Army DCIPS

Year-End Performance Evaluation Guide

July 2012

(Changes from July 2011 version show in red font)

DEFENSE CIVILIAN INTELLIGENCE PERSONNEL SYSTEM

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I. REFERENCE

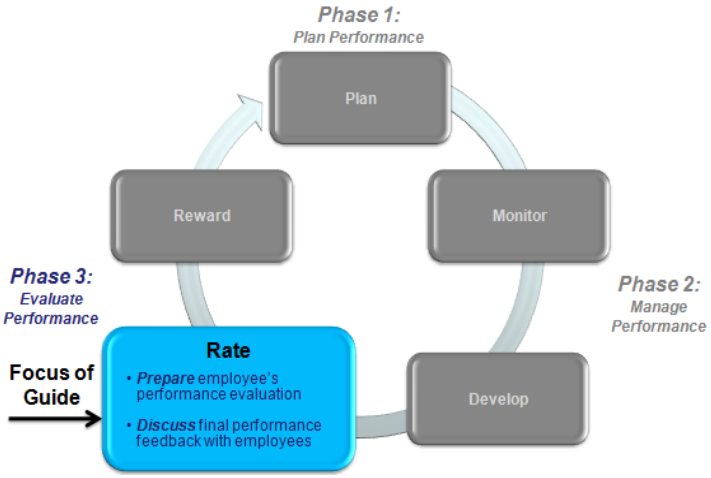
The Headquarters Department of the Army (HQDA), Office of the Deputy Chief of Staff (ODCS) G-2, Intelligence Personnel Management Office (IPMO) developed this Guide based on Army Policy Volume (AP-V) 2011, Defense Civilian Intelligence Personnel System (DCIPS) Performance Management, July 2011. It supplements Army DCIPS policy and provides implementing guidance. Unless otherwise noted, AP-V 2011 is the authoritative reference in cases where there may be a discrepancy with policy.

II. OVERVIEW

DCIPS is designed to support Army Intelligence employees by promoting career planning and development with assistance from their Managers/Supervisors and Rating Officials throughout the DCIPS performance management (PM) process. The standard period of performance for Army DCIPS employees is 1 October to 30 September of each year.

The DCIPS PM process consists of three phases, with specific activities associated with each phase. This document provides a road map for the end-of-year performance evaluation and the related activities completed by:

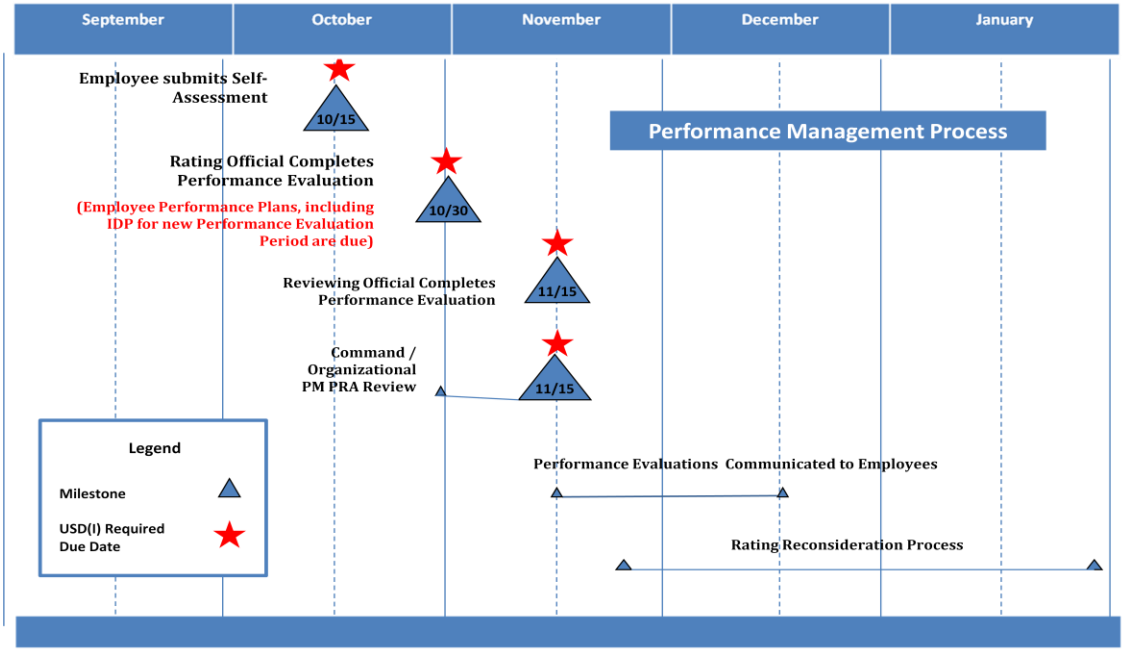
- Army DCIPS Employees
- Rating Officials
- Reviewing Officials
- Performance Management Performance Review Authorities (PM PRAs)



This guide will also cover supplemental information such as:

- Performance evaluation period and important milestones
- Closeout performance evaluations
- Specially-situated employees

The graphic below depicts key activities during the end-of-year performance evaluation period:



III. UNDERSTANDING THE PERFORMANCE EVALUATION OF RECORD

The performance evaluation of record is the overall numerical performance evaluation that reflects an Army DCIPS employee's combined accomplishments against **performance elements (PEs)** and **performance objectives (POs).** The performance evaluation of record is entered into the Performance Appraisal Application (PAA) Tool.

- **What are Performance Objectives?**
  - POs provide information that relate individual job assignments or position responsibilities and/or accomplishments to PEs and standards and to the mission, goals and objectives of the Army. POs are used to measure *what* results were achieved. Employees are required to write anywhere between 3-6 POs.
  - The PO descriptors for each numerical rating are as follows:

Descriptor	Rating	Objective Descriptors
Outstanding	**4.6 to 5.0**	Employee far exceeded expected results, such that organizational goals were achieved that otherwise would not have been.
Excellent	**3.6 to 4.5**	Employee surpassed expected results in a substantial manner.
Successful	**2.6 to 3.5**	Employee achieved the expected results.
Minimally Successful	**2.0 to 2.5**	Employee only partially achieved expected results.
Unacceptable	**1.9 and below**	Employee failed to achieve expected results in one or more assigned performance objectives.
Not Rated (NR)		Employee did not have an opportunity to perform the objective because it became obsolete or could not be accomplished due to extenuating circumstances.

- **What are Performance Elements?**
  - PEs are a standard set of 6 behaviors for all DCIPS positions, derived from analysis of the work being performed by employees, that are necessary for successful performance of that work. PEs are used to describe *how* results are achieved and evaluated using descriptors appropriate for the employee's career category and work level.
  - The 6 PEs for employees and management/supervision are as follows:

Employees	Supervision/Management
Accountability for Results	Accountability for Results
Communication	Communication
Critical Thinking	Critical Thinking
Engagement and Collaboration	Engagement and Collaboration
Personal Leadership and Integrity	**Leadership and Integrity**

Technical Expertise	Managerial Proficiency

- The PE descriptors for each numerical rating are as follows:

Descriptor	Rating	Element Descriptors
Outstanding	**4.6 to 5.0**	The employee consistently performed all key behaviors at an exemplary level on the element.
Excellent	**3.6 to 4.5**	The employee demonstrated mastery-level performance of the key behaviors on the element.
Successful	**2.6 to 3.5**	The employee fully demonstrated effective, capable performance of key behaviors for the performance element.
Minimally Successful	**2.0 to 2.5**	The employee's performance requires improvement on one or more of the key behaviors for the objective.
Unacceptable	**1.9 and below**	The employee failed to adequately demonstrate key behaviors for the performance element.

- **How is the Evaluation of Record calculated?**
  - The evaluation of record is recorded in the PAA Tool, which is the electronic system of record for the DCIPS PM process. In very rare situations where organizations cannot gain access to the PAA Tool, they may use DD Form 2906D (http://www.dtic.mil/whs/directives/infomgt/forms/index.htm).
  - The PAA Tool calculates the final numerical rating (*POs account for 60% of the final rating and PEs account for 40% of the final rating*) to the nearest tenth of a point as shown below:

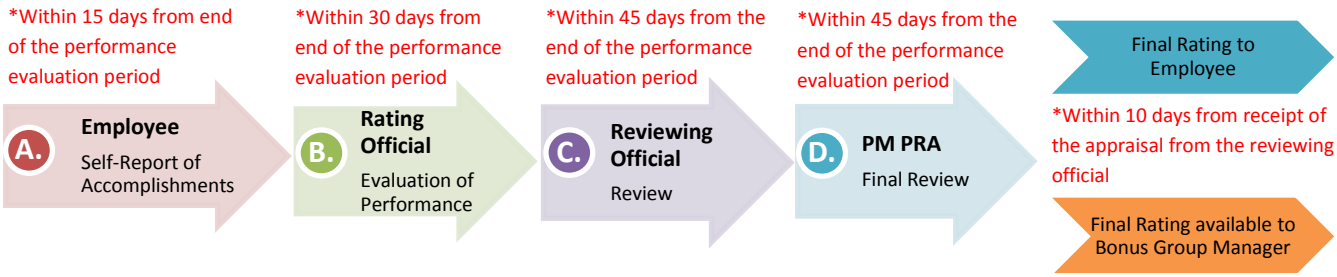
Overall Summary Rating	Performance Evaluation of Record Descriptor
4.6 to 5.0	Outstanding
3.6 to 4.5	Excellent
2.6 to 3.5	Successful
2.0 to 2.5	Minimally Successful
Less than 2.0 on any objective	Unacceptable

- **Additional Items to Keep in Mind:**
  - If an employee receives a rating of 1 on any performance objective, then the overall evaluation of record is a rating of 1, "Unacceptable."

IV. THE PERFORMANCE EVALUATION PROCESS

Performance evaluation is an integral part of the PM process that requires collaboration among the Army DCIPS employee, the rating official, the reviewing official and the PM PRA to assess and finalize the employee's performance evaluation of record.

Performance Evaluation and Review Process



* Dates in red indicate performance evaluation milestones outlined in policy. Organizations may opt to have earlier due dates as long as they are compliant with established policy requirements above.

A. Employee

- **What is the employee's role?**
  - The employee completes the Self-Report of Accomplishments (SRA) for the evaluation period and transfers it to the rating official no later than (NLT) 15 October or 15 days following the end of the evaluation period.
- **Employee Activities:**
  - Address accomplishments against each PO and PE in the SRA.
  - Provide factual and measurable statements of accomplishments in the SRA (e.g., "I completed 100% of 147 assigned tasks").

The SRA is part of the continuing performance dialogue between the employee and his/her Rating Official.

B. Rating Official

- **What is the rating official's role?**
  - The rating official completes a narrative and numerical evaluation of the employee's performance that reflects the employee's accomplishments and rating in accordance with established performance standards. The rating official then forwards the completed performance evaluation of record to the reviewing official NLT 30 October or 30 days following the end of the performance evaluation period (**PAA Tool clarification:**

the rating official only selects Option A in the PAA to transfer the appraisal to the reviewing official for review and approval). After the PM PRA has completed their review and the reviewing official has approved the performance evaluation of record in the PAA Tool, the rating official discusses the approved performance evaluation with the employee (**PAA Tool clarification: Option B must only be used by the rating official after the PM PRA has completed the statistical review and has written authorization to approve evaluations on behalf of the reviewing official**).

- **Rating Official Activities**:
  - In determining the employee's PO rating (60% of the final numerical rating)—review the general standards, the employee's SRA, any notes that were taken throughout the performance evaluation period on the employee's accomplishments/issues and the performance evaluation of the employee.
  - In determining the employee's PE rating (40% of the final numerical rating)—review the IC Performance Standards, the employee's SRA, any notes that were taken throughout the performance evaluation period on the employee's accomplishments/issues and the performance evaluation of the employee.
  - Address the effects of the employee's accomplishments on the organizational goals and objectives.
  - Recognize any bias tendencies and take steps to compensate for them (refer to the **Common Rating Errors** section in this Guide).
  - Make meaningful distinctions among employees based on performance and contribution by completing closeout evaluations (refer to the **Closeout Evaluations** section in this Guide) and performance evaluations as required within established timelines.
  - Effectively manage the performance of assigned employees, developing performance plans and providing proposed numerical performance evaluations of record or any closeout, interim or temporary assignment report of performance.
  - Identify any specially-situated employees to the Data Administrator to be included in the PM PRA review process (refer to the **Specially-Situated Employees** section in this Guide).

C. Reviewing Official

- **What is the reviewing official's role?**
  - The reviewing official reviews both the narrative and numerical ratings to ensure consistency between and among Rating Officials NLT 15 November or 45 days following the end of the performance evaluation period, after which the evaluation of record is forwarded to the PM PRA for review. Reviewing officials are the approving officials for performance plans and evaluations of record, but they cannot provide the final approval of performance evaluations of record until the PM PRA review has been completed and

they are advised they may proceed (**PAA Tool clarification: the reviewing official must submit pre-decisional statistical data to the PM PRA for review prior to approving evaluations of record in the PAA**). After the PM PRA has completed their final review, the reviewing official approves the evaluations of record in the PAA Tool, which completes the performance evaluation.

- **Reviewing Official Activities:**
  - May request that the rating officials meet as a group to discuss consistency in applying performance standards prior to submission to the reviewing official.
  - Review all the employee performance evaluations submitted by rating officials under their purview for consistency and congruence of written narrative with the ratings.
  - Collaborate with rating official to discuss areas of disagreement, but may direct a change in the rating if necessary to ensure consistency in the application of standards and guidance.
  - Submit statistical summary data to PM PRA for final review.
  - Approve final evaluations of record in the PAA Tool after the PM PRA review.

D. PM PRA

- **What is the PM PRA's role?**
  - The PM PRA, to include the Army PM PRA, Command PM PRAs and Organizational PM PRAs, is a senior leader or a group of senior leaders that provides a final review concurrent with the reviewing official's actions. The PM PRA ensures rating consistency across rating officials/supervisors and reviewing officials NLT 15 November or 45 days following the end of the performance evaluation period.
  - Performance evaluations of record <u>cannot</u> be finalized until the PM PRA:
    - Completes their review of the evaluations of record.
    - Informs reviewing officials that the review is complete and that they may proceed in finalizing the evaluation of record.
- **PM PRA Activities:**
  - Concurrent with the reviewing officials' review, the PM PRA conducts a statistical review of the data for consistency across rating officials and reviewing officials.
  - Analyzes ratings within various dimensions such as directorate, occupational series, rating and reviewing officials and DCIPS grades or work levels.
  - Provides final review of performance evaluations of record.
    - The PM PRA must withhold completion of this review if ratings/narratives do not support the proposed evaluation of record or closeout, or if there is concern regarding the merit of the proposed evaluation of record.
    - The PM PRA can, and must, send back proposed evaluations of record where there is a mismatch between the narrative justifications and examples provided and the proposed evaluation of each PO or PE, or any indication that policy was not followed.*

- Rating adjustments may be directed through the PM PRA review process to the Reviewing Official. If adjustments are made, the adjusted rating and rating official narrative assessments must support each other.
    - The PM PRA should initially encourage the rating and reviewing officials to refocus and resolve issues identified but may direct that specific action be taken, if necessary.*
    - In the event that rating or reviewing officials are unavailable or unwilling to make changes to comply with merit system principles and DCIPS policy, the PM PRA may make the necessary changes to ensure compliance.*
- Resolves employee requests for reconsideration of evaluation of record.
- Determines the modal rating to be used for specially-situated employees.

** In accordance with USD(I) guidance released in a memorandum entitled "DCIPS Performance Management Supplemental Guidance and Policy Clarification" (27 May 2011).*

PRA Level	Delegation of Authority
Army PM PRA	The HQDA ADCS G-2 is the PM PRA authority for Army. The Army PM PRA is the final review authority for official reconsideration of the evaluation of record when the employee disagrees with the Command PM PRA decision.
Command PM PRAs and Organizational PM PRA	Provides oversight of the rating process to assure consistency in the application of principles and criteria. A Command PM PRA (the Commander of the ACOM, DRU, ASCC, or the AASA or their delegate (see note)s; and any subsequent additional lower levels of structure referred to as Organizational PM PRAs (at the level of Commanders (Colonels 06 and above or civilian equivalent) 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. The Command PM PRA also render decision s on formal reconsideration requests when challenged by employees. This authority is retained at the Command PM PRA level and may not be further delegated. Note: AP-V 2011 dated July 2011 permits Commanders of ACOMs, ASCCs and DRUs to 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.

V. CLOSEOUT EVALUATIONS

A closeout 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 evaluations may, however, be completed for periods of less than 90 days in accordance with local policy or at the request of the employee. The completed closeout evaluation is forwarded to the employee's rating official for consideration when determining the annual evaluation of record for pay-decision purposes.

- The process for completing a closeout evaluation is as follows:

- Completes his/her written self-assessment in the PAA Tool and transfers to the Rating Official.
- Completes the Rating Official assessment and assign ratings. Recommended performance evaluation is transferred to the Reviewing Official for review and approval.
- Reviews and approves all closeout performance and closeout early annual evaluations. If the Reviewing Official disagrees with the rating or written assessment it will be returned to the Rating Official for change with a justification.
- Conducts a statistical review of all closeout performance and closeout early annual evaluations prior to approval by the Reviewing Official to ensure consistency across Rating Officials and Reviewing Officials.

- Closeout evaluations are completed in accordance with the end-of-year performance evaluation process (refer to **The Performance Evaluation Process** section in this Guide). There are two types of closeout evaluations—a closeout performance and a closeout early annual.

Closeout Performance

- During the standard DCIPS rating cycle (01 Oct – 30 Sep), closeouts will take place between 01 January and 30 June each year whenever there are more than 90 days remaining in the annual performance cycle.
- Closeout ratings are considered in the determination of the employee's final performance evaluation but does not stand by itself as the final evaluation of record.

Closeout Early Annual

- Will take place between 01 July and 30 September when there are less than 90 days remaining in the annual performance cycle.
- Closeout Early Annual Evaluation rating stands by itself and is considered the performance evaluation.

- Rating officials should consider any closeout evaluations completed during the annual performance period. Consideration should be documented in the narrative portion for relevant objectives/elements considered.
- Some recommendations for the rating official's consideration include:
  - Review all closeout evaluations completed during annual performance period.
  - Engage with previous rating official and supervisors.
  - Consider time spent in external organization.
  - Review impact of mission.
  - Review assignment responsibilities.

- The quick PAA Tool guides for closeout evaluations for the employee, rating official and reviewing official are included below: (* See paragraph concerning streamlining of the PAA Tool at the end of this section. The steps below may differ slightly if streamlining process is utilized within your Command)

EMPLOYEES:

Create or Update My Self-Assessment for My Closeout Assessment

- Begin at the ***Performance Appraisal Application Main Page***.
- Open your current performance plan by selecting "Update" from the "Action" drop-down menu, and select the "Go" link. **Note:** The DCIPS PAA status is "Midpoint Review Completed."
- Select either "Closeout – Early Annual – DCIPS" or "Closeout – DCIPS" from the drop-down menu adjacent to the "Appraisal Type" field from the **Plan Details** tab.
- Select the ***Performance Evaluation tab***.
- Select the radio button for the performance objective for which you want to write an assessment. [This step may differ if streamlining process is utilized within your Command]
- Type your self-assessment into the "Employee Self-Assessment" box.
- Select the ***Performance Elements Assessments tab.***
- Select the radio button for the performance element for which you want to write an assessment. [This step may differ if streamlining process is utilized within your Command]
- Type your self-assessment into the "Employee Self-Assessment" box.
- When you have completed entering your self-assessment for all your performance objectives and performance elements you should transfer your performance evaluation to your rating official by selecting the "Transfer to Rating official" link at the top of the page. [This step may differ if streamlining process is utilized within your Command]
- Type an e-mail message to your rating official requesting a review.
- Select the "Transfer to Rating Official" link at the top of the ***E-Mail Notification page***.

Acknowledge My Completed Performance Evaluation

- Begin at the ***Performance Appraisal Application Main Page***. If you are already in the PAA, select the "Return to Main Page" link at the top right of the screen.
- Open your current performance plan by selecting "Update" from the "Action" drop-down menu. **Note:** The DCIPS PAA status is "Midpoint Review Completed" or "Plan Approved."
- Select either "Closeout – Early Annual – DCIPS" or "Closeout – DCIPS" from the drop-down menu adjacent to the "Appraisal Type" field from the **Plan Details** tab.
- Select the ***Performance Evaluation tab***.
- Select the ***Approvals & Acknowledgments tab***.
- In Step 4: Employee acknowledgment, select the "Acknowledge Receipt" link.
- Select the "Next" link to continue with the process, or select the "Logout" link to end your session.

RATING OFFICIALS

Rate an Employee's Performance

- Begin at the ***Performance Appraisal Application Main Page***.
- Open an employee's existing performance plan by selecting "Update" from the "Action" drop-down menu, and select the "Go" link. NOTE: The DCIPS PAA Status will be "Midpoint Review Complted" or "Plan Approved"
- Select either "Closeout – Early Annual – DCIPS" or "Closeout – DCIPS" from the drop-down menu adjacent to the "Appraisal Type" field from the **Plan Details** tab.
- Select the ***Performance Evaluation tab***.
- Select the ***Performance Objective Assessments tab.***
- Select the radio button for the performance objective for which you want to write an assessment. [This step may differ if streamlining process is utilized within your Command]
- Type your assessment into the "Rating Official Assessment" box.
- Select the ***Performance Elements Assessments tab.***
- Select the radio button for the Performance Element for which you want to write an assessment. [This step may differ if streamlining process is utilized within your Command]
- Type your assessment into the "Rating Official Assessment" box.
- When you have completed entering your self-assessment for all of your employee's performance objectives and performance elements you should transfer your performance evaluation to the HLR via the ***Approvals and Acknowledgments tab***. [This step may differ if streamlining process is utilized within your Command]

Document Completion of a Closeout Assessment

- Begin at the ***Performance Appraisal Application Main Page***.
- Open an employee's existing performance plan by selecting "Update" from the "Action" dropdown menu, and select the "Go" link. **Note:** The DCIPS PAA status is "Closeout in Progress."
- Select either "Closeout – Early Annual – DCIPS" or "Closeout – DCIPS" from the drop-down menu adjacent to the "Appraisal Type" field from the ***Plan Details tab.***
- Select the ***Performance Evaluation tab***.
- Select the **Approvals and Acknowledgments tab**.
- In "Step 2: Rating Official - Document Communication to the Employee," select the "Start" link.
- Enter the date the communication to the employee occurred in the "Communication Date" field.
- Select the communication method from the "Communication Method" drop-down menu. If the method is "Other" complete the "Other" text field.
- Select the "Save and Transfer to Employee for acknowledgment" link.
- Select the "Return to Main Page" link to continue with the process, or select the "Logout" link to end your session.

REVIEWING OFFICIALS:

Review a Performance Evaluation, Including Recommended Performance Objective Ratings

- Begin at the ***Performance Appraisal Application Main Page***.
- Open an employee's existing performance plan by selecting "Update" from the "Action" dropdown menu, and select the "Go" link. **Note:** The DCIPS PAA status is "Appraisal Pending HLR Approval."
- Select the ***Plan tab***.
- Select any of the tabs to review and information about the performance plan: the ***Plan Details tab***, the ***Mission Goals tab***, or the ***Performance Objectives tab***.
- Select the ***Performance Evaluation tab***.
- Select the ***Performance Objectives Assessments tab*** to list the employee's performance objectives and recommended ratings.
- Select the radio button next to each performance objective to display the performance objective, the employee's self-assessment, the rating official's evaluation, and the performance objective rating.
- Select the "Next" link to continue with the process, or select the "Logout" link to end your session.

Review a Recommended Performance Evaluation of Record

- Begin at the ***Performance Appraisal Application Main Page***.
- Open an employee's existing performance plan by selecting "Update" from the "Action" dropdown menu, and select the "Go" link. **Note:** The DCIPS PAA status is "Appraisal Pending HLR Approval."
- Select any of the tabs to review and information about the performance plan: the ***Plan Details tab***, the ***Mission Goals tab***, or the ***Performance Objectives tab***.
- Select the ***Performance Evaluation tab***.
- Select the ***Approvals & Acknowledgments tab***.
- In "Step 2: Higher Level – Review," select the "Approve" link. Reviewing Official must submit pre-decisional statistical data to PM PRA for review **prior** to approving any early annual close-out evaluations (after 1 Jul) of record in the PAA Tool.
- Enter an e-mail message to the rating official, indicating approval.
- Select the "Transfer to Rating Official" link.

Return an Appraisal to Rating Official for Correction

- Begin at the ***Performance Appraisal Application Main Page***.
- Open an employee's existing performance plan by selecting "Update" from the "Action" dropdown menu, and select the "Go" link. **Note:** The DCIPS PAA status is "Appraisal Pending HLR Approval."
- Select any of the tabs to review and information about the performance plan: the ***Plan Details tab***, the ***Mission Goals tab***, or the ***Performance Objectives tab***.
- Select the ***Performance Evaluation tab***.
- Select the ***Performance Objectives Assessments tab*** to list the employee's performance objectives and recommended ratings.
- Select the radio link next to each performance objective to display the performance objective, the employee's self-assessment, the Rating official's evaluation, and the performance objective rating.
- Select the ***Performance Evaluation tab***.
- Review the rating for each performance objective.
- Review the rating for each performance element.
- Select the ***Approvals & Acknowledgments tab***.
- In "Step 2: Higher Level – Review," select the "Return for Change" link.
- Enter an e-mail message to the rating official, explaining your request for a change.
- Select the "Transfer to Rating Official" link.

** Note: Enhancements within the PAA tool removed the business rule requiring rating officials to provide assessments separately for each performance objective and performance element. Commanders of the ACOM's, DRU's, ASCC's, and the AASA may decide whether or not to utilize the advantages of the PAA enhancement to streamline the DCIPS PM process within their respective commands. Some of the options available to Commanders are (1) Continue to address each performance objective and performance element as done in previous DCIPS performance management cycles; (2) Address each performance objective and performance element or direct the reader to a particular narrative in another block if input is the same; or (3) Address all performance objectives in a single summary performance objective narrative and then address all performance elements in another single summary performance element narrative as long as there is linkage within each narrative summary as to which objective or element the feedback pertains. Linkage within any narrative summary between the statement provided and the correlating objective/element is very important in order for the particular objective or element to be properly evaluated and decisions pertaining to DCIPS performance evaluation administrative reconsiderations. Example of write-up: statement/justification [PE#1], statement/justification [PE#'s 2, 6], statement/justification [PE#3, 4, & 5]. The PAA does not require the employee to prove any feedback in the PAA, so the modification made in September 2011 pertains only to rating officials. Employee's who leave a field blank will simply get a message to alert them that there are blank fields.*

VI. SPECIALLY-SITUATED EMPLOYEES

Specially-situated employees include:

- Absent – Uniformed Service (formally LWOP – US)
- Deployed Civilians
- Civilians Detailed to Competitive Service
- Leave Without Pay—Worker's Compensation
- Long Term Training
- Approved Paid Leave

Rating officials should complete a presumptive evaluation of record for those specially-situated employees who do not have the required 90 days of civilian service under a performance plan.

The presumptive rating is an employee's last DCIPS summary evaluation of record prior to departure. If no prior DCIPS performance evaluation exists, the employee is 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 is the modal rating.

VII. JOINT DUTY ASSIGNMENTS

Employees on Joint Duty assignments are evaluated by a management official in the employee's chain of command in the host organization, both for the final evaluation of record and any interim evaluations. Proposed evaluations of record are reviewed by host organization management official, in consultation with an official of the parent organization. Once a performance evaluation of record is completed by the host, it is final and cannot be changed outside of a reconsideration decision made by the organization that assigned the evaluation of record under review. The same policy applies to an evaluation of record or closeout completed by the parent organization; it cannot be changed by the host organization.

VIII. ADDRESSING UNACCEPTABLE PERFORMANCE

- As soon as performance issues or deficiencies are identified, management should contact their servicing Civilian Personnel Advisory Center (CPAC) Advisor for assistance and provide documentation to support placing an employee on an Improvement Plan (IP).
- The IP shall inform the employee, in writing, of the following:
  - PO(s) and/or PE(s) that are being performed in an unacceptable manner.
  - Actions needed to be taken to meet the objective(s) and/or element(s).
  - Assistance that will be provided.
  - Consequences for failing to improve during the IP period (normally 60-90 days).
- Utilize the Performance Problem Analysis Tool below to help assess and resolve performance issues:

Source	Physical	Emotional	Intellectual
Personnel	Does the employee have the ability to perform the requirements?	Does the employee care about the work being performed?	Does the employee have the adequate skills and knowledge to perform the task?
Environment	Is the employee missing any resources?	Does the employee view the incentives system as fair?	Have you communicated all procedures to the employee?
Information	Are task requirements clearly defined?	Does the employee understand the relationship between her/his performance and the mission of the organization?	Is the information flowing to the employee in a timely and/or effective manner?

IX. COMMON RATING ERRORS

Common Rating Errors	How to Avoid the Error
Halo—ratings based on a global impression (either positive or negative) of the individual rather than on an individual's performance relative to each performance objective/element.	Evaluate performance on each objective/element independently from other objectives/elements.
Primacy—ratings based only on positive or negative performance early in the performance cycle rather than on performance exhibited throughout the cycle. **Recency**—ratings based only on recent positive or negative performance toward the end of the performance cycle rather than on performance exhibited throughout the cycle.	Try keeping notes on individual's performance throughout the cycle so that you can recall a particular individual's full performance more easily at the end of the cycle.
Overemphasis on positive or negative performance—relying too heavily on either the positive or negative aspects of an individual's performance when assigning ratings rather than considering both aspects equally.	Because all of an individual's actions on the job are important, be sure to consider both positive and negative performance from the entire performance cycle.
Similar/different from me—assigning higher or lower ratings for an individual based on certain qualities or characteristics of him/her that are similar or to or different from the rater.	Make a conscious effort to ignore any similarities or differences you may have with particular individuals.
Stereotyping—basing ratings of an individual on his/her group membership (e.g., ethnicity, gender, religion) rather than on his/her performance.	Be aware of the stereotypes that you hold about different groups, and make a conscious effort to ignore these stereotypes when assigning performance ratings.
Contrast—basing ratings of an individual on a comparison of that individual to others previously rated rather than on the performance objectives/elements.	Interpret and apply performance objectives/elements specifically and consistently to ensure that differences in ratings reflect difference in performance.

X. GLOSSARY

Term	Definition
Closeout DCIPS	Occurs between 1 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 1 July and 30 September when there is less than 90 days remaining in the annual performance period.
Employee Self-Assessment	Term used in the Performance Appraisal Application (PAA) Tool to describe the employee's input to the performance evaluation, whereas Employee Self-Report of Accomplishments is the term used in the policy.
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.
Guest Rater/Reviewer	Provides recommended ratings or feedback on an employee's performance. Permission must be granted access by either the Rating or Reviewing Official.
Performance Evaluation	The written and otherwise recorded evaluation of performance and accomplishments rated against DCIPS performance elements and objectives.
PM PRA	Provides oversight of the rating process to assure consistency in the application of principles and criteria. The PM PRA structure consists of an Army PM PRA; a Command PM PRA; and any subsequent additional lower levels of structure referred to as "Organizational PM PRAs" that are established by the Command PM PRA. The Army PM PRA and Command PM PRA also provide independent review and decision on formal reconsideration requests of evaluations of record.
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 (also known as Higher Level Reviewer used in the PAA Tool)	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.
Trusted Agent	Authorized by Rating Official to document performance management events, plans, reviews, assessments and/or final appraisals in the PAA Tool on the behalf of the rating official. Used when there is limited access to the PAA Tool.

XI. ADDITIONAL RESOURCES FOR DCIPS PERFORMANCE MANAGEMENT

- **Army DCIPS Website**:

  (NIPR): http://www.dami.army.pentagon.mil/site/dcips/

  (SIPR): http://www.dami.army.smil.mil/site/dcips/

  (JWICS): http://www.dami.ic.gov/site/dcips/
- **Army DCIPS Performance Evaluation Administrative Reconsideration Guide:** http://www.dami.army.pentagon.mil/site/dcips/LC-ER.aspx
- **Army Policy Volume (AP-V) 2011, Performance Management (July 2011):**

  http://www.dami.army.pentagon.mil/site/dcips/documents/Policy/Army/APV-2011.pdf
- **DCIPS Presumptive Evaluation and Modal Ratings:** http://www.dami.army.pentagon.mil/site/dcips/LC-ER.aspx
- **How Do I...A Guide to Completing Key Actions in DCIPS PAA** http://www.dami.army.pentagon.mil/site/dcips/docs/Lifecycle/ER/DCIPS-How_Do_I.PDF
- **Performance Management Performance Review Authority Guidance:** http://www.dami.army.pentagon.mil/site/dcips/LC-ER.aspx
- **Under Secretary of Defense for Intelligence (USD(I)) Volume 2011, Performance Management:** http://dcips.dtic.mil/documents/1400.25-V2011.pdf
- **USD(I) Memorandum, "DCIPS Performance Management Supplemental Guidance and Policy Clarification" (27 May 2011):**

  http://www.dami.army.pentagon.mil/site/dcips2/documents/Memos/USDI/USDI%20Memo%20DCIPS%20Performance%20Mgmt%20Sup%20Guidance%20and%20Policy%20Clarification%205%2027%202011.pdf
- **Year-End Steps-to-Success Checklist:**

  http://www.dami.army.pentagon.mil/site/dcips/LC-ER.aspx