**DEPARTMENT OF THE ARMY**
**OFFICE OF THE DEPUTY CHIEF OF STAFF, G-2**
**1000 ARMY PENTAGON**
**WASHINGTON DC 20310-1000**

DAMI-CP

JUN 2 9 2011

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Issuance of the Department of the Army Policy, Volume 2011, Defense Civilian Intelligence Personnel System Performance Management

1. References:

a. Memorandum, Office of the Assistant Secretary (Manpower and Reserve Affairs), 16 June 2009, subject: Delegation of Authority for Army Defense Civilian Intelligence Personnel System (DCIPS) Implementation.

b. Department of Defense (DoD) Instruction 1400.25-V2011, DoD Civilian Personnel Management System, Defense Civilian Intelligence Personnel System (DCIPS) Performance Management, 14 August 2009.

c. Interim Department of the Army DCIPS Policy, Volume 2011 – Defense Civilian Intelligence Personnel System Performance Management, 17 July 2009 (hereby superseded).

d. Department of the Army DCIPS Policy, Volume 2011, Defense Civilian Intelligence Personnel System Performance Management, July 2011 (Enclosed).

2. In accordance with reference 1a, the Assistant Secretary of the Army (Manpower and Reserve Affairs) delegated to the Army G-2 the authority to issue Army supplemental DCIPS guidance. Pursuant to reference 1b, the Army G-2 approves the release of DCIPS Performance Management Policy at reference 1d. This issuance supersedes reference 1c and is effective immediately.

3. The Army G-2 further authorizes the supplementation of this policy where necessary, consistent with reference 1d. Organizations must forward copies of any supplements to Ms. Yolanda Watson, Director, Intelligence Personnel Management Office, Office of the Deputy Chief of Staff, G-2, Headquarters, Department of the Army, 1000 Army Pentagon, Room 2D350, Washington, DC 20310-1000.

4. The Office of the Deputy Chief of Staff, G-2 point of contact is Mr. Richard Leviner, Human Resources Specialist, (703) 695-1046; e-mail: richard.leviner@us.army.mil.

Encl

RICHARD P. ZAHNER
Lieutenant General, GS
Deputy Chief of Staff, G-2

Department of the Army

Volume 2011

# Defense Civilian Intelligence Personnel System Performance Management

June 29, 2011

**Department of the Army DCIPS Policy**

**Summary of Change – June 29, 2011**

**VOLUME 2011 – Defense Civilian Intelligence Personnel System Performance Management**

This volume, dated July 14, 2010, is revised to reflect the below changes.

- Clarifies and provides additional guidance on delegations of authority for the Performance Management Performance Review Authority (para 5.g)
- Adds requirement that supervisors have at least one performance objective addressing internal control responsibilities (Enclosure 2, para 2.b.(2)(a)2)
- Revises the rating formulas used to derive the overall summary level. (Enclosure 2, para 5.a.(2)(d), para 5.b.(1), para 5.b.(3) and para 5.c.(1))
- Removes requirement to certify in writing that every rating and reviewing official within the Performance Management Performance Review Authority's purview meets qualification/certification requirements (Enclosure 2, para 5.i)
- Adds specific terminology in regards to establishing a modal rating for specially situated employees that do not have a prior DCIPS evaluation of record (Enclosure 2, para 7.a.(3))
- Clarifies Performance Management Performance Review Authority responsibilities in regards to reconsideration requests (Enclosure 2, para 8.c)
- Adds performance standards by career field and pay level of the employee used to rate performance elements (Enclosure 5)
- Adds clarifying terminology to glossary (glossary)
- Ensures consistent usage of terminology in regards to performance evaluations and evaluations of record (throughout)
- Makes minor administrative editorial changes (throughout)

- This revision supersedes APV-2011 dated July 17, 2009

**Department of the Army DCIPS Policy**

**VOLUME 2011 – Defense Civilian Intelligence Personnel System Performance Management**

REFERENCES. See Enclosure 1.

1. AP-V 2011.1. PURPOSE. *Refer to Department of Army (DA) Policy-Volume 2001 (AP-V 2001), Defense Civilian Intelligence Personnel System Introduction (reference (a)).*

*2.* AP-V 2011.2. APPLICABILITY. *This issuance applies to Army civilian positions, employees or organizations as described in reference (g) engaged in or in support of an intelligence or intelligence-related mission. Performance management policies and procedures concerning establishing performance plans and evaluating performance of Defense Intelligence Senior Executive Service (DISES) member and Defense Intelligence Senior Leaders (DISL) professionals is addressed in other applicable Department of Defense and Department of the Army regulations, instructions and/or policy guidance covering senior executives and senior professionals and are not covered by AP-V 2011.*

3. AP-V 2011.3. DEFINITIONS. See Glossary.

4. AP-V 2011.4. POLICY.

All Army DCIPS employee (refer to paragraph AP-V 2011.2) shall use the DCIPS Performance Management System per references (b) through (d) and this policy. DCIPS is an essential tool supporting the transformation of the Defense Intelligence Enterprise, and required by reference (e). The DCIPS Performance Management System supports this transformation by:

a. Aligning performance objectives to the goals and objectives of the DA and the individual's organization.

b. Ensuring ongoing feedback between employees and supervisors on progress toward accomplishment of those objectives.

c. Providing a basis for measuring and assigning responsibility for individual and organizational performance for accomplishment of those objectives.

d. Establishing a fair and equitable process for rating and evaluating employee performance within and across the Defense Intelligence Components.

e. Identifying developmental needs of the DCIPS employees.

5. AP-V 2011.5. RESPONSIBILITIES.

The primary purpose of performance management is to achieve organizational results and mission objectives through the effective management of individual and organizational performance. To achieve that purpose, performance management shall be a priority for all Army Intelligence managers, supervisors, and employees. The performance expectations of organizations and their senior leaders shall be linked to the strategies promulgated by the Office of the Director of National Intelligence (ODNI) in reference (e), the Department of Defense (DoD), and DA. Performance expectations shall cascade from the senior levels of the organization through subordinate managers and supervisors to individual employees. Successful performance management requires commitment to effective performance planning, measurement, and management practices. All participants in the performance management process must invest adequate time and effort throughout the performance evaluation period to ensure performance management is effective.

*Note: All management officials involved in the performance evaluation process should complete available DCIPS performance management training prior to executing performance evaluation responsibilities.*

*a. The Secretary of the Army shall:*

*(1) Implement the DoD Policy 1400.25-Volume 2011 (Reference (f)) within the DA; issue supplemental guidance as appropriate, monitor DA Programs for compliance with the provisions of this policy, and respond to reporting requirements established by the USD(I).*

*(2) Delegate the authority as appropriate, to implement this policy within Army.*

*b. The Assistant Secretary of the Army for Manpower and Reserve Affairs (ASA (M&RA)) shall:*

*(1) Establish broad policy and objectives for DCIPS within the Army and in coordination with HQDA Deputy Chief of Staff (DCS), G-2, approve DCIPS policy guidance.*

*(2) Exercise oversight over DCIPS, including but not limited to, serving as the approval authority for program policy and strategic direction; and periodically review and evaluate DCIPS to ensure that implementation goals are accomplished.*

*(3) Provide program evaluation data and other reports to the Under Secretary of Defense for Intelligence (USD(I)), as required.*

*c. The HQDA DCS, G-2 shall:*

*(1) Establish the performance management program's strategic direction, provide the overall policy framework, and approve policy guidance for administration of DCIPS performance management.*

*(2) Exercise oversight of DCIPS Performance Management system.*

*d. The HQDA DCS, G-1, AG1 (Civilian Personnel) shall:*

*(1) Provide advice and assistance to the DCS, G-2 on all civilian human resources programs.*

*(2) Ensure alignment of DCIPS policies and procedures with the Army's strategic human capital plan and transformation goals.*

*(3) Support the implementation and sustainment of the DCIPS policies and programs.*

*e. The HQDA ADCS, G-2 shall:*

*(1) Provide executive advice and consultation to the DCS, G-2 and direct the full spectrum of DCIPS performance management programs, policies, and systems through supervision of the Director, IPMO.*

*(2) Ensure the implementation of DCIPS performance management and compliance with policy guidance.*

*(3) Serve as the Army Performance Management Performance Review Authority (Army PM PRA) for final independent review and decision of the employee's performance evaluation rating of record when an employee challenges the decision by the Command Performance Management Performance Review Authority (Command PM PRA).*

*f. The HQDA DCS, G-2, Director, IPMO shall:*

*(1) Design, develop, implement, administer, and evaluate Army DCIPS policy and programs, as directed by the HQDA DCS, G-2 in coordination with USD(I), ASA(M&RA), HQDA DCS, G-1 (Civilian Personnel), the Civilian Personnel Advisory Center (CPAC) and other organizations as necessary.*

*(2) Ensure DCIPS civilian personnel programs, policies, regulations, and procedures align with functional goals and objectives.*

*(3) Respond to official inquiries from Congress, ODNI, DoD, and Army regarding DCIPS.*

*(4) Act on requests for personnel actions or entitlements requiring HQDA or higher level decision or approval.*

*(5) Provide advice, assistance, and training on DCIPS programs.*

*(6) Develop broad-based DCIPS civilian human resources products in coordination with senior intelligence officials.*

*g. Commanders of ACOMs, ASCCs, DRUs and the AASA shall*:

*(1) Serve as the Command PM PRA with the following responsibilities, in addition to the responsibilities contained in paragraph 5.i.*

*(a) Establish their respective PM PRA structure through the appointment of Organizational PM PRA(s). Organizational PM PRAs may be specific individuals or panels (headed by a chairperson) that report back to and provide recommendations to the PM PRA.*

*(i) If panels are utilized, the members serving on a panel should be employees of Army Intelligence organizations.*

*(ii) When the entire panel cannot consist of Army Intelligence employees, the Commander may request appropriate personnel from within the Defense Intelligence Community (IC) to participate on their panel to provide appropriate levels of expertise. In these circumstances, an Army Intelligence employee must serve as the chairperson of the panel.*

*(iii) Appointments as Organizational PM PRA(s) must be in writing, no lower than to Commanders (Colonel – 06 and above or civilian equivalent). A copy of the appointment must be maintained where the authority is held and provide a copy to HQDA, ODCS, G-2 Director, IPMO.*

*(iv) The Authority to render decisions for formal reconsideration requests will remain at the Command PM PRA level and is not further delegable.*

*(b) Provide independent review and decision of formal reconsideration requests of evaluations of record when challenged by employees (IAW Enclosure 2, para 8.c).*

*(2) Commanders of ACOMs, ASCCs, and DRUs may further delegate the authority to serve as the Command PM PRA to their Deputy Commander or Command Chief of Staff. For Headquarters, Department of the Army, the AASA may further delegate the authority to the Deputy Administrative Assistant to the Secretary of the Army or to the Principal Officials. Delegations must be in writing with the official designated by organizational title. A copy of the delegation must be maintained in the*

*office where the authority is held and provided to the HQDA, ODCS, G-2 Director, IPMO. Commanders are to remain cognizant of and accountable for all actions taken pursuant to the delegated authorities.*

*h. Civilian Human Resources Directors of the ACOMs, ASCCs, DRUs, and the AASA shall serve as command advisors for all civilian human resources systems and programs and the primary points of contact for the HQDA DCS, G-2 on managing DCIPS programs.*

i. Performance Management Performance Review Authority (PM PRA) [includes Army PM PRA, Command PM PRA's and Organizational PM PRA's] shall:

(1) Oversee the performance management process to ensure the consistency of performance management policies within Army Intelligence and non-intelligence organizations with DCIPS-covered employees.

*(2) Establish annual guidance and procedures for the performance management review process.*

*(3) Notify employees no later than 90 days before the end of a rating cycle of the employee's PM PRA structure [Command PM PRA or Organizational PM PRA].*

(4) Ensure compliance with Merit System Principles and prevention of conflicts of interest in the establishment and operation of performance management reviews.

j. Reviewing Officials serve as the approving official for each individual's performance plan and evaluation within their purview. Reviewing officials are responsible and shall be held accountable for ensuring accuracy of performance management within the subordinate organizations and units for which they are responsible. Reviewing officials shall also ensure:

(1) Performance plans and Individual Development Plans (IDP) are in place and in accordance with established timelines for all employees within their purview.

(2) Subordinate rating officials and supervisors (when the supervisor is not the rating official) are trained in their roles and responsibilities.

(3) Subordinate rating officials provide performance feedback throughout the evaluation period and document at least one midpoint performance review feedback session with each employee.

(4) Subordinate rating officials, when not the immediate supervisor of employees for whom they are the rating official, are maintaining ongoing dialogue with the immediate supervisors of employees regarding employee performance.

(5) All performance plans within the Reviewing official's subordinate organizations and units are initiated and approved within established timelines.

(6) All performance evaluations of record within the Reviewing official's subordinate organizations and units are completed within established timelines.

(7) Performance standards are consistently applied among those rating officials for whom they are the reviewing official. Reviewing officials shall meet with rating officials on an as needed basis to discuss equity in establishing performance expectations and in the rating process.

(8) Subordinate's performance objectives and employee development plans are aligned with the organizational goals and objectives.

(9) Rating officials adhere to DCIPS performance management policies and procedures.

Note: In most cases, reviewing officials are Army DCIPS employees. Exceptions may be granted by IPMO where the organization's structure prevents this from being possible.

k. Rating Officials are responsible and shall be held accountable for effectively managing the performance of assigned employees. Rating officials shall:

(1) Effectively manage the performance of assigned employees.

(2) Execute the requirements of this policy in a manner consistent with the Merit System Principles set forth in Chapter 23 of reference (g).

(3) Ensure employees are trained in the DCIPS Performance Management Program.

(4) Collaborate with, develop, and communicate performance objectives and expectations to employees for the performance evaluation period within prescribed timelines, and ensure accountability for accomplishing them.

(5) Prepare jointly with employees developmental objectives for the performance evaluation period and record them in an IDP.

(6) Align performance objectives and employee development with organizational goals and objectives.

(7) Discuss with employees the relevance of performance elements to individual performance objectives.

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

(9) Ensure employees are aware of the requirement to document accomplishments at the end of the evaluation period.

(10) Foster and reward excellent performance.

(11) Address poor performance.

(12) Make meaningful and fair distinctions among employees based on performance and contribution.

(13) Complete closeout performance evaluations and interim performance reviews within established timelines.

(14) Collaborate with reviewing officials to complete performance evaluations.

(15) Ensure that eligible employees are assigned an evaluation of record as prescribed by this policy.

l. Supervisors When Not the Rating Official shall:

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

(2) Participate with the rating official in the completion of closeout, interim, and/or evaluation of record.

(3) Participate with the rating official in the completion of closeout or interim evaluations on employees under their supervision for whom they are not the rating official.

Note: Supervisors normally will be the rating official for employees under their direct supervision. However, in unusual circumstances, rating official responsibilities will be assigned to an official in the chain of command above the immediate supervisor.

m. Employees are accountable for:

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

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

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

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

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

(6) Accepting personal accountability for their actions.

6. AP-V 2011.6. PROCEDURES.

Enclosure 2 provides procedures for DCIPS performance management. Enclosure 3 provides specific guidance for preparing supervisory and managerial objectives. Enclosure 4 provides a quick reference for the performance management timeline. Enclosure 5 provides specific performance standards that operationalize performance elements to the career field and pay level of the employee.

7. AP-V 2011.7. RELEASABILITY. Unlimited. This issuance is approved for public release.

8. AP-V 2011.8. EFFECTIVE DATE. This issuance is effective immediately.

Enclosures
1. References
2. Procedures
3. Guidelines for Writing Performance Objectives
4. Quick Reference Performance Management Timeline
5. Performance Standards

Glossary

ENCLOSURE 1

REFERENCES

(a) AP-V 2001, “Defense Civilian Intelligence Personnel System Introduction,” July 17, 2009

(b) DoD Directive 5124.02, “Under Secretary of Defense for Personnel and Readiness USD(P&R)),” June 23, 2008

(c) DoD Directive 5143.01, “Under Secretary of Defense for Intelligence (USD(I)),” November 23, 2005

(d) DoD Directive 1400.25, “DoD Civilian Personnel Management System,” November 25, 1996

(e) DoD Directive 1400.35, “Defense Civilian Intelligence Personnel System (DCIPS),” September 24, 2007

(f) DoD Instruction 1400.25, Volume 2011, “Defense Civilian Intelligence Personnel System (DCIPS) Performance Management,” August 14, 2009 (Incorporating Change 1, January 15, 2010)

(g) Chapter 23 of title 5, United States Code, Merit System Principles

(h) Section 7112(b)(6), title 5, United States Code

(i) Paragraph 2-11, Army Regulation 11-2, “Managers’ Internal Control Program,” January 4, 2010

ENCLOSURE 2

PROCEDURES

1. THE PERFORMANCE MANAGEMENT PROCESS

a. The DCIPS performance management process consists of three distinct phases: performance planning, managing performance throughout the evaluation period, and evaluation of performance at the end of the performance evaluation period. The standard performance evaluation period for DCIPS runs from 1 October through 30 September of each year. Requests for exceptions must be submitted through command channels to HQDA, DCS, G-2, IPMO. Upon concurrence, by G-2, requests will be forwarded to USD(I) for approval/disapproval. The performance evaluation period officially begins on 1 October of each year with the performance planning process. During the performance planning phase in October of each year, rating officials (in collaboration with the supervisor when the supervisor is not the rating official) and employees shall engage in dialogue to establish performance objectives that they shall be expected to accomplish during the performance evaluation period. The objectives set the expectations for "what" specifically each employee is expected to accomplish during the coming year. The rating official and employee planning process shall also include discussion of the six behaviorally-based DCIPS performance elements (the "how" of performance) further described in subparagraph 2.b.(2)(b) of this enclosure. These six elements are evaluated independently of the performance objectives.

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

c. At the end of the performance evaluation period, the employee is expected to document his or her accomplishments and submit them to the rating official (through the supervisor when the supervisor is not the rating official) as an element of the formal evaluation of performance for the year. The formal evaluation of the employee's performance shall include an evaluation of the extent to which the employee achieved

his or her performance objectives, an evaluation of how the employee performed against the six performance elements that contribute to success, and an overall summary evaluation of record. Enclosure (4) provides a quick reference of the performance evaluation period and the performance management timeline.

2. PERFORMANCE PLANNING

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

*(1) Establish a minimum of three performance objectives and no more than six, which are aligned to the Department of the Army and organization goals and objectives that set specific performance targets for the individual.*

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

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

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

b. Annual Performance Plan

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

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

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

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

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

employees. A rating official's determination of performance objectives is not grievable under the formal administrative grievance procedures and administrative reconsideration process. However, in the event that an employee is not in agreement with the objectives established, the employee is encouraged to collaborate with their rating official and/or reviewing official regarding concerns.

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

(2) Components of the Performance Plan.

*(a)* Performance Objectives. *Each performance plan shall include a minimum of three and no more than six performance objectives aligned with the National Intelligence Strategy, DoD, DA and organizational goals and objectives.*

1. Non-Supervisory Performance Objectives. Each non-supervisory DCIPS employee shall be assigned performance objectives appropriate to the employee's pay band, and career or occupational category. Each objective shall be derived from organizational goals and objectives and are a critical element of the employee's job. Each objective also shall be structured such that they are Specific, Measurable, Achievable, Relevant, and Time-bounded (SMART) in accordance with guidance provided in Enclosure 3. Each objective shall include specific information on how achievement of the objective shall be measured.

2. Supervisory and/or Managerial Performance Objectives. Supervisors and managers under a DCIPS performance plan are accountable for achieving work results through subordinates. Therefore, performance objectives for supervisors and managers shall reflect progressively more demanding leadership roles. Individual objectives shall be appropriate to the level of supervisory or managerial responsibility and pay band. Objectives for the rating official should reflect responsibility for leading and managing the work and professional development of direct reports. Objectives for second or higher level managers should reflect their responsibility for setting the goals and direction of the unit, acquiring resources necessary for success, engaging in ongoing evaluation of progress and results, and implementing necessary course corrections in pursuit of results. Enclosure 3 provides specific guidance for preparing supervisory and managerial objectives. Rating officials shall provide subordinate supervisors and managers specific information on how achievement of objectives will be measured. Internal Controls: *Performance objectives for supervisors will include internal control responsibilities in accordance with reference (i). The internal control-related content of performance objectives must be tailored to their relative importance and other circumstances associated with each supervisor.*

(b) Performance Elements for All Employees. All employees, both non-supervisory and those holding supervisory or managerial positions, shall be rated against the six behaviorally-based performance elements. Performance expectations, even if not stated in a specific performance objective, include certain behavioral expectations that are related to an employee's conduct in the workplace and the approach to accomplishing specific performance objectives. These aspects of an employee's performance are captured in the performance elements against which all employees shall be rated. Employees are rated against the following six performance elements: (Also refer to Enclosure 5)

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

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

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

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

5. Personal Leadership and Integrity. *Army DCIPS employees* are expected to demonstrate personal initiative and innovation as well as integrity, honesty, openness, and respect for diversity in their dealings with coworkers, peers, customers, stakeholders, teams, and collaborative networks across the IC. Army DCIPS employees also are expected to demonstrate core organizational, DA, DoD, and IC

values including selfless service, a commitment to excellence, and the courage and conviction to express their professional views.

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

(c) Performance Elements for Supervisors and Managers. Supervisors and managers shall be evaluated on the following two performance elements in place of Personal Leadership and Integrity and Technical Expertise:

1. Leadership and Integrity. *Army Intelligence* supervisors and managers are expected to exhibit the same individual personal leadership behaviors as all Army DCIPS employees. In their supervisory or managerial role, they also are expected to achieve organizational goals and objectives by creating shared vision and mission within their organizations; establishing a work environment that promotes diversity (of both persons and points of view), critical thinking, collaboration, and information sharing; mobilizing employees, stakeholders, and networks in support of their objectives; and recognizing and rewarding individual excellence, community focus, innovation, and collaboration.

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

*(3)* Communicating the Performance Plan. Communications between rating officials and employees is critical to the success of the performance management process; therefore, communication between the employee and the supervisor regarding the content and expectations contained in the performance plan is critical to setting the tone for the annual performance management process. Though ongoing communication is encouraged throughout the entire performance cycle, there are three mandatory performance conversations throughout the performance cycle; (1) the initial dialogue; (2) a midpoint performance review; and (3) a final evaluation review. The initial dialogue between the employee and the supervisor sets the stage for follow-up midpoint performance, and performance evaluation reviews throughout the performance evaluation period. *If performance issues or deficiencies are identified, management should contact their servicing CPAC Advisor for guidance.*

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

(b) Supervisors and employees will dialogue on the performance plan that includes but is not limited to the relationship between the employee's performance objectives, the goals and objectives of the organization and the broader strategic objectives contained in *Army Intelligence* goals and objectives for the current and future years; examples of how the supervisor will assess employee accomplishments against performance objectives (quantitative and qualitative); and the relationship between the performance elements and standards against which the employee will be assessed and the accomplishment of performance objectives.

c. Annual IDP

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

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

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

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

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

d. Approval of Performance Plans. The performance objectives and IDP are considered approved when the rating official has communicated the plan to the employee in writing following approval by the reviewing official (in collaboration with the supervisor when the supervisor is not the rating official). The rating official shall record the employee's receipt of the performance plan and IDP and the manner in which it was provided (face-to-face, e-mail, fax, etc.) to the employee.

3. MANAGING PERFORMANCE

a. Monitor. Rating officials are responsible for managing the performance of subordinates to achieve the goals and objectives of the organization. To be effective in

their role, rating officials shall (in collaboration with the supervisor when the supervisor is not the rating official):

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

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

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

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

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

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

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

c. Dialogue and Feedback

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

(2) Although rating officials are primarily accountable for ensuring that dialogue regarding employee performance takes place, employees also have a responsibility to ensure that they receive continuing feedback on their performance. Employees may

and should request periodic feedback from their rating officials to ensure there is a common understanding of expectations and progress against performance objectives.

d. Minimum Period of Performance. Unless otherwise excluded*, this guidance applies to Army DCIPS employees* who at a minimum have been or are expected to be appointed or assigned to a DCIPS position and performing under an approved DCIPS performance plan for at least 90 days during the current performance evaluation period, but not to extend beyond the 30 September end-of-rating-period date*.* Periods of less than 90 days not included in the current performance evaluation period shall be covered in the subsequent performance evaluation period. Only continuous performance in a DCIPS position or in an approved detail or assignment to a non-DCIPS position may be used to satisfy the 90-day minimum period. Employees who have performed the minimum period shall be issued an evaluation of record in accordance with the procedures prescribed in this policy. Employees who have not completed the minimum period of performance during the applicable performance evaluation period will not be rated, and therefore generally will not be eligible for a performance payout except as specifically authorized by the policies and procedures in AP-V 2006. Employees who are not ratable because they will not have performed the minimum required 90 days of service shall be advised by the rating official during the initial performance planning session.

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

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

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

document any required changes to the objectives for the remainder of the performance evaluation period.

(1) For employees who are on track to meet or exceed expectations for their performance objectives, the rating official shall document the outcome of the midpoint review including the date on which the session took place and noting any changes in objectives or other summary information regarding the conversation. *Documentation for the record shall be maintained by the rating official.*

(2) For employees who are experiencing difficulties in achieving their objectives or are otherwise at risk of receiving a rating lower than "Successful," *the rating official shall contact their servicing CPAC Advisor for guidance.* The rating official should be prepared to document, present and retain documentation of all performance deficiencies. The rating official should also be prepared to discuss a course of action to help improve the employee's performance to the "Successful" level. Documentation for the record shall be maintained as part of the official performance record.

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

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

4. ENHANCING PERFORMANCE

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

b. Monitoring Progress Against the IDP

(1) Rating officials (in collaboration with the supervisor when the supervisor is not the rating official) and employees shall jointly review progress against the objectives of the IDP as part of the ongoing dialogue process during the evaluation period.

(2) During the formal midpoint performance review, rating officials (in collaboration with the supervisor when the supervisor is not the rating official) shall address progress against the IDP and its relationship to accomplishment of employee performance objectives. Rating officials should make specific reference to the relationship between IDP objectives and improving competence in areas addressed by the performance elements, and to other career-group-specific and occupational-category-specific competencies from which the performance elements were derived.

The performance elements and related competencies form the basis for supervisors to assist their employees with the individual development required for continued improvements in their ability to contribute to the intelligence mission.

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

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

(1) Early and Frequent Dialogue. At the first indication that an employee is not on track to meet performance expectations for the year, the rating official shall notify the reviewing official *and contact their servicing CPAC Advisor for guidance.* The rating official will schedule a feedback session with the employee to explore the performance issues and set a documented course of action for improving performance during the remainder of the evaluation period. Feedback shall include discussion of the specific areas in which performance improvement is required including restatement of the expectations for specific results and behaviors; exploration of barriers to success, and specific actions that the employee and supervisor shall take to improve performance. Feedback shall also include identification of resources available to improve performance, including offering the employee the support that is most likely to contribute to performance improvement, such as additional on-the-job training, formal job specific training, performance coaching, mentoring, frequent follow-up performance review sessions, or other options as appropriate.

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

*(a) Prior to issuing an "Unacceptable" or "Minimally Successful" level rating (Level 1 or 2), the rating official must contact the servicing CPAC Advisor for assistance and provide documentation to support placing an employee on an Improvement Plan (IP). In coordination with the servicing CPAC Advisor, the rating official must provide the employee with an IP, to formally notify the employee of deficiencies in their performance objectives and elements which have been determined to be at the "Unacceptable" level.*

*(b) The IP shall inform the employee, in writing, which objective(s) and/or element(s) are being performed in an unacceptable manner, explain specifically what is needed to meet the objective(s) and/or element(s), what assistance will be provided, and the consequences of failing to improve during the IP period (normally 60-90 days).*

*(c) At the end of the IP period, the rating official shall complete a performance evaluation on the employee. If the employee's performance improves sufficiently to warrant a "Successful" level or higher summary evaluation of record, no further action or documentation is required beyond continued performance monitoring. The employee shall be under close supervision for a period of one year. If the employee's performance declines to an "Unacceptable" level during the one year period after successful completion of the IP, the employee may be reassigned, demoted, or removed from Federal service without another performance improvement period. However, should the employee fail to improve sufficiently to warrant a "Successful" level or higher rating, the rating official shall consult with the reviewing official and coordinate with the servicing CPAC Advisor to identify and take the appropriate action, which may include reassignment, demotion, or removal from Federal service.*

(3) *Adverse Action*. If the rating official believes an employee's performance may warrant adverse action at or before the end of the evaluation period*, he or she shall seek advice from their servicing CPAC Advisor and follow the procedures prescribed in AP-V 2009.*

5. End-of-Year Performance Evaluation. The end-of-year performance evaluation prepared by the rating official (if the collaboration with the supervisor when the supervisor is not the rating official) provides the official documentation of the performance evaluation period. If done in the manner prescribed in this policy, the formal performance evaluation provides no surprises and simply provides an official record of the ongoing performance dialogue between the rating official and employee that has taken place over the course of the evaluation period. The written evaluation documents the employee's accomplishments against agreed-upon performance objectives and performance against the standards for the six performance elements, and provides an official evaluation of record that shall inform the pay-setting process in the annual performance-based pay-decision process.

a. Rating Performance Objectives

(1) Employee Self-Report of Accomplishments

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

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

(c) Employees shall complete their self-report of accomplishments and forward it to the rating official not later than 15 calendar days following the end of the evaluation period.

(2) Rating Official Evaluation of Performance. The rating official (in collaboration with the supervisor when the supervisor is not the rating official) shall prepare a narrative and numerical evaluation for each employee in accordance with guidelines prescribed for the annual employee pay-decision process.

(a) The rating official shall prepare a brief narrative evaluation of the employee's accomplishments for each performance objective with appropriate consideration of the employee's self-report. If the rating official believes the employee's self-report is an accurate evaluation of the accomplishment, he or she may agree with the self-report and add a clarifying narrative that describes the effects of his/her work on the organizational goals and objectives. When employees and rating officials evaluation differ in accomplishments, the rating official shall address the differences in the end-of-year performance dialogue.

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

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

(d) An overall rating for accomplishment of performance objectives shall be assigned by computing the arithmetic average of all assigned performance objective ratings. Performance objectives will account for 60 percent of the score of an

evaluation. *The overall rating for performance objectives shall be rounded to the nearest tenth of a point using standard rounding procedures.*

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

Table 1. Performance Objectives, Elements, and Overall Summary Rating Descriptors

| ***General Standards Applicable to:*** | | | |
|---|---|---|---|
| *Descriptor* | *Objective Descriptors* | *Element Descriptors* | *Overall Summary Rating* |
| Outstanding (5) | The employee far exceeded expected results on the objective such that organizational goals were achieved that otherwise would not have been.<br><br>At the summary level, the employee far exceeded expected results on all performance objectives such that organizational goals were achieved that otherwise would not have been.<br><br>Such exemplary achievements serve as a role model for others. | The employee consistently performed all key behaviors at an exemplary level on the element.<br><br>At the summary level, the employee consistently performed at an exemplary level on all performance elements.<br><br>The employee served as a role model for others. | The employee's overall contribution, both in terms of results achieved and the manner in which those results were achieved, has had extraordinary effect or impact on mission objectives that would have otherwise not been achieved.<br><br>Overall Summary Rating<br>4.6 – 5.0<br><br>The employee served as a role model for others. |
| Excellent (4) | The employee surpassed expected results in | The employee demonstrated mastery-level | The employee's overall contribution, both in terms of results achieved and the manner, in which those results were |

| | | | |
|---|---|---|---|
| | a substantial manner on the objective.<br><br>At the summary level, the employee surpassed expected results overall and in a substantial manner on most of the objectives. | performance of the key behaviors of the element.<br><br>At the summary level, the employee demonstrated mastery-level performance on most key elements. | achieved, has had significant impact on mission objectives.<br><br>Overall Summary Rating<br>3.6 – 4.5 |
| Successful (3) | The employee achieved expected results on the assigned objective.<br><br>At the summary level, the employee achieved expected or higher results overall and on most assigned objectives. | The employee fully demonstrated effective, capable performance of key behaviors for the performance element.<br><br>At the summary level, the employee demonstrated effective, capable performance or higher on key behaviors on most performance elements. | The employee's overall contribution, both in terms of results achieved and the manner, in which those results were achieved, has made a positive impact on mission objectives.<br><br>Overall Summary Rating<br>2.6-3.5 |
| Minimally Successful (2) | The employee only partially achieved expected results on the performance objective.<br><br>At the summary level, the employee only partially achieved expected results for assigned objectives. | The employee's performance requires improvement on one or more of the key behaviors for the element.<br><br>At the summary level, the employee's behavior requires improvement. | The employee's overall contribution to mission was less than expected.<br><br>Overall Summary Rating<br>2.0 – 2.5 |

| | | | |
|---|---|---|---|
| Unacceptable (1) | The employee failed to achieve expected results in one or more assigned performance objectives. | The employee failed to adequately demonstrate key behaviors for the performance element.<br><br>At the summary level, the employee received a rating of "unacceptable" on average for the performance objectives. | The employee received an unacceptable rating on one or more performance objectives.<br><br>Less than 2.0 on any objective |
| Not Rated (NR) | The employee did not have the opportunity to complete the objective because is became obsolete due to changing mission requirements or because of extenuating circumstances beyond the control of the employee and supervisor (e.g., resources diverted to higher priority programs, employee in long-term training, deployed, on leave without pay, etc.). | Not used for performance elements. | Not used for overall summary rating. |

b. Rating Performance Elements

(1) Each performance element for an employee shall be rated using the 5-point rating scale contained in Table 1. Performance against each element shall be rated by comparing employee performance against the narrative behavioral descriptors for each element contained in the performance standards arranged by career cluster and pay-

band level. *Specific performance standards that operationalize performance elements to the career field and pay level of the employee are at Enclosure 5.* The rating for an element shall be the highest level within the standard descriptors for which the employee fully meets the letter and intent of the element rating. If the employee does not fully meet the behavioral descriptor, the rating shall be assigned to the next lower level. The "NR" rating may not be used for performance elements. Any employee who has met the minimum requirements for receiving a performance rating shall be rated on all performance elements.

(2) The rating official (in collaboration with the supervisor when the supervisor is not the rating official) shall prepare a brief narrative summary of the employee's performance against each of the six DCIPS performance elements. The narrative shall highlight brief examples of employee actions that support the numerical rating assigned.

(3) An employee's overall rating against the six performance elements *will account for 40 percent of the score of an evaluation. The overall weighted rating for performance elements shall be rounded to the nearest tenth of a point using standard rounding procedures.*

c. Performance Evaluation of Record

(1) All employees shall receive an overall numerical performance evaluation of record that reflects the combined accomplishments against objectives and performance against the six performance elements. The evaluation of record shall be computed by calculating the arithmetic average of the overall *weighted* performance objectives rating and the overall *weighted* performance elements rating, except where the employee has received an overall rating of "1" for accomplishment of performance objectives. The summary average rating will be the arithmetic average of the average performance objectives rating and the average performance elements rating, except that an overall summary evaluation of record of "1" will be assigned if an evaluation of "Unacceptable" level is assigned to any performance objective. The average rating will be converted to an evaluation of record descriptor using the standards contained in Table 1 as a guide. Performance evaluations of record will be converted to and recorded as a whole number.

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

d. Reviewing Official's Evaluation of Performance

(1) The rating official shall forward their completed performance evaluations to the reviewing official prior to discussing the evaluation with the employee. The inclusion of the reviewing official in the performance evaluation process prior to providing feedback to the employee is not intended to limit ongoing dialogue between the rating official and the employee. Rather, it is to ensure that the rating official has

considered the perspective of the reviewing official's vantage point over several organizational units to ensure there is common understanding and interpretation of expectations and standards across the organizational units.

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

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

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

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

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

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

(1) When the PM PRA determines that there are inconsistencies requiring action, the PRA shall seek to resolve the discrepancies with the responsible reviewing officials.

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

(3) The PM PRA shall complete the performance evaluation review process no later than 45 days following the end of the evaluation period.

f. Communicating the Evaluation of Record to the Employee

(1) Rating officials are responsible for providing feedback to employees on their performance evaluation on receipt of approval of ratings from the reviewing official and the PM PRA. The dialogue on the formal performance evaluation should represent the culmination of ongoing feedback between the supervisor and employee regarding performance throughout the evaluation period.

(2) Feedback provided to the employee should include a discussion of the performance accomplishments, areas for potential improvement and how work-related behaviors captured in the performance elements may have contributed to or inhibited overall success. The overall numerical rating of record, as well as the performance objectives ratings and the performance elements ratings, shall be communicated to the employee. The discussion also should focus on achievements against developmental goals for the year and what additional developmental objectives may contribute to continued improvements in employee performance.

(3) If an employee disagrees with the ratings on the evaluation of record they may pursue the administrative reconsideration process delineated in Section 8.c. of this policy.

g. *Effective Date of Evaluation of Record*. *The effective date of the evaluation of record will be the date on which the reviewer approves the rating based upon completion of the PM PRA review, but not later than November 15 each calendar year shall be no later than November 15 of each year. Exceptions to the standard effective date are permitted provided unique, unusual circumstances warrant the variation. Such exceptions must be for an entire organization under the PM PRA purview as a whole and must be requested through the chain of command to the USDI.*

6. Interim Periods of Performance during the Evaluation Period. During the annual performance evaluation period, events may occur that result either in a change of the rating official or a reassignment of the employee, or an action that removes an employee temporarily from direct supervision of the rating official as a result of temporary assignments or deployments that do not result in a change in the rating official. The following special procedures are intended to address these special situations.

a. Closeout Performance Evaluation. When the rating official will no longer be the employee's rater, the rating official shall complete a brief narrative description of the

employee's performance, accomplishments, and contributions during the current evaluation period and assign numerical ratings in accordance with the end-of-year performance evaluation process. Generally, this situation exists on reassignment or separation of either the employee or rating official. Closeout performance evaluations shall be approved by a reviewing official and reviewed by the PM PRA as with the evaluation of record. Generally, this situation exists on reassignment or separation of either the employee or rating official.

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

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

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

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

(1) The supervisor at the location of deployment or temporary assignment who is knowledgeable of the employee's contributions to that organization shall complete a brief narrative of the employee's contributions during the deployment for submission to the employee's rating official at the parent command or organization.

(2) In their submission of accomplishments for the evaluation period, employees should include a brief summary of their accomplishments during any deployments or temporary assignments completed during the current performance evaluation period.

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

7. SPECIAL CIRCUMSTANCES

a. Employees Absent to Perform Uniformed Military Service. Employees who are absent from their positions in order to perform uniformed military service shall be entitled to all protections of title 38, U.S.C., commonly referred to as the Uniformed Services Employment and Reemployment Act of 1994.

(1) Employees who leave their positions during an evaluation period to serve a period of active uniformed military service, and who have completed at least 90 days under their performance plan, shall be entitled to a close-out performance evaluation.

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

*(3) Employees without a prior DCIPS evaluation of record will be assigned the modal rating as determined at the first level of PM PRA review. The modal rating is the most commonly given rating for other employees under the purview of the same PM PRA. In cases where there are more than one modal rating (i.e. nine 3.3s and nine 3.4s) the higher rating will be the modal rating.*

b. Employees Absent on Workers' Compensation. Employees absent from their positions on Workers' Compensation shall be handled in accordance with the same procedures for employees absent to perform uniformed military service.

c. Employees Absent Due to Other Special Circumstances.

*(1) Employees who are absent from their permanent position for long-term training, paid leave, or other special circumstances, who have completed the minimum period of performance for a rating in their permanent position will participate in the performance evaluation and pay pool process at the end of the performance evaluation cycle. The evaluation of record will be based on the performance and contributions made by the employee while in his or her permanent position performing under an approved DCIPS performance plan. DCIPS performance management procedures will be observed to the extent practicable.*

*(2) Employees who are absent from their permanent position for long-term training or paid leave who have NOT completed the minimum period of performance for an evaluation of record in their permanent position will receive performance pay adjustments based on the employee's last evaluation of record but not less than "Successful" for the evaluation period. Follow procedures for employees absent to*

*perform military service para 3* for employees without a prior DCIPS evaluation of record.

*d. All other employees absent from their permanent position who have NOT completed the minimum period of performance, not addressed in the above paragraphs, are not eligible for a presumptive rating.*

e. Administrative Error. Employees, who would have been eligible for an evaluation of record, but for an administrative error, shall be provided an extension to the evaluation period. The evaluation of record and payout procedures shall be consistent with the requirements of this policy to the maximum extent feasible. Such extension may not delay the effective date of the payout for either the individual employee or the pay pool.

8. CHALLENGING THE EVALUATION OF RECORD. This section describes the reconsideration process for DCIPS evaluations of record. The administrative reconsideration process described is the exclusive process by which Army DCIPS employees may challenge their evaluation of record pursuant to this policy. Exclusions: Employees may not challenge a midpoint review or an interim assignment report of performance. Allegations that a performance rating was based on prohibited considerations such as race, color, religion, sex, sexual orientation, national origin, age, physical or mental disability, or reprisal; on prohibited personnel practices; or on protections against whistleblower reprisal may not be processed through the reconsideration process. They shall instead be processed through the Equal Employment Opportunity (EEO) discrimination complaint procedure, the DoD Administrative Grievance System (AGS), the Army Inspector General, or other appropriate avenues as appropriate.

a. Alternative Dispute Resolution. Alternative dispute resolution may be pursued at any time during the reconsideration process.

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

c. Procedures for Administrative Reconsideration

*(1) Informal Process. If an employee disagrees with the ratings on the evaluation of record, the employee should first contact the rating and reviewing officials within 5 calendar days of the employee's receipt of the evaluation of record to resolve the disagreement informally. The rater and/or reviewing official are expected to respond to the employee within 5 calendar days from the day the employee raises the disagreement. If the employee, rater and reviewer are unable to resolve the*

*employee's issue within this 10 calendar day period, the employee may pursue the formal administrative reconsideration process.*

*(2) Formal Process.*

*(a) Command PM PRA:*

i. An employee seeking reconsideration of an evaluation of record must submit a written request for reconsideration to the *Command PM PRA with a copy to the rating official, the reviewing official, Organizational PM PRA (if applicable), and the servicing CPAC.* The request for reconsideration must state the basis for the disagreement about the evaluations of record and explain how any discussion with the rating and reviewing official has not resolved the matter.

*ii.* An employee who has attempted to resolve the disagreement informally shall have 10 calendar days from the date he/she receives a decision from the rater/reviewing official about the disagreement to initiate the formal administrative reconsideration process. An employee who has not pursued an informal resolution of the rating disagreement shall have 10 calendar days from the receipt of the evaluation of record to initiate the formal administrative reconsideration process.

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

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

v. Failure to comply with the procedures in this section may result in the Command PM PRA issuing a written cancellation of the reconsideration request. In this case, a copy of the cancellation shall be furnished to the servicing CPAC; the employee's rating official, Organizational PM PRA, and the employee.

vi. The Command PM PRA shall review the request and confer with the rating official and reviewing official. He or she may conduct further inquiry as he or she deems appropriate. Should the PM PRA direct such additional inquiry, the employee shall be offered the opportunity to review documentation and findings developed during the course of the further inquiry.

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

viii. The Command PM PRA shall render a written decision within 15 calendar days of receipt of the employee's written request for reconsideration. The Command PM PRA may extend the deadline if necessary by another 15 calendar days. The decision must include a brief explanation of the basis for the decision, and notification that the employee may request further and final reconsideration of the decision by the Army PM PRA. A copy of the decision shall be provided to the servicing CPAC, the Organizational PM PRA, the rating official, the reviewing official and the employee.

*(b) Army PM PRA*

i. If an employee chooses to request further and final reconsideration of the evaluation of record, a request for reconsideration must be submitted through the employee's Command PM PRA to the Army PM PRA within 7 calendar days of receipt of the notice from the Command PM PRA decision. Within 15 calendar days of receipt of a request for further and final reconsideration, the Army PM PRA shall issue a final decision unless he or she determines that further inquiry is required. In such case, the Army PM PRA shall advise the employee that a final decision shall be rendered on completion of the inquiry, but not later than 30 calendar days from the date of such notification. A decision by the Army PM PRA on the request for reconsideration is final.

ii. If the Army PM PRA decision is to change the evaluation of record, the corrected evaluation shall take the place of the original one. A revised performance evaluation shall be prepared and entered into all appropriate records and a copy shall be provided to the employee, the Command PRA, the Organizational PRA, the servicing CPAC, and the rating and reviewing officials. The revised evaluation of record shall be retroactive to the effective date of the original evaluation of record.

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

(4) If the Command PM PRA or the Army PM PRA grants the employee's request for reconsideration after the conclusion of the annual pay-decision process, the employee's pay decision shall be reconsidered and, if the change in evaluation of

record so indicates shall be changed to be consistent with the pay decisions for other similarly situated employees within the employee's pay pool. The new pay decision shall be made retroactive to the effective date of pay pool decisions made within the employee's pay pool.

# ENCLOSURE 3

# GUIDELINES FOR WRITING PERFORMANCE OBJECTIVES

1. Overview. Individual performance objectives against which employees work are critical to linking the individual employee to the mission, goals and objectives of an organization.

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

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

2. The Smart Objective

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

b. In accordance with DCIPS, the performance objective shall become the most important element in the pay-decision process and shall also come into play in the promotion and assignment selection processes. Consequently, employees and managers must have confidence that performance objectives are written and evaluated in a manner that insures equity and fairness within every organization and across all career groups.

*c. The acronym "SMART" is used to describe objectives that are **S**pecific, **M**easureable, **A**chievable, **R**elevant, and **T**imely/**T**ime-Limited. SMART is the test by which Army DCIPS employees, managers, and oversight bodies shall judge both the*

*quality and fairness of objectives against which employee performance will be measured.*

3. Writing Smart Objectives for Employees

*a.* Specific Objectives. *For there to be a common understanding between the supervisor and employee on what the employee is expected to achieve during the performance evaluation period, individual objectives must lay out clearly for the employee what he or she is expected to accomplish during the performance evaluation period.*

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

(2) Performance Objectives are Specific. Performance objectives need to be more specific than general duty statements. Supervisors must provide employees with a minimum of three and no more than six performance objectives for the performance evaluation period with fewer generally being more effective. For example, an objective derived from the duty statement in the example in above would be sufficiently specific for an experienced analyst to understand the expectations for one of his or her work products during the evaluation period. The restated objective might read: "The employee shall complete by 31 August an analysis of the effects of U.N.-imposed sanctions on the Iraqi industrial sector and present the results of that analysis in a finished and appropriately coordinated intelligence report for release to the policy-making community."

(3) Performance Objectives are Measurable. Employees must be provided the criteria against which their accomplishments will be evaluated. In the example above, the work product has been described in terms sufficiently specific for an experienced

analyst to understand. However, the supervisor has not yet described the criteria against which the completed work product will be reviewed to determine the extent to which it is responsive to the requirement (i.e., has the employee achieved or exceeded expectations). The supervisor might expand on the objective above by stating: "In order to achieve expectations on this objective, the completed product will make use of available intelligence from all relevant sources; will reflect engagement with other analysts, customers and stakeholders in the subject of the analysis; will have incorporated the coordinated views of those other analysts and collectors throughout the IC; will be presented in the product style appropriate to the question; and will be timely." For an experienced employee, the standards outlined should be sufficient to establish the standard review methods that will be applied and any extraordinary expectations that may be added.

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

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

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

(5) Performance Objectives are Relevant. For the purpose of DCIPS, a "relevant" performance objective for an employee is derived from DoD, Army, and the mission objectives of the employee's organization.

(6) Performance Objectives are Timely or Time-Bound. Performance objectives must specify the period during which the objective is expected to be achieved. In the

example above, the period has been specified as requiring completion of and delivery of the work product by 31 August of the evaluation period.

4. Writing SMART Objectives for Supervisors and Managers

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

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

(1) At the management level, individual objectives capture the broad programmatic responsibilities of the employee for creating and leading the programs within his or her area of responsibility that support the organizational objectives that have cascaded down from the NIS, Defense Intelligence guidance, and the immediate Intelligence Component goals and objectives. Using the example for the individual analyst contributor developed above, the complete SMART objective for the analyst would be as follows: This objective would have cascaded down from the managers' objectives through the unit supervisor to the employee. The employee shall complete by 31 August an analysis of the effects of U.N.-imposed sanctions on the Iraqi industrial sector and present the results of that analysis in a finished and appropriately coordinated intelligence report for release to the policy-making community. In order to achieve expectations on this objective, the completed product will make use of available intelligence from all relevant sources, will reflect engagement with other analysts and stakeholders in the subject of the analysis, will have incorporated the coordinated views of those other analysts and collectors throughout the IC, will be presented in the product style appropriate to the question, and will be timely."

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

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

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

ENCLOSURE 4

QUICK REFERENCE PERFORMANCE MANAGEMENT TIMELINE
RATING CYCLE

1 October – 30 September

| ***DCIPS PERFORMANCE EVALUATION ACTION*** | ***DUE DATE*** |
|---|---|
| *Objectives & IDPs* | *Within 30 days from the beginning of the performance evaluation period* |
| *Midpoint Performance Review* | *Mid-way between beginning and end of the performance evaluation period* |
| *Employee Accomplishments* | *Within 15 days from the end of the performance evaluation period* |
| *Rating Official/Supervisor's Evaluation* | *Within 30 days from the end of the performance evaluation period* |
| *Reviewing Official's Review* | *Within 45 days from the end of the performance evaluation period* |
| *Rating Official's Communication of Performance Evaluation to Employees* | *Within 10 days from receipt of the appraisal from the reviewing official* |
| *Effective Date of Performance Evaluation of Record* | *November 15* |

***KEY POINTS:***

*1) Establishment of performance objectives, the midpoint performance review and the performance appraisal forms are all completed in the Performance Appraisal Application (PAA) tool.*

*2) The rating official is generally the immediate supervisor. However, in unusual circumstances in which rating official responsibilities are assigned to an official in the chain of supervision above the immediate supervisor, the supervisor shall be responsible and accountable for collaborating with the rating official in his or her performance management responsibilities.*

*3) A close-out performance evaluation is not required if the rater or employee departs less than 90 days into the performance evaluation period. However, annotation of the employee's performance should be documented and submitted to the gaining supervisor for inclusion in the final rating.*

*4) A close-out performance evaluation is required for assignments 90 days or longer and should be completed within the automated PAA tool. Reasons for close-outs include: the employee leaves the position and remains with the agency or federal*

*government; there is a change in rater; or the employee is promoted into a different pay band or into a new series.*

# IC Performance Standards

**Final**
**Version 1**
**23 April 2009**

## TABLE OF CONTENTS

BACKGROUND.....3

OCCUPATIONAL STRUCTURE.....4

PERFORMANCE ELEMENT CONTENT MODELS.....7

Professional and Technician/Administrative Support Work Categories.....7

Supervision/Management Work Category.....9

EXAMPLE INDICATORS OF "OUTSTANDING" PERFORMANCE.....12

PERFORMANCE STANDARDS.....13

Professional Work Category –Entry/Developmental Band 2.....14

Professional Work Category – Full Performance Band 3.....16

Professional Work Category – Senior Band 4….....19

Professional Work Category – Expert Band 5.....22

Technician/Administrative Support Work Category – Entry/Developmental Band 1.....26

Technician/Administrative Support Work Category – Full Performance Band 2.....28

Technician/Administrative Support Work Category – Senior Band 3.....31

Supervision/Management Work Category – Supervisor Band 3.....34

Supervision/Management Work Category – Supervisor/Manager Band 4.....38

Supervision/Management Work Category – Supervisor/Manager Band 5.....42

## Background

This document contains the following sections.

- **Occupational Structure** – Primary components of the occupational structure as defined in ICD 652. These components include the Work Categories and Work Levels.

- **Performance Element Model** – Definitions of each performance element and the key work behaviors that comprise each element. These work behaviors are the building blocks of the performance standards.

- **Performance Standards** – A separate set of standards has been defined for the Professional, Supervision/Management, and Technician/Administrative Support Work Categories. Within each of these categories, the performance standards define expectations for each Work Level (i.e., Entry/Developmental, Full Performance, Senior, and Expert). Within each Work Level, standards are anchored at two levels of performance: “Successful” and “Outstanding.”

## Occupational Structure

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

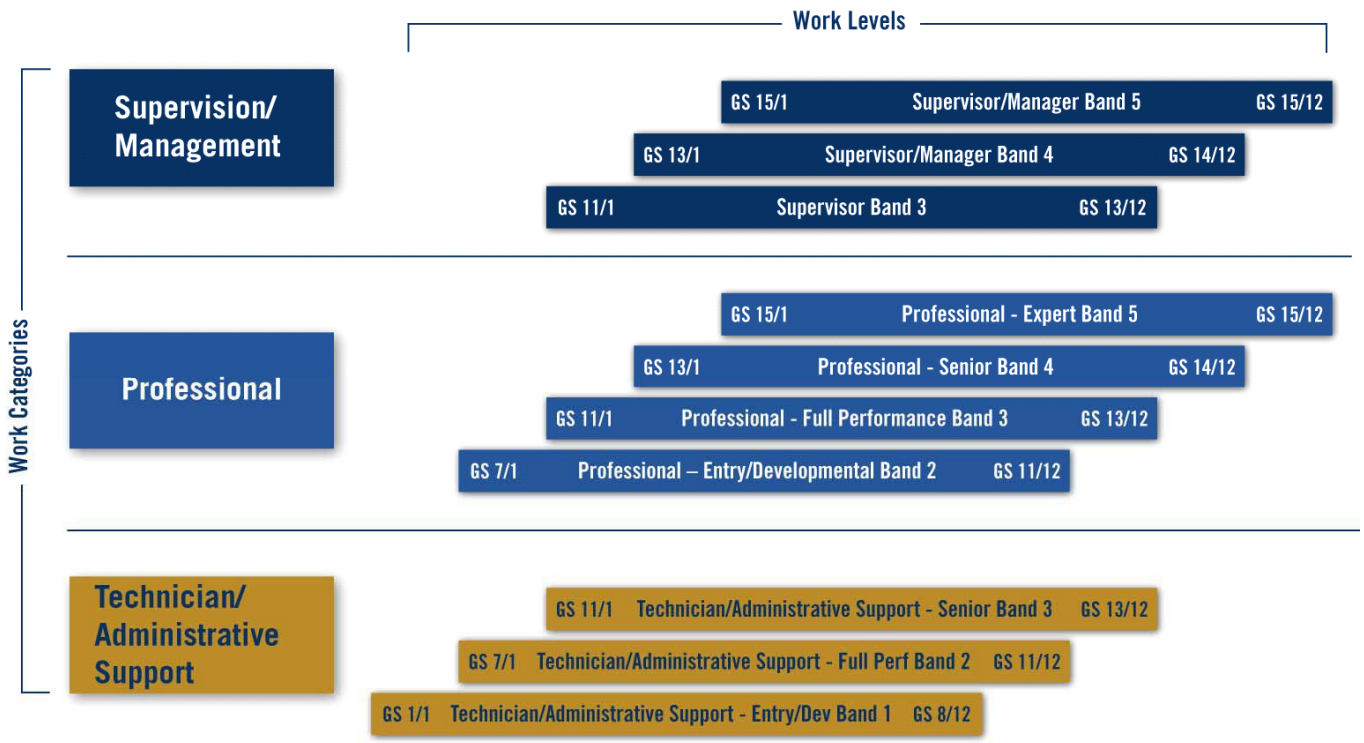
- **Professional** – Positions with duties and responsibilities that primarily involve professional or specialized work that requires the interpretation and application of concepts, theories, and judgment. Some groups in this category may have a positive education requirement (i.e., a requirement for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

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

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

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

**Figure 1. Work Levels within each Work Category1**




Work levels are defined as follows in ICD 652:

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

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

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

techniques, and practices in accomplishing their duties and responsibilities. Actions at this level may have impact beyond the work unit and, as a result, employees at result, employees at this level typically collaborate internally and externally with their peers.

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

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

# Performance Element Content Models

## Professional and Technician/Administrative Support Work Categories

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

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

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

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

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

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

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

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

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

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

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

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

## Supervision/Management Work Category

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

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

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

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

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

   - Gathers information or data that is necessary and appropriate for identifying or addressing issues and problems.

- Analyzes and integrates relevant information or data to draw sound and logical conclusions.
- Identifies and evaluates alternative solutions, courses of action, and strategies to address issues and problems.
- Makes sound and timely decisions or recommendations.
- Establishes a work environment where employees feel free to engage in open, candid exchanges of information and diverse points of view.

4. **Engagement and Collaboration** – This performance element measures the extent to which the employee is able to recognize, value, build, and leverage collaborative and constructive networks of diverse coworkers, peers, customers, stakeholders, and teams within an organization and/or across the IC to share knowledge and achieve results. In addition, IC supervisors are expected to create an environment that promotes engagement, collaboration, integration, and the sharing of information and knowledge.
   - Builds effective, collegial relationships that facilitate working across boundaries, groups, or organizations.
   - Recognizes responsibility to provide information to others and appropriately shares information and knowledge to achieve desired goals.
   - Leverages diversity by seeking out and integrating diverse perspectives from subordinates, coworkers, peers, customers, stakeholders, and teams within an organization and/or across the IC.
   - Creates an environment that promotes engagement, integration, and knowledge sharing.

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

   - Takes initiative and/or uses innovation to identify and understand emerging issues relevant to assignments and adapts products and services.
   - Demonstrates integrity, honesty, openness, and respect in dealings with subordinates, coworkers, peers, customers, stakeholders, teams, and others across the IC.

   - Demonstrates and advances core organizational and IC values, including selfless service, a commitment to excellence, and the courage and conviction to express one's professional views when representing one's self, unit, or agency.
     Creates a shared vision and mission within one's organization and mobilizes employees, stakeholders, and collaborative networks in support of organizational objectives.

- Establishes a work environment and organizational culture that values and promotes equal opportunity, diversity (of both persons and points of view), critical thinking, collaboration, and information sharing.
- Recognizes and rewards individual excellence, enterprise focus, innovation, and collaborative action.

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

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

## Example Indicators of "Outstanding" Performance

- Demonstrates ability to interact effectively with a wide range of individuals under varying circumstances in a manner that far exceeds expectations.
- Proactively strives to improve work unit and organizational performance through innovative methods.
- Demonstrates unusual creativity – comes up with new products, services, or work products that break new ground and/or greatly improve the organization's reputation, effectiveness, or efficiency.
- Outcomes have broad and significant impact beyond what would ordinarily be expected for his/her band.
- Generally performs at a level more consistent with the band above his or her current level.
- Operates more independently than would be expected at his/her band level.
- Is proactive rather than reactive: anticipates obstacles and actively plans to overcome them; persists in overcoming obstacles or solving problems when others typically give up.
- Achieves outcomes and results that are far superior in quality and depth to what would be expected ordinarily at the individual's band level; work quality is recognized by peers and customers for excellence; work submitted for review requires few, if any, substantive revisions.
- Serves as a model performer for peers; is sought out by others for advice and guidance and to handle highly visible, difficult, sensitive, complex, or ambiguous tasks.
- Seeks out new responsibilities and assignments outside immediate area of responsibility, leading to additional contributions to the work unit or organization at large.
- Puts forth extra effort to accomplish work assignments in the most efficient and effective manner possible – even when demands are very heavy and it is personally inconvenient.
- Productivity is above what would be expected normally for the individual's band level.
- Continually strives to improve his or her performance by seeking feedback and through self-directed learning opportunities.
- Demonstrates ability to handle more complex, subtle, or unusual problems than would be expected for his/her pay band.
- Demonstrates a higher level of knowledge and skill than what would be expected for his/her band.
- Recognizes patterns and trends in information or data and pulls together seemingly disparate pieces of information to develop new insights or solve problems.

# Performance Standards

## Professional Work Category –Entry/Developmental Band 2

| Performance Standards for Entry/Developmental Band 2 Employees in Professional Work Category | |
|---|---|
| **Accountability for Results** | |
| **Successful** | **Outstanding** |
| • Accepts responsibility for own actions, whether or not they are successful.<br>• Adheres to schedules and, with guidance, organizes and prioritizes own tasks to complete assignments in a timely and effective manner, making adjustments as needed.<br>• With guidance, gains a basic understanding of available resources and the process for acquiring the resources needed to accomplish own work; uses time and resources in an efficient manner.<br>• Takes action to achieve meaningful results in support of organizational goals and objectives. | • Proactively takes responsibility for own actions, even when faced with challenges or criticism.<br>• Puts forth effort to overcome obstacles and accomplish assignments; takes appropriate initiative to make adjustments to plans, goals, and priorities to meet deadlines.<br>• Takes initiative to expand knowledge of available resources and the process for acquiring them; makes meaningful suggestions for increasing efficiency in the use of resources.<br>• Consistently takes action to achieve outcomes and results that are superior in quality, quantity, and/or impact to what would ordinarily be expected at this level. |
| **Communication** | |
| **Successful** | **Outstanding** |
| • Interprets and appropriately responds to written, verbal, and non-verbal communications.<br>• With guidance, prepares routine written materials that are clear, organized, concise, in the correct format, and that contain proper spelling and grammar.<br>• With guidance, communicates clearly and concisely, conveying ideas and information in an organized, logical fashion; responds to routine questions in a timely, accurate, and courteous manner.<br>• With guidance, effectively adjusts communications for audience level of understanding; uses appropriate media in communications. | • Effectively recognizes even subtle written, verbal, and nonverbal cues and responds appropriately.<br>• Incorporates feedback to produce written materials that exceed expectations for organization, clarity, and quality.<br>• Explains complicated information in a manner that is easy to understand; responds to difficult questions in a timely, accurate, concise, and courteous manner.<br>• Tailors communications to meet audience needs and enhance their understanding. |
| **Critical Thinking** | |
| **Successful** | **Outstanding** |
| • With guidance, gains a basic understanding of straightforward situations or problems and collects information from routine sources.<br>• With guidance, evaluates, analyzes, and integrates basic data/information to identify issues or trends and to draw reasonable, logical conclusions for straightforward problems.<br>• With guidance, applies well-defined and established strategies and/or procedures to effectively solve straightforward problems.<br>• With guidance, makes sound and timely decisions in well-defined, low-risk situations affecting own work. | • Takes initiative to identify additional sources of information from non-routine sources for a more comprehensive understanding of issues and problems.<br>• Independently evaluates, analyzes, and integrates basic data/information to identify issues or trends and to draw reasonable, logical conclusions for a variety of problems.<br>• Suggests alternative solutions when the original course of action will not work.<br>• Makes sound, timely, and effective decisions with minimal guidance. |

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

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

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

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

## Professional Work Category – Senior Band 4

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

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

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

## Professional Work Category – Expert Band 5

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

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|---|---|
| • Recognizes potential implications of communications and tailors communications to a wide range of audience needs and level of understanding; uses a variety of media in communicating to facilitate audience understanding. | • Shows exceptional skill in tailoring communications to fully meet audience needs and maximize their understanding across the organization; takes other perspectives into account, even when addressing controversial topics. |

| | |
|---|---|
| ***Critical Thinking*** | |
| **Successful** | **Outstanding** |
| • Gains a complete understanding of a variety of highly-complex or high-visibility issues that impact the work unit and organization; places issues in a larger context by identifying key issues and assumptions and collecting accurate and relevant data; identifies sources for specialized or uncommon data.<br>• Expertly evaluates, analyzes, and integrates highly complex data/information to detect issues, relationships, emerging trends, and/or opportunities for action; draws reasonable, logical conclusions.<br>• Develops and applies creative and insightful solutions to highly complex or visible problems/issues that impact the organization and IC; develops effective strategies to address problems associated with new and emerging issues.<br>• Makes timely and logical recommendations or decisions in highly complex, difficult, high pressure, and/or ill-defined situations by considering the costs, risks, and benefits and choosing courses of action in which the benefits outweigh the risks. | • Focuses on the most critical information needed to define and understand issues; takes initiative and displays exceptional persistence in finding critical, yet hard-to-obtain information.<br>• Identifies significant connections between seemingly unrelated pieces of data/information to draw innovative conclusions or to resolve the most difficult or ambiguous problems; draws on evaluations and interpretations to form sound conclusions and identify reasonable, logical solutions.<br>• Takes the initiative to resolve problems of particular difficulty, sensitivity, or strategic importance in order to maximize contributions to the organization and IC; evaluates the impact of outside events and uses this information to develop alternative strategies or processes.<br>• Makes decisions or recommendations in the most sensitive, difficult, and ambiguous situations and consistently offers sound counsel, effectively balancing costs, benefits, and future consequences. |
| ***Engagement and Collaboration*** | |
| **Successful** | **Outstanding** |
| • Contributes to achieving organizational objectives by modeling collaboration and building effective partnerships internal and external to the IC; recognizes when others need assistance and provides support to achieve organizational or cross-organizational goals.<br>• Consistently models open, direct, candid, and regular exchanges of information within and outside of the organization; establishes communication processes that ensure work activities are well-integrated across organizations; clearly articulates and promotes the importance and the value of information, skills, and knowledge sharing; encourages sharing of knowledge, skills, and lessons learned within and across work units and organizations.<br>• Actively seeks diverse perspectives from coworkers, peers, customers/partners, and stakeholders internal and external to the IC; integrates these perspectives to develop new and deeper insights on issues of interest. | • Demonstrates exceptional skill in building and maintaining professional relationships internal and external to the IC; leverages extensive professional networks to maximize contributions to the mission.<br>• Actively works to ensure the continuous transfer of knowledge and skills across the organization, IC, and externally by serving as a resource or initiating and overseeing the development of knowledge-sharing and collaboration systems.<br>• Promotes the communication of diverse perspectives within and beyond the IC; fosters a climate in the organization reinforcing the value of trust, respect, and diverse perspectives; champions respect for and value of individual differences and diversity, resulting in greater information sharing. |

| | |
|---|---|
| ***Personal Leadership and Integrity*** | |
| **Successful** | **Outstanding** |
| • Takes initiative and puts forth the effort needed to understand difficult, challenging, and ambiguous issues that affect the organization and IC; proposes and implements innovative programs and initiatives designed to improve products and services.<br>• Treats everyone fairly, honestly, and respectfully; creates a positive team atmosphere that fosters cooperation, trust, and inclusion by modeling and encouraging this behavior in others.<br>• Shows respect for diversity in the workplace by demonstrating inclusiveness and sensitivity to individual differences.<br>• Represents self, unit, or organization in a manner that enhances its image and reputation through his/her judgment, professionalism, composure, credibility, preparation, and commitment, even in challenging or sensitive situations, thus promoting the IC image and core values, including selfless service, a commitment to excellence, and the courage and conviction to express own professional view. | • Consistently seeks opportunities to learn about emerging issues; excels at understanding and developing solutions for highly complex, high stakes issues across the organization and IC; champions the implementation of improved products and services throughout the IC.<br>• Proactively solicits ideas to gain an understanding of the priorities, needs, and concerns of others internal and external to the IC and address them as appropriate; tailors own behavior to work more effectively with others and to foster a team environment, even in difficult situations.<br>• Serves as a role model of respectful and inclusive behavior and encourages others to do the same.<br>• Consistently sets an example of excellence as a representative of the organization or IC; is called upon to handle the most difficult, politically sensitive, or highly visible situations in a manner embodying exceptional professionalism, composure, judgment, and demonstration of the IC core values. |
| ***Technical Expertise*** | |
| **Successful** | **Outstanding** |
| • Develops, maintains, and applies expert-level professional knowledge, tradecraft, and subject matter expertise to perform a full range of highly complex work activities; applies expertise to improve own and organizational performance; serves as recognized authority in area of expertise within the IC.<br>• Continually seeks information and feedback to enhance technical and professional competencies; identifies and pursues challenging development opportunities and applies lessons learned to improve the organization and IC.<br>• Stays current in professional/ technical area of expertise and uses this knowledge and skill to improve own, work unit, organizational, and/or IC performance. | • Serves and is consulted as a recognized authority within and beyond the IC for depth and breadth of professional knowledge, tradecraft, and subject matter expertise; applies expertise to handle the most complex and difficult assignments.<br>• Proactively identifies new methods of obtaining information and organizational feedback that lead to concrete improvements that have a broad organizational and community impact.<br>• Translates new developments in own technical field into concrete advances that have a broad organizational and community impact. |

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

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

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

## Technician/Administrative Support Work Category – Full Performance Band 2

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

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

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

## Technician/Administrative Support Work Category – Senior Band 3

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

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

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

## Supervision/Management Work Category – Supervisor Band 3 *Performance*

| ***Standards for Supervisor Band 3 Employees in Supervision/Management Work Category*** | |
|---|---|
| ***Accountability for Results*** | |
| **Successful** | **Outstanding** |
| • Takes responsibility for own actions and the actions of work unit, whether or not they are successful; holds employees accountable for their actions and recognizes their accomplishments.<br>• Coordinates work for an assigned project or program; balances competing work demands to achieve timely and positive outcomes; effectively manages employee assignments to ensure they can be completed successfully and on time; adjusts plans, priorities, and timelines to respond to changing situations, demands, or obstacles.<br>• Identifies and advocates for resources necessary to support and contribute to mission requirements; uses time and resources efficiently and effectively.<br>• With minimal guidance, ensures that the work unit achieves meaningful results in support of organizational goals and objectives; ensures work adheres to applicable authorities, standards, policies, procedures, and guidelines. | • Takes responsibility for own and work unit actions, even in the face of significant criticism or challenges; proactively seeks to resolve issues; brings employee accomplishments to the attention of others.<br>• Persists in overcoming obstacles and takes action necessary to accomplish assignments; motivates employees to do the same; effectively leverages resources to overcome challenges.<br>• Anticipates changes in workload requirements and advocates for resources well in advance of when they are needed; suggests flexible and innovative approaches to stretch limited resources.<br>• Leads the work unit to produce outcomes and results that far exceed expectations for quality, quantity, and/or impact. |
| ***Communication*** | |
| **Successful** | **Outstanding** |
| • Interprets and appropriately responds to written, verbal, and non-verbal communications.<br>• Ensures written materials meet expectations for organization, clarity, accuracy, grammar, and spelling.<br>• Orally communicates clearly and concisely, conveying ideas and information in an organized and logical fashion; responds to a range of questions in a timely, accurate, concise, and courteous manner.<br>• Effectively tailors communications for audience level of understanding; uses a variety of media in communicating to facilitate audience understanding.<br>• Uses effective communication skills to build cohesive work units, develop individual skills, and improve performance. | • Adeptly interprets nonverbal cues and adjusts personal style or behavior to effectively interact with others.<br>• Produces written materials that far exceed expectations for organization, clarity, and quality.<br>• Shows exceptional skill in presenting complex information orally; effectively conveys information in a variety of situations, explaining main ideas and subordinate points clearly and concisely; deftly handles questions and challenges.<br>• Shows exceptional skill in tailoring communications to fully meet audience needs and maximize their understanding.<br>• Demonstrates exceptional skill in using communication to build cohesive and high performing work units. |

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

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

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

## Supervision/Management Work Category – Supervisor/Manager Band 4 *Performance*

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

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

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

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

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

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

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

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

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

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

# GLOSSARY

## DEFINITIONS

Unless otherwise noted, these terms and their definitions apply to this policy.

*Army Performance Management Performance Review Authority (PM PRA). Provides oversight of the rating process to assure consistency in the application of principles and criteria and resolves employee requests for reconsideration. The PM PRA structure consists of an Army PM PRA (the HQDA ADCS, G-2); a Command PM PRA (the Commander of the ACOM, DRU, ASCC, or the AASA or their delegates as authorized in para 5.g.(2); and any subsequent additional lower levels of structure referred to as "Organizational PM PRAs" (at the level of the Commanders (Colonels -06 and above or civilian equivalent) as provided for under para 5.g.(1)(a)(iii), and/or to a panel with a chairperson who reports back to and provides recommendations to the PM PRA) that are established by the Command PM PRA.*

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

> Closeout - DCIPS occurs between 01 January and 30 June each year whenever there are more than 90 days remaining in the annual performance period. A closeout performance evaluation may become the final evaluation of record where the final evaluation of record cannot be completed due to employee absence or other special situations.
>
> Closeout Early Annual occurs between 01 July and 30 September when there is less than 90 days remaining in the annual performance period.

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

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

Interim or Temporary Assignment Report of Performance. A narrative description of an employee's accomplishments prepared by a supervisor other than the rating official during an employee's temporary assignment or deployment, generally for periods of 90 days or less.

*Midpoint Performance Review**.** A mandatory review of an employee's performance conducted approximately midway through the performance evaluation period.*

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

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

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

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

*Performance Management**.** The process of planning, setting, aligning, and communicating individual and organizational performance expectations to employees; monitoring and measuring their performance; providing feedback; taking appropriate steps to improve employee performance; addressing poor performance; and rating and rewarding employee performance to reflect the accomplishment of individual and organizational goals and objectives.*

*Performance Management (Performance Review Authority) (PM PRA). See Army PM PRA.*

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

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

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

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

Reviewing Official. An individual in the rating official's direct chain of supervision designated to assess supervisor preliminary performance ratings for accuracy, consistency, and compliance with policy. The reviewing official is the approving official for each performance evaluation within his or her purview.