTION
<p>Leave for Religious Observance (Cont'd)</p>	<ul style="list-style-type: none"> o When an employee's religious beliefs require abstinence from work during certain periods of the workday, he/she may be permitted to work compensatory overtime for the time taken off, if this will not interfere with efficient accomplishment of DIA's mission. (Must be documented by supervisor's memorandum and SF 71.) o When requested time off must be denied, the supervisor must prepare a Memorandum for Record documenting the reason(s) the DIA cannot accommodate the request, and, must give a copy to the employee.
<p>Brief Absences</p>	<ul style="list-style-type: none"> o Brief absences of less than 1 hour, including tardiness, may be excused by the supervisor when circumstances justify it. o Abuse of this privilege may result in such absences being charged to annual leave or handled by disciplinary action. o When it is considered in the best interests of employee health following long hours of emergency overtime, Deputy Directors may approve up to 4 hours excused absence during the normal tour of duty on the day following the overtime.
<p>Leave for Blood Donation</p>	<ul style="list-style-type: none"> o Personnel who donate blood to the American Red Cross, or in an emergency to individuals, may be excused from duty for the remainder of the workday. Maximum excused time will not exceed 4 hours except in unusual cases.
<p>Voting Leave</p>	<ul style="list-style-type: none"> o Employees, on specific request, will be granted time off necessary to vote in any election or referendum:

CHAPTER 6: HOURS OF WORK, ATTENDANCE, AND LEAVE
UNIT 2: LEAVE ADMINISTRATION

TYPE OF LEAVE	DESCRIPTION
<p>Voting Leave (Cont'd)</p>	<p>- where polls are not open at least 3 hours either before or after the employee's regular hours of work, he/she will be granted an amount of excused leave which will permit him/her to report for work 3 hours after the polls open or leave work 3 hours before the polls close, whichever requires the lesser time off.</p> <p>- under exceptional circumstances where the general rule does not permit the employee to vote, the employee may be excused for such additional time as is needed, not to exceed 1 day. If this allowance is insufficient and an absentee ballot is not permitted, employees should be granted annual leave or LWOP.</p> <ul style="list-style-type: none"> o Time off to register to vote will be granted on substantially the same basis except that if registration can be accomplished on a nonwork day, no time off will be granted unless a 1-day round trip is unreasonable.
<p>Funeral Leave</p>	<ul style="list-style-type: none"> o An employee will be excused up to a maximum of 3 work-days without charge to leave or loss of pay to attend the funeral of an immediate relative who died as a result of wounds, disease, or injury caused while in the armed forces in a combat zone. o Veterans may be excused up to 4 hours in a workday to participate as pallbearers, members of firing squads, or honor guards in military funeral services for members of the armed forces whose remains are returned from abroad for interment.

CHAPTER 6: HOURS OF WORK, ATTENDANCE, AND LEAVE
UNIT 2: LEAVE ADMINISTRATION

TYPE OF LEAVE	DESCRIPTION
<p>Leave in Connection with Other Activities</p>	<ul style="list-style-type: none"> o Employees taking examinations including interviews required in selecting for DIA positions will be granted time off up to a maximum of 4 hours without charge to leave. Time needed for other examinations must be charged to annual leave or LWOP. o An employee will not be charged leave for time to consult with operating officials or staff of RHR on questions concerning his/her work, providing satisfactory arrangements were made in advance. o An employee who suffers a disabling job-related injury is entitled to continuation of pay for not to exceed 45 calendar days without charge to leave. o An employee may be excused to attend a conference or convention when that attendance serves the interests of DIA, provided that the attendance serves the interest of DIA, provided that the attendance has been properly requested and approved. o Attendance at other meetings may be covered by annual leave or LWOP. o Participation in civil defense activities is considered official duty. Upon return to his/her regular assignment, the employee will provide the supervisor with a statement from State/local civil defense authorities showing the days and hours of his/her participation. o Employees who serve as voluntary witnesses in hearings conducted by MSPB, EEOC or DIA are in duty status. o Employees who are required to report for physical examination before induction or recall to active duty in the armed forces will be excused for the time

CHAPTER 6: HOURS OF WORK, ATTENDANCE, AND LEAVE
UNIT 2: LEAVE ADMINISTRATION

TYPE OF LEAVE	DESCRIPTION
Leave in Connection With Other Activities (Cont'd)	necessary, provided the request for absence is supported by official notification. If the absence extends for more than one day through the employee's choice, the excess absence will be charged to annual leave or LWOP.

Time and Attendance Certification

Systematic time and attendance recording provides evidence for pay entitlement by documenting hours of work and leave used. Although T&A Clerks ordinarily complete the T&A Reports, certifying officials review them, and after verifying the entries, sign them. Supervisors should also take the opportunity of checking on patterns of leave use which indicate abuse or other problems.

OFFICIAL GUIDANCE: DIAR 22-5, Leave Administration



CHAPTER 7: PAY AND BENEFITS

OVERVIEW

It is the policy of DIA that there will be equal pay for substantially equal work. DIA compensation is based on established General Schedule, SES and Federal Wage System rates, except when DIA or Intelligence Community work differences are recognized. Premium pay is payable for overtime, night, holiday, standby duty, administratively uncontrollable work, and irregular or intermittent duty involving physical hardship or hazard. Within-grade pay increases are granted to effective employees on completion of set periods of service. Such benefits as life insurance and retirement are an important part of total compensation.

**CHAPTER 7
CONTENTS**

Chapter 7 contains two units dealing with the pay and benefits of employees.

Unit 1: Compensation

- Overview of the General Schedule Pay System
- Within-grade pay increases
- Premium pay
- Special DIA pay rates
- Payments to civilian employees during an evacuation

Unit 2: Benefit Programs

- Life insurance/health insurance
 - Retirement
 - Unemployment compensation
-

CHAPTER 7: PAY AND BENEFITS
UNIT 1: COMPENSATION

INTRODUCTION

Direct monetary compensation of DIA civilian employees (other than wage system and DISES) is based generally on the General Schedule with its periodic within-grade increases. It is augmented by a variety of premium pay provisions covering special circumstances.

FINDING HELP

IF YOU WANT TO KNOW ABOUT....	GO TO....
o Overview of the General Schedule Pay System	Page 7-3
o Within-grade pay increases	Page 7-3
o Premium pay	Page 7-5
o Special DIA pay rates	Page 7-10
o Payments to civilian employees during an evacuation	Page 7-10

CHAPTER 7: PAY AND BENEFITS
UNIT 1: COMPENSATION

Overview of the General Schedule System

The General Schedule is the pay system applying to the majority of Federal employees. It is the policy of DIA to adhere to the established GS rates except when DIA or Intelligence Community work differences are recognized. (See below) The General Schedule has 18 grade levels, the first 15 of which have 10 steps each. The top three grades, GS-16, 17, and 18, have now largely been replaced by the DISES. Employees move from step to step within a grade level by satisfactory performance combined with periods of service of varying lengths or sometimes by exceptional performance. They move from grade to grade by promotion.

Within-Grade Pay Increases

An employee serving a GS position (under other than a time limited appointment) who has not reached the maximum step of the grade is entitled to a within-grade increase upon completing the required waiting period, provided that his/her supervisor certifies that the employee's performance is fully successful or better on the DIA Form 124..

REQUIRED WAITING PERIOD		
WORK SCHEDULE	ADVANCEMENT TO STEP, . . .	WAITING PERIOD
Full Time or in Prearranged Regu- rly Scheduled Tour of Duty (less than Full Time)	o 2, 3, or 4	o 52 calendar weeks
	o 5, 6, or 7	o 104 calendar weeks
	o 8, 9, or 10	o 156 calendar weeks
Less than Full Time without a Prearranged Regularly Scheduled Tour of Duty	o 2, 3, or 4	o 260 days of creditable service over at least 52 calendar weeks
	o 5, 6, or 7	o 520 days of creditable service over at least 104 calendar weeks
	o 8, 9, or 10	o 780 days of creditable service over at least 156 calendar weeks

CHAPTER 7: PAY AND BENEFITS
UNIT 1: COMPENSATION

An employee begins a new waiting period:

- o on initial appointment in the Federal Service
- o after a break in service or a period of non-pay status in excess of 52 calendar weeks (unless such time is considered creditable service for within-grade increases), and
- o on receiving a pay increase equal to or greater than the applicable within-grade increase.

Time in non-pay status during a waiting period is credited toward completion of a waiting period for an employee with a scheduled tour of duty when it does not exceed an aggregate of:

- o 2 work weeks for advancement to steps 2, 3, or 4
- o 4 work weeks for advancement to steps 5, 6, or 7
- o 6 work weeks for advancement to steps 8, 9, or 10.

Leave without pay in excess of these periods extends the WIG waiting period by the time in excess.

It is the supervisor's responsibility to make sure that there is a clear understanding between the employee and the supervisor of the requirements of the position and the performance standards that the employee must meet in order to qualify for a within-grade increase. The supervisor must also discuss with an employee whose work is minimally satisfactory or unsatisfactory, those aspects of his/her performance which require improvement. Discussions between the supervisor and the employee which identify problem areas should be properly documented on the employee's DIA Form 309 and DIA Form 124.

Premium Pay (See also Chapter 6, Unit 1)

Employees are paid premium pay for overtime, night work, holiday work, standby duty, administratively uncontrollable work and irregular or intermittent duty involving unusual physical hardship or hazard. The payment of premium pay covers all employees regardless of grade, except wage board employees paid on an hourly or daily basis and employees whose basic pay rate equals or exceeds the top step for GS-15. Premium pay may be paid to an employee whose basic pay rate is less than the maximum of GS-15 only to the extent that it would not cause the aggregate rate of pay to exceed for any pay period the amount payable at the top step of GS-15.

CHAPTER 7: PAY AND BENEFITS
UNIT 1: COMPENSATION

TYPES OF PREMIUM PAY	
PAY TYPE	PROVISIONS
Overtime	<ul style="list-style-type: none"> o Generally is paid for work in excess of 8 hours a day (or 40 hours in a week), whichever is the greater number of overtime hours. o Absence during the basic workweek on annual or sick leave, legal holidays, nonwork days established by Executive or administrative order or compensatory time does not reduce the amount of overtime pay to which an employee may be entitled during an administrative workweek. o An employee on LWOP during his/her basic workweek must make up the nonpay absence by working an equal number of hours outside his basic workweek but in the same administrative workweek, before he/she can be paid for any hours at an overtime rate. o If an administrative workweek of 40 hours is established for a When-Actually-Employed (WAE) employee, he/she is considered to be a full-time employee for purposes of overtime pay. o A part-time employee is also entitled to premium pay in the same manner as full-time employees. o If a WAE employee has no administratively established workweek and works in excess of 40 hours per week for one or both of the weeks in a pay period, he/she is entitled only to straight-time pay for all hours worked. o Overtime Rates: <ul style="list-style-type: none"> - For employees whose basic pay rate exceeds the minimum rate for GS-10, overtime rate is one and one-half times the GS-10 minimum. - For employees whose basic pay rate does not exceed the minimum rate for GS-10, the overtime rate is one and one-half times the employee's basic pay rate.

CHAPTER 7: PAY AND BENEFITS
UNIT 1: COMPENSATION

TYPES OF PREMIUM PAY (Cont'd)	
PAY TYPE	PROVISIONS
Night Pay	<ul style="list-style-type: none"> o A night differential of 10 percent of the employee's basic pay in addition to basic pay is to be paid for any regular scheduled work between 1800 and 0600 hours. o Payment of night differential continues for regularly scheduled night hours when an employee is absent due to a holiday or other nonworkday, or is in official travel status. o It continues during periods of paid leave of less than 8 hours during the pay period, but not when the total leave is 8 hours or more.
Holiday Pay	<ul style="list-style-type: none"> o An employee assigned to duty on a holiday which is not overtime work will be paid his/her regular rate of basic compensation plus premium pay for no more than 8 hours of duty at a rate equal to his/her rate of basic compensation. o An employee required to perform holiday duty will receive premium pay for no less than 2 hours even if the actual time worked is less. o An employee assigned <u>overtime</u> work on a holiday is paid in the same manner as for overtime work performed on other days. o holiday pay cannot be used as part of an employee's rate of basic compensation to compute overtime, night, or Sunday pay; and vice versa.
Regularly Scheduled Standby Pay	<ul style="list-style-type: none"> o The Director may authorize premium pay on an annual basis for employees in positions which regularly require employees to stay at their stations for longer than ordinary periods of duty (more than 40 hours a week), a substantial part of which consists of standby duty.

CHAPTER 7: PAY AND BENEFITS
UNIT 1: COMPENSATION

TYPES OF PREMIUM PAY (Cont'd)	
PAY TYPE	PROVISIONS
Regularly Scheduled Standby Pay (Cont'd)	<ul style="list-style-type: none"> o Requests with justifying data will be forwarded to RHR for evaluation, determination of appropriate pay rate, and transmitted to the Director. o An employee may not be paid any other premium compensation for additional regularly scheduled work but may be paid for irregular, unscheduled overtime.
Pay for Administratively Uncontrollable Work	<ul style="list-style-type: none"> o The Director may authorize premium pay on an annual basis for an employee in a position which requires substantial amounts of irregular, unscheduled overtime and duty at night or Sunday, and on holidays, which cannot be controlled administratively. o Such additional annual pay takes the place of any other premium pay for regularly scheduled overtime. o Requests with justifying data will be forwarded to RHR for evaluation, determination of appropriate pay rate, and transmittal to the Director. o An employee may not be paid any other premium pay for irregular unscheduled overtime, but may be paid for regularly scheduled overtime and for work at night, on Sundays, or on holidays.
Pay for Sunday Work	<ul style="list-style-type: none"> o A full-time employee is entitled to be compensated at his/her rate of basic compensation plus premium pay at a rate of 25 percent of his/her basic rate for each hour of regularly scheduled Sunday work not in excess of 8 hours. o Such premium pay is not included in the rate of basic compensation used to compute the pay for holiday work, overtime compensation, or night pay differential; and vice versa.

CHAPTER 7: PAY AND BENEFITS
UNIT 1: COMPENSATION

TYPES OF PREMIUM PAY (Cont'd)	
PAY TYPE	PROVISIONS
Pay for Sunday Work (Cont'd)	<ul style="list-style-type: none"> o If a full-time employee's regularly scheduled tour of duty includes a period of service of less than 8 hours any part of which falls on Sunday, he/she is entitled to Sunday pay for all the hours worked not in excess of the hours regularly scheduled for the period. o When a full-time employee has 2 separate tours of duty on Sunday, he/she is entitled, to premium pay not to exceed 8 hours per each tour.
Pay for Irregular or Intermittent Duty Involving Physical Hardship or Hazard	<ul style="list-style-type: none"> o Duty involving physical hardship may not in itself be hazardous but causes extreme physical discomfort or distress which is not adequately alleviated by protective or mechanical devices (e.g., prolonged exposure to fumes, dust or noise causing physical irritation or irritation or nausea). o Hazardous duty is performed under circumstances in which an accident could result in serious injury or death. o A hazard pay differential may be paid for performance of irregular or intermittent hazardous duty or duty involving physical hardship. o Hazard pay is computed as a percentage of an employee's basic compensation and is paid in addition to any other compensation the employee earns. It will not be considered part of an employee's rate of basic pay. o An employee will be paid hazard pay for the hours in pay status on the day on which the duty entitling him/her to the differentiation is performed. Work performed during a continuous period extending over 2 days will be considered to have been performed on the day on which the work began and the differential charged to that day.

CHAPTER 7: PAY AND BENEFITS
UNIT 1: COMPENSATION

TYPES OF PREMIUM PAY (Cont'd)	
PAY TYPE	PROVISIONS
Pay for Irregular or Intermittent Duty Involving Physical Hardship or Hazard (Cont'd)	<ul style="list-style-type: none"> o A hazard rate of 25 percent is paid for these irregular or intermittent duties: high work, flying, underwater duty, underground work, firefighting, exposure to hazardous agents, weather or terrain, specialized physical and performance testing. o Additions or changes to the above may be made. Requests for an amendment may be submitted to RHR with information about the duty showing: <ul style="list-style-type: none"> - its nature - the length of time the duty will exist - the degree to which the hardship/hazard can be controlled - the requested rate of differential pay. o Employees regularly assigned to hardship/hazard duties which are inherent to the position and taken into account in the classification of the position do not receive hazard pay.

Special DIA Pay Rates

DIA can establish an approved set of grade and step pay rates which exceed those which would otherwise apply. These rates are to be used in DIA or Intelligence Community jobs when work differences arise which cannot be equitably compensated for in other ways. RHR will provide advice and assistance to supervisors/managers in all aspects of special DIA rates. The Senior Review Board, based on information and advice from RHR, will determine situations for which such rates will be granted.

CHAPTER 7: PAY AND BENEFITS
UNIT 1: COMPENSATION

Payments to Civilian Employees During an Evacuation

The Department of State has issued standardized regulations governing payments to civilian employees and dependents in the event of an emergency evacuation from foreign areas, and OPM has issued regulations governing payments in the event of such evacuations of civilian employees located within the U.S., its territories, and possessions. These regulations will be used in DIA as a basis for granting advanced and evacuation payments.

OFFICIAL GUIDANCE: DIAR 22-47, Special DIA Pay Rates
DIAR 22-46, Pay Administration

DEFENSE INTELLIGENCE AGENCY
REGULATION NO. 22- 47

HEADQUARTERS, DEFENSE
INTELLIGENCE AGENCY
WASHINGTON, DC 20340

14 Sep 86

CIVILIAN PERSONNEL

Special DIA Pay Rates

1. **Purpose:** To set forth policies, responsibilities, and procedures for special DIA pay rates for DIA employees.

2. **References:**

a. 10 U.S.C. 1604.

b. DEPSECDEF Memorandum, Delegation of Authority to implement Section 501(a) of Public Law 98-618, dated 16 January 1986.

3. **Applicability:** This regulation applies to all elements of DIA.

4. **Definition:**

Special DIA Pay Rates: An approved, published set of grade and step pay rates which exceed the General Schedule or Federal Wage System rates which would otherwise be applicable.

5. **Policy:** In consonance with law, all managers, supervisors, and personnel representatives will adhere to the following principles:

a. **Pay Equity.** There will be equal pay for substantially equal work. DIA pay policy will be based on established General Schedule and Federal Wage System rates except when DIA or Intelligence Community work differences are recognized.

b. **Position Management.** Special DIA pay rates will be used only when other attempts to accommodate for work differences are not equitable.

6. **Responsibilities:**

a. The Directorate for Human Resources (RHR) will administer the special DIA pay rates program for the Agency. Specific responsibilities are:

OPR: RHR-5

(1) Develop rates of pay plans, policies, implementing procedures, and management controls for administering the program.

(2) Provide advice and assistance to managers and supervisors on all aspects of special DIA pay rates.

(3) Provide information and advice to Senior Review Board.

b. Managers and supervisors will make every effort to select the best qualified candidates commensurate with the needs of the Agency.

c. The Senior Review Board (SRB) will determine the series and grades for which special DIA pay rates will be granted. These rates will be published at enclosures to this regulation.

FOR THE DIRECTOR:

OFFICIAL:

Executive Director

STAT

Chief, Publication and
Presentation Division

Enclosures

DISTRIBUTION

SPECIAL PAY TABLE

	STEP 1	STEP 2	STEP 3	STEP 4	STEP 5	STEP 6	STEP 7	STEP 8	STEP 9	STEP 10	STEP
GG-2	\$13,527	\$13,883	\$14,239	\$14,595	\$14,951	\$15,307	\$15,663	\$16,019	\$16,375	\$16,731	VARIES
GG-3	\$14,444	\$14,845	\$15,246	\$15,647	\$16,048	\$16,449	\$16,850	\$17,251	\$17,652	\$18,053	\$401
GG-4	\$15,313	\$15,763	\$16,213	\$16,663	\$17,113	\$17,563	\$18,013	\$18,463	\$18,913	\$19,363	\$450
GG-5	\$16,630	\$17,134	\$17,638	\$18,142	\$18,646	\$19,150	\$19,654	\$20,158	\$20,662	\$21,166	\$504
GG-6	\$17,975	\$18,537	\$19,099	\$19,661	\$20,223	\$20,785	\$21,347	\$21,909	\$22,471	\$23,033	\$562
GS-7	\$19,350	\$19,974	\$20,598	\$21,222	\$21,846	\$22,470	\$23,094	\$23,718	\$24,342	\$24,966	\$624

POSTIONS COVERED IN THE WASHINGTON METROPOLITAN AREA:

- GS-134 Intelligence Technician
- GS-203 Personnel Assistant
- GS-303 - 359 Clerical/Administrative Positions
- GS-525 Accounting Technician
- GS-1411 Document Services Technician

EFFECTIVE 3 JANUARY 1988

SPECIAL PAY TABLE

	STEP 1	STEP 2	STEP 3	STEP 4	STEP 5	STEP 6	STEP 7	STEP 8	STEP 9	STEP 10	STEP INCREASE
GG-5	\$19,654	\$20,158	\$20,662	\$21,166	\$21,670	\$22,174	\$22,678	\$23,182	\$23,686	\$24,190	\$504
GG-6	\$21,909	\$22,471	\$23,033	\$23,595	\$24,157	\$24,719	\$25,281	\$25,843	\$26,405	\$26,967	\$562
GG-7	\$24,342	\$24,966	\$25,590	\$26,214	\$26,838	\$27,462	\$28,086	\$28,710	\$29,334	\$29,958	\$624
GG-8	\$25,576	\$26,267	\$26,958	\$27,649	\$28,340	\$29,031	\$29,722	\$30,413	\$31,104	\$31,795	\$691
GG-9	\$26,727	\$27,491	\$28,255	\$29,019	\$29,783	\$30,547	\$31,311	\$32,075	\$32,839	\$33,603	\$764
GG-10	\$27,749	\$28,590	\$29,431	\$30,272	\$31,113	\$31,954	\$32,795	\$33,636	\$34,477	\$35,318	\$841
GG-11	\$28,640	\$29,564	\$30,448	\$31,412	\$32,336	\$33,260	\$34,184	\$35,108	\$36,032	\$36,956	\$924

GG-334 ALL POSITIONS

GG-155A COMPUTER SCIENTIST

EFFECTIVE 3 JANUARY 1988

SPECIAL PAY TABLE

	STEP 1	STEP 2	STEP 3	STEP 4	STEP 5	STEP 6	STEP 7	STEP 8	STEP 9	STEP 10	STEP
GG-5	\$17,638	\$18,142	\$18,646	\$19,150	\$19,654	\$20,158	\$20,662	\$21,166	\$21,670	\$22,174	\$504
GG-6	\$18,537	\$19,099	\$19,661	\$20,223	\$20,785	\$21,347	\$21,909	\$22,471	\$23,033	\$23,595	\$562
GG-7	\$19,974	\$20,598	\$21,222	\$21,846	\$22,470	\$23,094	\$23,718	\$24,342	\$24,966	\$25,590	\$624
GG-8	\$21,430	\$22,121	\$22,812	\$23,503	\$24,194	\$24,885	\$25,576	\$26,267	\$26,958	\$27,649	\$691

POSITIONS COVERED:

GS-085 Guards

EFFECTIVE 14 FEB 88

CHAPTER 7: PAY AND BENEFITS
UNIT 2: BENEFITS

OVERVIEW

Such benefits as retirement and life insurance are an important part of the total compensation package for DIA employees. In addition, some employees who are separated from DIA are entitled to unemployment compensation benefits while they are looking for work. Supervisors/managers need to be informed of these benefits to communicate effectively with subordinates about them.

FINDING HELP

IF YOU WANT TO KNOW ABOUT....	GO TO....
o Life Insurance/Health Insurance	Page 7-12
o Retirement	Page 7-12
o Unemployment Compensation	Page 7-12

CHAPTER 7: PAY AND BENEFITS
UNIT 2: BENEFITS

Life Insurance/Health Insurance

Most DIA employees are eligible to elect coverage for health insurance (pay-for-service or health maintenance types of programs), group life insurance and accidental death and dismemberment insurance provided under Federal Employees' Group Life Insurance (FEGLI), and optional insurance programs. The following are excluded:

- o Employees serving under appointments limited to one year or less, except employees so appointed for full-time employment or for part-time employment with a regular tour of duty, without a break in service of more than 3 days, following service in which they were insured.
- o Seasonal or emergency employees whose employment is of uncertain or temporary duration.
- o Part-time, WAE, or intermittent employees having no regular tour of duty.
- o Retired employees who are reemployed under conditions not terminating their title to an annuity.

Specific coverage options are varied. Questions on health or life insurance should be referred to RHR.

Retirement

There are 4 basic types of retirement for which DIA employees are eligible: Optional Retirement, Discontinued Service Retirement, Disability Retirement, and Deferred Retirement. (These are discussed in detail in Chapter 10, Unit 1). Supervisors/managers are responsible for advising employees as to the source of information about retirement benefits.

Retirement is an employee benefit; care must be taken to assure that employees are protected from coercion or pressure to force them into retirement against their will. In some cases, however, when the employee refuses to initiate action for a disability retirement considered essential by management, the supervisor must initiate the request to OPM.

Compensation for Unemployment

To be entitled to unemployment compensation, an employee must have creditable Federal service within the base period as determined under applicable State laws. All State laws require that an individual to be eligible for unemployment benefits:

CHAPTER 7: PAY AND BENEFITS
UNIT 2: BENEFITS

- o be unemployed (or be employed less than full-time and earn less than a specified amount)
- o be able to work and available for any suitable work
- o register for work and file a claim at a local employment service and claims office and continue to report to that office as directed
- o have had a specified amount of employment or have earned a specified amount of wages or both within a base period (usually 1 year).

The most common reasons for disqualification are:

- o Discharge for misconduct
- o Voluntary resignation without good cause (some States require that cause to be connected with the work; others accept some personal reasons) or
- o Refusal of a suitable job without good cause.

State laws vary greatly, but usually unemployment benefits are about half normal earnings for periods from 12 to 39 weeks in a year. Some State laws increase weekly benefits by allowances for dependents. In most States, benefits are not paid for the first week after the claim is filed.

SF 8 (Notice to Federal Employee about Unemployment Compensation), which explains rights to unemployment compensation and provides instructions for filing claims, will be given to an employee whenever he/she is:

- o separated from the Federal service for any reason
- o transferred to a different payroll office
- o placed in a nonpay status for a period of 7 or more calendar days.

When a former DIA employee files a claim for unemployment compensation, the State agency sends a form to the Finance and Accounts Office, U.S. Air Force, requesting information as to periods of service, amount of wages, and reasons for termination. Findings of fact reported to State agencies are final and conclusive. Either the State agency or the claimant, however, may request additional information, reconsideration or correction of these findings. Such requests will be reviewed promptly and processed by RHR within 4 working days after receipt.

CHAPTER 7: PAY AND BENEFITS
UNIT 2: BENEFITS

State agencies, after reviewing the information furnished by the former employee and by DIA, will furnish the claimant and RHR a Notice of Determination. Such determinations will be reviewed by RHR for possible appeal whenever:

- o the State determination challenges the finality of findings of fact by DIA, or
- o the State agency appears to have misinterpreted DIA's findings, or
- o DIA believes the determination is not in accordance with the State law.

Claimants also have the right to appeal State determinations with respect to their entitlement to benefits.

<p>OFFICIAL GUIDANCE: DIAR 22-8, Life Insurance DIAR 22-10, Retirement DIAR 22-26, Unemployment Compensation</p>

CHAPTER 8: EMPLOYEE STRESS, ILLNESS, AND INJURY

OVERVIEW: Employee illness - physical, mental or emotional - and injury are causes of productivity loss. There may also be security and legal implications to which a supervisor/manager should be alert. Seeing that such conditions do not go unremedied, and in the case of work-related illness or injury, unreported, is an important supervisory responsibility. The DIA Employee Alcoholism and Drug Abuse Program offers employees referral for counseling and assistance in overcoming a number of serious problems.

CHAPTER 8 CONTENTS: Chapter 8 contains two units which present information on the following:

- o Unit 1: Dealing with Illness and Injury
 - Reporting job-related illness and injury
 - Compensation for disability
 - Other health-related issues
 - Death notification and survivor assistance

 - o Unit 2: Dealing with the Troubled Employee
 - Recognizing signs of a troubled employee
 - The DIA Alcoholism and Drug Abuse Program
 - Guidelines for responding to and confronting employees
-

CHAPTER 8: EMPLOYEE STRESS, ILLNESS, AND INJURY
UNIT 1: DEALING WITH ILLNESS AND INJURY

INTRODUCTION

In addition to time and leave administration implications, employee illness and injury may also have security, productivity, morale, and legal consequences. As a supervisor/manager you have the responsibility for reporting job-related illness and injury in order for employees to receive proper care and compensation. You should also take action to remedy conditions in the workplace which may have contributed to the illness or injury in order to prevent illness or injury of other employees.

FINDING HELP

IF YOU WANT TO KNOW ABOUT....	GO TO....
o Reporting job-related illness and injury	Page 8-3
o Other health-related issues	Page 8-4
o Death notification and survivor assistance	Page 8-5

CHAPTER 8: EMPLOYEE STRESS, ILLNESS, AND INJURY
UNIT 1: DEALING WITH ILLNESS AND INJURY

Reporting Job-Related Illness and Injury.

The Federal Employees' Compensation Act (FECA), administered by the Office of Workers' Compensation Programs (OWCP), Department of Labor, provides monetary compensation, medical care, vocational rehabilitation and limited reemployment rights to Federal employees who sustain disability injuries or disease as a result of their employment. As a supervisor/manager, you are responsible for:

- o Insuring proper care and compensation for job-related illness and injury
- o Aiding in documentation of illness and injury, and
- o Controlling the effects of the accident on work and staff morale.

In fulfilling these duties, the supervisor needs to know the legal definitions of job-related injury and illness:

- o Occupational injury - wound or other bodily condition caused by external force, including stress or strain, which is identifiable as to time and place of occurrence, and member or function affected, and caused by a specific event (or series of events) within a single workday or shift.
- o Occupational illness - illness or condition caused by systemic infection; continued or repeated stress or strain; exposure to toxins, poisons, fumes, etc., or other continued and repeated exposure to work conditions over a long time period.

Key points for supervisors to remember include:

- o A CA-1 must be submitted within 48 hours of the injury.
- o Supervisors do not have the option of refusing a CA-16 if an employee claims that he/she was injured on the job.
- o A CA-16 cannot be issued for occupational diseases without prior approval from OWCP.
- o Supervisors should be aware that by issuing a CA-16, they are obligating the government to pay for 30 days of medical bills unless OWCP notifies the employee otherwise.

CHAPTER 8: EMPLOYEE STRESS, ILLNESS, AND INJURY
UNIT 1: DEALING WITH ILLNESS AND INJURY

- o The employee has the option of selecting a physician. The physician's name should be typed on the CA-16. The list of persona-non-grata physicians from OWCP should be checked with RHR whenever possible and if the physician's name is on the list, another one should be selected. (If someone on the list actually performs the service, OWCP will pay for initial visit and then notify the employee to select another physician.)
- o A CA-2 should be submitted for an occupational disease.
- o Continuation of Pay (COP) is authorized for an injury, but never for an occupational disease.
- o All absences must be documented by the employee's physician and the physician should show that the absence is related to the on-the-job injury.
- o It is essential for the employee to collect all the available medical documentation, both from the dispensary and from the hospital/doctor. We have to provide OWCP with enough information on which to base its decision.
- o Additional guidance is available through DIAR 22-11 and RHR.

Other Health Related Issues

There are other illnesses which, although they are not caused by conditions in the work place, do have implications for the work unit. Generally speaking, these are infectious and communicable diseases (e.g., polio, meningitis, tuberculosis, infectious hepatitis). In some cases other workers should be tested to see if they have contracted the disease, and, in other cases, immunization of other workers is advisable. The supervisor should, therefore, inform RHR promptly if an employee contracts a serious communicable disease. Medical examinations may be required.

Fitness for duty examinations are used in two kinds of situations:

- o When the employee exhibits symptoms of a physical or mental condition which calls into question the employee's continued ability to perform the duties of his/her position or threatens the welfare of the public or other employees.
- o When the employee requests a benefit or special treatment based on a medical condition.

CHAPTER 8: EMPLOYEE STRESS, ILLNESS, AND INJURY
UNIT 1: DEALING WITH ILLNESS AND INJURY

In the latter case, the burden of providing acceptable evidence about the medical condition rests with the employee. If the employee fails to provide adequate evidence for DIA to conclude that a medical condition exists which needs to be taken into account, DIA is free to proceed with whatever action is called for, having fully met its procedural obligations related to the health question.

Death Notification and Survivor Assistance

Immediately upon learning of the death of a DIA civilian employee, his/her immediate supervisor will:

- o Appoint a volunteer Family Assistance Officer (if possible from employees at GS-11 or above), preferably a co-worker of the deceased, to provide personalized assistance to the next of kin in all matters except those pertaining to statutory/regulatory survivor benefits for which the Assistant Deputy Director for Human Resources (RHR) is responsible. This individual will be granted official time away from regularly assigned duties without charge to leave. However, official travel outside the Washington area will not normally be authorized.
- o Inform RHR of the name and telephone number of the Family Assistance Officer.
- o Notify the appropriate Deputy Director for, or chief of special office, and the Office of Security.
- o Notify RHR so that arrangements for flowers or charitable donations may be initiated through the DIA Civilian Welfare Fund. (Only in case of employees in the Washington, DC area).
- o Notify the person responsible for maintaining time and attendance records of the deceased.
- o Prepare an SF-52 (Request for Personnel Action) showing the date of death as the effective date.
- o Initiate action to recover Government property, including building and area passes and parking permits, and process a final clearance.

CHAPTER 8: EMPLOYEE STRESS, ILLNESS, AND INJURY
UNIT 1: DEALING WITH ILLNESS AND INJURY

When it is learned that a death has occurred in the immediate family of an employee (spouse, children, parents and siblings), a letter of condolence will be prepared by the major activity to which the employee is assigned. The draft letter will be transmitted by staff summary sheet through RHR, which will review it and forward it through RS and ED to the Director for signature. The transmittal memo will explain in brief the circumstances of the death and will be signed by the major activity head or designated representative. The letter should be mailed to the employee within 3 days of the death. In addition, a personal expression of sympathy from the employee's directorate should be considered.

A DIA employee who learns of the death of a former employee will notify RHR with any available details. RHR will take prompt action to verify the death, and will publish a suitable announcement to all members of DIA.

<p>OFFICIAL GUIDANCE: DIAR 22-11, Compensation for Injury DIAR 22-29, Death Notification and Survivor Assistance</p>
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CHAPTER 8: EMPLOYEE STRESS, ILLNESS, AND INJURY**UNIT 2: DEALING WITH THE TROUBLED EMPLOYEE****INTRODUCTION**

There are a variety of mental, emotional, and physical problems that, single or in combination, adversely affect individual and unit performance. There also may be security and legal implications, particularly in regard to substance abuse. Sometimes these conditions are acute or transitory; in other cases they become chronic and even fatal if no one intervenes.

It is particularly important for supervisors to be able to recognize the onset of stress-related and similar problems and to be able to intervene positively to alleviate the problem. DIA recognizes alcoholism, drug abuse, and mental disorders as treatable health problems. The DIA Employee Alcoholism and Drug Abuse Program offers prevention, treatment and rehabilitation opportunities to employees consistent with DIA mission and security requirements.

FINDING HELP

IF YOU WANT TO KNOW ABOUT....	GO TO....
o Recognizing signs of a troubled employee	Page 8-8
o The DIA Alcoholism and Drug Abuse Program	Page 8-9
o Guidelines for responding to and confronting employees	Page 8-10

CHAPTER 8: EMPLOYEE STRESS, ILLNESS, AND INJURY
UNIT 2: DEALING WITH THE TROUBLED EMPLOYEE

Recognizing Signs of a Troubled Employee

Dealing with poor performance is a basic supervisory responsibility, but it is a mistake always to take poor performance entirely at its face value. As often as not, there is an underlying problem which needs to be dealt with before any progress can be made on improving performance. This is particularly the case when an employee's performance is deteriorating. Be alert, through continuing observation, to changes in the work or behavior of your subordinates. The following may be indications of problems such as substance abuse or mental/emotional illness:

o Performance Deterioration

- Noticeable decrease in quantity and/or quality of work
- Increasing failure to observe deadlines
- Difficulty in concentration
- Memory loss
- Confusion
- Poor judgment
- Difficulty in understanding/following instructions
- Alienation from other staff members

o Absenteeism/Tardiness

- Excessive, unannounced, or unexcused absenteeism especially on Mondays, Fridays, days before and after holidays, and on paydays or the day after
- Long lunch hours and deterioration of performance in the afternoon
- Frequent absences - particularly for headaches, colds, flu, bronchitis, sore throats, back problems, toothaches, "peculiar" accidents, and family problems
- Habitual tardiness
- Frequent absences from work site beyond normal expectations
- Increased use of annual and sick leave

o Attitude/Behavior Changes

- Mood Swings
- Depression, hints of suicide
- "Hyper" behavior - grandiose, loud, making extreme remarks
- Resentful, suspicious, secretive, belligerent, and hypersensitive attitudes
- Feelings of persecution
- Altercations with fellow employees
- Noticeably heavy drinking at lunch

CHAPTER 8: EMPLOYEE STRESS, ILLNESS, AND INJURY
UNIT 2: DEALING WITH THE TROUBLED EMPLOYEE

- Odor of alcohol on breath in the morning, often attempts to disguise breath by mints, cough drops, sprays, etc.
- Drinking during working hours
- Chronic lying, excusing, and rationalizing

- o Physical Changes
 - Deterioration of personal appearance and/or grooming
 - Unexplained drastic weight changes
 - Changes in physical characteristics - flushed face, discoloration of eyes, changes in size of pupils of eyes, hand tremors
 - Jumpiness, drowsiness
 - Chronic "colds"
 - Increase in digestive ailments
 - Increase in health problems

- o Family/Relationship/Social Problems
 - Increase in family/relationship problems
 - Financial/legal problems
 - Accidents or DWI (Driving While Intoxicated)
 - Minor criminal behavior (e.g., shoplifting)

The DIA Alcoholism and Drug Abuse Program

Because of its sensitive mission, DIA is exempted from the requirement to assure employees that their job security will not be jeopardized by requests for counseling or referral assistance for alcoholism and drug abuse problems. Consideration, however, should be given in all instances to the degree of access to classified information granted the employee. (Coordinate with the Security and Counterintelligence Directorate).

RHR provides advice and assistance to supervisors/managers on all aspects of the program. Upon the request of a supervisor, RHR will arrange for counseling by the medical staff of the Civilian Employees Health Service.

An employee who decides to undergo a prescribed program of treatment which will require absence from work will be granted sick leave for this purpose. The employee will be responsible for the costs of treatment of substance abuse problems. If an employee refuses to accept the assistance offered through this program or to otherwise correct the problem, disciplinary action should be taken, as warranted, on the basis of unsatisfactory job performance.

CHAPTER 8: EMPLOYEE STRESS, ILLNESS, AND INJURY
UNIT 2: DEALING WITH THE TROUBLED EMPLOYEE

Supervisors need to be alert to the possibility of substance abuse when confronted with performance problems, but will not attempt to diagnose alcoholism or drug abuse. Rather, they should record symptoms to assist medical counselors, and document specific instances where an employee's work performance, behavior, or attendance fails to meet minimum standards or appears to be deteriorating. Supervisors should consult RHR for advice.

Guidelines for Responding To and Confronting Employees

When there is reasonable evidence that the employee has a substance abuse habit which is undermining his/her performance, the supervisor should interview the employee. The supervisor should recognize that even if an employee needs help, it is unlikely that he/she will welcome it. Alcoholism, in particular, is characterized by vigorous denial that a problem exists, and few employees will readily accept the fact that they are behaving irrationally. In fact, the more irrational the behavior, the less likely it is that the employee will respond positively to offers of help. For this reason, a supervisor needs to proceed cautiously, and upon professional advice, in cases where a problem seems to exist:

DON'T

- o Ignore the problem in hope that it will go away
- o Try to diagnose
- o Try to push the employee into "confessing" the nature of the problem
- o Moralize
- o Lose your temper in the face of belligerence or defiance
- o Accept assurances that "it won't happen again"
- o Try to "treat" the employee yourself

DO

- o Contact RHR for advice
- o Document specific instances when the employee's behavior or performance was unusual or unacceptable
- o Confront the employee, making clear that your primary concern is with job performance, but, whenever appropriate, try to show concern for the employee's welfare
- o Concentrate on facts in dealing with the employee, not your interpretation of them
- o Strongly suggest that the employee see RHR for counseling to help resolve the poor job performance

CHAPTER 8: EMPLOYEE STRESS, ILLNESS, AND INJURY
UNIT 2: DEALING WITH THE TROUBLED EMPLOYEE

- o Make it clear that the employee has a choice between seeking assistance or accepting the consequences of unsatisfactory performance
- o Give the employee a time by which you expect to see improvement
- o Monitor the employee's job performance/behavior
- o If performance/behavior does not improve, take appropriate administrative action.

Special cases:

- o In the rare case in which the employee does not appear to be in reasonable control of his/her faculties or behavior, seek immediate medical diagnosis and emergency treatment, and notify RHR. If the employee seems apt to be assaultive or imminently suicidal, it may be necessary to enlist the assistance of the building guard service.
- o If the supervisor believes that the employee is using illegal substances, the supervisor should be careful not to elicit from the employee any specificity about the nature of any illegal activity.
- o If the supervisor has good reason to believe that the employee is involved in criminal conduct potentially harmful to the person or the property of others (e.g., drug dealing, stealing to support a drug habit), the supervisor's first obligation is to DIA and the other employees. Therefore, the evidence should be presented through normal supervisory channels to law enforcement authorities.

OFFICIAL GUIDANCE: DIAR 20-17, Rehabilitation and Referral Service for Alcohol and Drug Abusers and Related Matters

CHAPTER 9: MANAGING OVERSEAS EMPLOYEES

OVERVIEW DIA's unique mission requires the assignment of significant numbers of civilian employees in overseas areas. Chapter 9 deals with the special requirements in dealing with such employees.

**CHAPTER 9
CONTENTS** Chapter 9 contains 2 units.

Unit 1: DIA Overseas Employees

- General provisions
- Defense Attache system
- Other DIA employees assigned overseas

Unit 2: Dependents/Foreign Nationals

- Employment of dependents of personnel stationed in foreign areas
 - Employment of foreign nationals in foreign areas
-

CHAPTER 9: MANAGING OVERSEAS EMPLOYEES
UNIT 1: DIA OVERSEAS EMPLOYEES

INTRODUCTION

Special provisions are needed in managing the complexities of civilian employees overseas. Considerations of financial prudence, conformity with host country agreements or treaties, availability of qualified individuals in the overseas area, desirability of a low U.S. government profile in host countries, and the like govern the management of this special work force.

FINDING HELP

IF YOU WANT TO KNOW ABOUT....	GO TO....
o General provisions	Page 9-3
o Defense Attache System (DAS)	Page 9-4
o Other DIA employees assigned overseas	Page 9-4

CHAPTER 9: MANAGING OVERSEAS EMPLOYEES
UNIT 1: DIA OVERSEAS EMPLOYEES

General Provisions

When it is advantageous to employ civilians in overseas areas, maximum use will be made of qualified individuals, U.S. citizens or local nationals, available locally. Unless precluded by treaties or other agreements, preference will be given to dependents of military and civilian personnel stationed in the area. (However, members of the immediate family cannot be assigned within the same Branch or comparable organizational element except in unusual circumstances.) Personnel recruited in or transferred from the United States will be limited to filling key positions regarded as essential for security reasons or requiring skills not available locally. Consideration must be given to the ability of DIA to insure adequate housing, subsistence, medical, commissary, exchange, laundry, transportation and other essential facilities and services. Except in emergencies, an overseas manager will not request U.S. recruitment unless health and decency standards can be met.

Since DIA civilian employees abroad are representatives of the United States, DIA will select only persons whose qualifications and adaptability make them suited for overseas assignment. Full and accurate information will be given prospective employees about the area for which they are being considered, the type of facilities that are available, environmental conditions, the work they will perform, and their responsibilities to DIA and the United States.

Individuals considered for overseas assignment will be selected solely on merit. Exclusionary policies of the country to which an employee is to be assigned will not be a factor in selection. If the host country refuses a visa to a selected candidate on the basis of exclusionary policies related to equal opportunity factors (e.g., sex, race, religion), DIA will report the denial through channels to the Assistant Secretary of Defense (International Security Affairs).

Reemployment rights to a position in the continental United States may be given to DIA employees who accept assignments overseas with DoD. Employees exercising such rights will submit applications (including updated personnel security forms) 6 months prior to the completion date of the period for which such rights were granted. Employees who exercise reemployment rights to DIA will be placed in vacant positions for which they are qualified, using DIA Priority Placement Program procedures. (See Chapter 3, Unit 4)

When permitted by U.S. and host country treaty or agreement, DIA will pattern its employment conditions for locally hired non-U.S. citizen employees after the customs and practices of the local area. Compensation for such employees will be based on local prevailing pay rates. Such employees will receive training necessary to equip them to perform their duties, make them more productive, and qualify them for advancement.

CHAPTER 9: MANAGING OVERSEAS EMPLOYEES
UNIT 1: DIA OVERSEAS EMPLOYEES

Defense Attache System (DAS)

DIA employees may be assigned to the DAS and individuals may be recruited for the system from outside DIA. The normal length of tour for a DAS civilian employee is 2 years. In specific cases, a shorter term may be approved by the Director, DIA. Further, the 24-month tour may be reduced by 2 months when a DAS employee signs a renewal agreement to serve an additional tour at the same or another overseas area. The maximum period of continuous overseas duty (at one or more duty stations) is 6 1/2 years. An employee who has served for that period must reside in the United States for 2 years or more before becoming eligible for another overseas tour. All DAS employees will be advised of the 6 1/2-year limit. An employee who fails to accept reassignment to the United States after serving the maximum period overseas will be separated. However, the Executive Director may waive the limit in unusual circumstances when the overall needs of DIA demand an exception.

DIA employees reassigned to DAS will be returned to a position in the United States on return from overseas. DAS employees recruited from outside DIA will be considered for reassignment after successful completion of their DAS tours on a case-by-case basis subject to the needs of DIA. The cognizant Defense Attache must recommend retention of the employee before reassignment to DIA.

DAS employees will receive housing allowances, cost-of-living allowances, and differential allowances as appropriate to their place and conditions of employment.

Other DIA Employees Assigned Overseas

Normally, DIA employees serving overseas other than those in DAS are limited to an aggregate of 5 years and have a standard tour of duty of 36 months with specified exceptions; renewal transportation agreements will be for 24 months. In areas where the standard tour is 2 or 3 years, the tour may be reduced by 2 months when employees sign a renewal agreement to serve an additional tour at the same or another overseas area. The tour of employees serving in a 36-month tour area who have 5-year service limitations, may be reduced by 6 months for renewal agreement travel, provided the renewal is for duty in a 36- or 24-month tour area. (When the initial agreement is reduced, the renewal agreement must prescribe a period of service which, in combination with previous service, will total 60 months including absence for renewal agreement travel and related leave.) Use of such reduced tours is authorized to permit scheduling leave at slack periods or during school vacations. A DIA manager desiring to establish a tour of duty other than those established will submit a request for an exception, including reasons. Final approval authority rests in the Office of the Secretary of Defense.

CHAPTER 9: MANAGING OVERSEAS EMPLOYEES
UNIT 1: DIA OVERSEAS EMPLOYEES

Certain employees hired overseas:

- o whose immediate prior service was also overseas
- o who report without renewal agreement travel, and
- o whose agreements have been negotiated.

will be required to serve in the area for a period of time in addition to their immediate prior period of civilian or military service, to complete either the authorized tour for the area or one year from their date of employment, whichever is greater. This applies to:

- o employees transferring to the DIA from either a DoD component or another Government agency
- o military personnel, persons in the employ of an international organization participated in by the United States, and persons in the employ of Government contractors overseas, who separate in overseas areas to accept DIA employment.

When persons are involved in a transfer of function, the tour of duty specified in their current agreements will govern.

The 5-year limitation on overseas service does not apply to personnel:

- o with the status of dependents accompanying DoD military or civilian personnel stationed in the area
- o in positions with official position descriptions requiring frequent contact with officials of the host nation and a detailed current knowledge of the culture, mores, laws, customs, or government processes of the host nation, which usually cannot be acquired outside the host nation.

Other extensions beyond 5 years may be granted by the Executive Director on a case-by-case basis for a specified period, normally not to exceed one year when:

- o a suitable replacement has not been located and time is required to train a replacement
- o special personal circumstances, such as imminent retirement, make it inappropriate to require the employee to return
- o special work circumstances make it desirable that the employee be retained for an additional period.

CHAPTER 9: MANAGING OVERSEAS EMPLOYEES
UNIT 1: DIA OVERSEAS EMPLOYEES

DIA civilians will receive differentials and allowances that are appropriate to their employment conditions. DIA employees reassigned overseas will be returned to positions in the United States after completion of their overseas tours. Employees recruited from outside DIA will be afforded reassignment to Headquarters DIA according to their conditions of employment and needs of the Agency.

CHAPTER 9: MANAGING OVERSEAS EMPLOYEES
UNIT 2: DEPENDENTS/FOREIGN NATIONALS

INTRODUCTION: It is often advantageous for DIA to meet staffing needs in overseas areas by employing qualified individuals already located in the area. The two major sources of such employees are dependents of military or civilian personnel of DoD stationed in the area, and foreign nationals.

FINDING HELP

IF YOU WANT TO KNOW ABOUT....	GO TO.....
o Employment of dependents of personnel stationed in foreign areas	Page 9-8
o Employment of foreign nationals in foreign areas	Page 9-8

CHAPTER 9: MANAGING OVERSEAS EMPLOYEES
UNIT 2: DEPENDENTS/FOREIGN NATIONALS

Employment of Dependents of Personnel Stationed in Foreign Areas

If qualified dependents of military or civilian personnel of DoD are locally available for appointment to positions in foreign areas for which recruitment outside the current work force is appropriate, appointment will be limited to such dependents unless precluded by treaties or other agreements which provide for preference being given to local nationals.

Generally, appointments of dependents will not extend:

- o longer than 2 months following the transfer from the area, or the separation, of the appointee's sponsor, or
- o beyond the time the employee ceases to be a dependent.

Employment of Foreign Nationals in Foreign Areas

U.S. facilities are normally established in the territory of another nation under the terms of a treaty or other agreement, which usually contains provisions on the employment of foreign nationals. These provisions differ from country to country, but the foreign national employment system must conform to these general principles:

- o Prevailing practices, local laws, and customs shall be followed in the employment of foreign nationals when the practices, laws, and customs are not in conflict with U.S. law and are compatible with the management needs of DIA.
- o Foreign nationals shall be employed as extensively as practicable, consistent with dependent hire policies and agreements with the host country, to reduce the need to import workers into the host country.

DIA is responsible for protecting its security. The agreement with the host government must provide:

- o for appropriate investigative requirements for foreign nationals
- o that no person will be employed by DIA if the employment is inconsistent with the interests of national security.

DIA will release any foreign national who is considered to be a security risk, but since such a discharge may cause serious labor unrest and grievances, carefully following procedures is necessary to insure that employees are fairly treated.

CHAPTER 9: MANAGING OVERSEAS EMPLOYEES
UNIT 2: DEPENDENTS/FOREIGN NATIONALS

Local nationals shall be accorded employment conditions based on local law and prevailing practices and customs. These conditions shall be favorable enough to meet fair standards in the labor market, but not so advantageous as to create a privileged group within the country, or to disrupt the local labor market.

**OFFICIAL GUIDANCE: DIAR 22-20, DIA Employees in Overseas Areas,
Enclosure 3**

CHAPTER 10: CONCLUDING PERSONNEL ACTIONS

OVERVIEW

Those personnel actions which terminate an employee's Federal service, voluntarily or involuntarily, are an integral part of a personnel system and an important aspect of a supervisor's responsibilities. Retirement (see also Chapter 7, Unit 2) and resignation are the most common concluding personnel actions. Involuntary termination is comparatively infrequent, but because adversarial relationships are often involved, such actions require disproportionate care from managers. Another type of separation which is very common in the Federal service is transfer to another agency, which does not affect the employee's status as a Federal employee but does terminate his/her employment in DIA.

CHAPTER 10 CONTENTS

Chapter 10 contains two units, each of which deals with actions terminating employment in DIA.

Unit 1: Retirement

- CSRS
- FERS
- Supervisory/managerial responsibilities

Unit 2: Resignation and Termination

- Resignations
 - Separation - transfer
 - Separation for military service
 - Expiration of appointment
 - Separation - disability
 - Other terminations
 - Out-processing requirements
-

CHAPTER 10: CONCLUDING PERSONNEL ACTIONS

UNIT 1: RETIREMENT

INTRODUCTION

Retirement is a major employee benefit and the most commonly used separation action among career Federal employees. Supervisors/managers need to be informed of the various types of retirement and of their responsibilities in this regard.

FINDING HELP

IF YOU WANT TO KNOW ABOUT....	GO TO....
o CSRS	Page 10-3
o FERS	Page 10-5
o Supervisory/managerial responsibilities	Page 10-5

CHAPTER 10: CONCLUDING PERSONNEL ACTIONS
UNIT 1: RETIREMENT

CSRS

There are 4 basic types of Civil Service Retirement System retirement for which DIA employees employed before 1984 are eligible: Optional Retirement, Discontinued Service Retirement, Disability Retirement, and Deferred Retirement.

TYPE	ANNUITY	ELIGIBILITY REQUIREMENTS
Optional	<ul style="list-style-type: none"> o Immediate o 	<ul style="list-style-type: none"> o Employed under the Retirement Act for at least 1 year within the 2-year period immediately preceding the separation on which the annuity is based, o Completion of 5 years of civilian service, and o Meets certain age and length of service requirements <ul style="list-style-type: none"> - Age 62, or - Age 60 and 20 years of creditable service, or - Age 55 and 30 years of creditable service.
Discontinued Service	<ul style="list-style-type: none"> o Immediate o o If employee is under age 55, annuity is reduced by 1/6 of 1 percent for each month the employee is under age 55. o 	<ul style="list-style-type: none"> o Involuntarily separated from the service, o Employed under the Retirement Act for at least 1 year within the 2-year period immediately preceding the separation on which the annuity is based, o Completion of 5 years of civilian service, and

CHAPTER 10: CONCLUDING PERSONNEL ACTIONS
UNIT 1: RETIREMENT

TYPE	ANNUITY	ELIGIBILITY REQUIREMENTS
Discontinued Service (Cont'd)		<ul style="list-style-type: none"> o Meets certain age and length of service requirements <ul style="list-style-type: none"> - Age 50 and 20 years of creditable service, or - Any age and 25 years of creditable service.
Disability	<ul style="list-style-type: none"> o Immediate 	<ul style="list-style-type: none"> o Completion of at least 5 years of civilian service, and o While employed under the Retirement Act have become totally disabled for useful and efficient service in his/her position or any other position of the same grade or class.
Deferred	<ul style="list-style-type: none"> o Deferred to age 62 o May give up annuity by applying for and receiving a refund of retirement contributions 	<ul style="list-style-type: none"> o Separated from the service for any reason, or transferred to a position in which he is not under the Retirement Act, before meeting the requirements for an immediate annuity, o Completion of at least 5 years of civilian service, and o Employed under the Retirement Act for at least 1 year within the 2-year period immediately preceding his/her separation or transfer.

CHAPTER 10: CONCLUDING PERSONNEL ACTIONS
UNIT 1: RETIREMENT

FERS

Under the FERS there is a variety of entitlements which vary depending on the date of employment and which present options for the employee's choice. RHR has full information to assist supervisors in advising employees.

Supervisory/Managerial Responsibilities

In most cases, retirement action is voluntary and initiated by the employee. In the case of disability retirement, however, the agency may initiate retirement action if:

- o the application is in lieu of removal
- o the employee is clearly unable (not simply unwilling) to file for himself/herself
- o the employee has no immediate family member or some other person who is responsible for the employee's care and custody to file for him/her.

Ceremonies for retiring DIA employees may be conducted by the immediate supervisor, or at a higher level, according to procedures established within each Directorate/Office. If the retiree does not want a ceremony, the retirement certificate and plaque can be presented privately or mailed.

On the employee's final workday, the supervisor will insure that the employee completes the appropriate internal clearance required within his/her organization. The employee must also be debriefed by security.

OFFICIAL GUIDANCE: DIAR 22-10, Retirement

CHAPTER 10: CONCLUDING PERSONNEL ACTIONS
UNIT 2: RESIGNATION AND TERMINATION

OVERVIEW

In addition to retirement, employees leave DIA employment by a variety of routes, most voluntary. Such separations can provide data to help in improving management practices. All officials will direct their efforts toward retaining fully qualified employees who are an asset to DIA. By the same token, involuntary separation is an option when employees fail to meet DIA standards on a continuing basis. All separations have security implications.

FINDING HELP

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CHAPTER 10: CONCLUDING PERSONNEL ACTIONS
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Resignations

An employee who plans to resign will submit a written notice on SF 52 to his/her supervisor at least 2 weeks before the last day of active duty. Oral notice is acceptable when written confirmation cannot be obtained from the employee. In such a case, the manager receiving the oral resignation will prepare a memorandum to record the resignation.

Supervisors will not refuse to accept a resignation nor attempt to compel the employee to remain beyond the date specified. Neither will an employee be requested or advised to resign. A submitted resignation is binding upon the employee, but he/she may sometimes be permitted to withdraw the resignation before it becomes effective. RHR, after consulting with the management official concerned, may decline a request to withdraw a resignation when there is a valid reason, such as administrative disruption, or the commitment to hire a replacement. (The fact that adverse action proceedings will have to be initiated if the employee doesn't resign does not constitute a valid reason.) The reason must be explained to the employee.

Separation - Transfer

An employee who wishes to transfer to another Federal agency will not be refused a release. RHR will negotiate with the other agency the date an employee will leave DIA. Supervisors may request at least 2-weeks notice, or when necessary, up to 30 days. However, if a period of over 2 weeks would jeopardize the employee's transfer, the additional time in DIA will not be required.

Separation for Military Service

Employees with statutory reemployment rights (i.e., those serving under Permanent, Conditional or Indefinite appointments) who separate to enter active duty in the Armed Forces are entitled to reemployment in DIA after leaving the Armed Forces. To insure these rights, the following steps must be taken on separation:

- o The employee's official position description will be reviewed for currency and accuracy, and revised, if necessary.
- o The official personnel folder and qualification records normally used for promotion purposes will be retained.
- o The employee will be referred to RHR for counseling on reemployment rights prior to the date of separation.

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The effective date of separation for employees entitled to Military Leave will be the expiration of such leave or any additional annual leave granted. The effective date of separation of other employees will be the day preceding the employee's entrance on active duty, or the date on which any approved leave will expire after entrance on active duty.

Expiration of Appointment

Employees serving under appointments with a time limitation must be terminated (or have the appointment extended or converted) prior to the date of expiration.

Separation - Disability

DIA may request a medical examination of an employee when it is believed that the employee is not performing satisfactorily because of a physical or mental condition or when an employee's condition constitutes a hazard to others or to the employee. (See also Chapter 8, Unit 2 and Chapter 10, Unit 1) Such a request should give full details of performance, conduct, absences, and other observations relating to the incapacity of the employee. The evidence should be such that would warrant adverse action procedures if the medical findings do not support disability retirement. An employee has the right to be represented during these procedures.

Other Terminations

There are a variety of other terminations, most of which are at least somewhat adversarial in nature. All require close coordination with RHR in advance.

Out-Processing Requirements

The objectives of the out-processing procedures are to:

- o enable DIA to retain desirable employees and to try to correct deficiencies that may have been the cause of the separation of an employee
- o obtain a final separation clearance on DIA Form 185, Part B (Outgoing Clearance Check List for Civilian Personnel) for each employee who separates from DIA
- o inform the separating employee of his/her benefits and obligations, and
- o obtain the return of Government property and any monies owed the Government.

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When a employee informs the supervisor that he/she plans to terminate DIA employment, the supervisor will discuss the reasons for leaving. Depending on circumstances, the supervisor will endeavor to make changes necessary to retain a desirable employee, including possible reassignment. If the employee cannot be retained, the supervisor will promptly submit a separation personnel action (SF 52) signed by the employee to RHR.

On receipt of the SF 52, RHR will conduct, where appropriate, a pre-separation interview to:

- o obtain information as to the employee's reason(s) for leaving
- o assess desirability of retaining the employee and, where advisable, suggest reassignment in DIA
- o recommend correction of conditions which led to the employee's dissatisfaction
- o brief the departing employee regarding benefits, out-processing and clearance requirements on the last day of duty
- o inform an employee who is paid at a rate equal to or greater than the minimum rate of GS-13 of the mandatory reporting requirements of PL91-121 on defense-related employment, and obtain a signed acknowledgement.

On the employee's final workday, the supervisor will insure that the employee completes the appropriate internal clearance required within his/her organization. The employee must report to The Directorate for Security and Counterintelligence for debriefing from collateral security clearance. All personnel authorized access to SI/SAO information must clear with the element Special Intelligence Contact Officer prior to appearing at the Special Security Office for debriefing. The employee will be responsible for obtaining clearances outlined in DIA Form 185, Part B and returning the complete form to RHR.

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If a supervisor learns that an employee in non-duty status is separating without returning to duty, the supervisor will:

- o submit an SF 52 on behalf of the employee;
- o secure all Government property known to be in the employee's possession, including passes/badges and parking permits;
- o insure that DIA Form 185, Part B is hand-carried to the offices specified for clearances and returned to RHR.
- o notify the employee to return for appropriate security debriefing; where return is impossible The Directorate for Security and Counterintelligence will be notified.

When applicable, RHR will inform the departing employee of the mandatory reporting requirements on defense-related employment.

**OFFICIAL GUIDANCE: DIAR 22-7, Adverse Actions
DIAR 22-13, In-and Out-Processing, Clearance and
Indoctrination of Civilian Personnel**