



Instruction

Defense Intelligence Agency

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OPR:

Performance Appraisal System

(b)(3):10 USC
424

- REFERENCES:** (a) Public Law 95-454, "Civil Service Reform Act of 1978"
(b) DIAM 22-16, "Civilian Awards Program," 1 September 1995
(c) Title 5 U.S.C. sections 5335, "Periodic Step-Increases" and 5343, "Prevailing Rate Determinations; Wage Schedules; and Night Differentials"
(d) Title 10 U.S.C. Chapter 83, "Civilian Defense Intelligence Employees"
(e) DIAM 22-58, Performance Appraisal System,

1. PURPOSE:

- 1.1. Replaces reference (e.).
- 1.2. This instruction implements Public Law 98-618, codified in 10 U.S.C. 1601. This instruction applies to all DIA civilian employees except for employees appointed into positions as Defense Intelligence Senior Executive Service, Defense Intelligence Senior Level, or student trainees. Individuals appointed to time limited appointments (temporary employees) are considered employees for the purposes of developing performance expectations and the rendering of performance appraisals.
- 1.3. This instruction establishes DIA's performance appraisal system and serves as general policy and procedural guide for the development, preparation, coordination, and promulgation of the performance appraisal system.
- 1.4. The performance appraisal system establishes accountability for performance and directly links employee performance to agency-based decisions such as performance-based awards, promotion, advanced educational opportunities and increased responsibility. The DIA system incorporates the essence of the Civil Service Reform Act of 1978, Public Law 94-454:

"Employees should be retained on the basis of the adequacy of their performance; inadequate performance should be corrected, and employees should be separated who cannot or will not improve their performance to meet required standards."

- 1.5. This instruction applies to all DIA civilian employees except for employees appointed into positions as Defense Intelligence Senior Executive Service, Defense Intelligence Senior Level, or student trainees. Individuals appointed to time limited appointments (temporary employees) are considered employees for the purposes of developing performance expectations and the rendering of performance appraisals.

2. DEFINITIONS

- **Performance appraisal system**—the method used to identify and establish performance expectations; communicate performance expectations to employees; establish methods and procedures to appraise performance against established performance expectations; and provide appropriate use of appraisal information in making personnel decisions.
- **Performance management system**—the total process of integrating performance, compensation, and incentive awards with basic management functions for the purpose of improving individual and organizational effectiveness in the accomplishment of agency mission and goals.

3. RESPONSIBILITIES:

- (b)(3):10 USC 424 3.1. [REDACTED] is responsible for the overall management of the program.

- (b)(3):10 USC 424 3.2. [REDACTED]

- administers the program.
- informs supervisors and employees about the program
- provides training in coordination with DIA [REDACTED] (b)(3):10 USC 424
- guides and assists managers in the operation of the program
- processes records and maintains a file of performance appraisals

- (b)(3):10 USC 424 3.3. [REDACTED] provides performance appraisal processing and assistance for DH personnel.

- 3.4. **Deputy directors for or chiefs of special offices** establish guidance for conducting performance appraisals within their organization.

- establish guidance for conducting performance appraisals within their organization
- implement a procedure for providing quality control (b)(3):10 USC 424
- review performance appraisals prior to submitting them to [REDACTED] or [REDACTED] (b)(3):10 USC 424
- designate administrative officers to enter data into eZHR forms for all

personnel who are excluded from access to eZHR forms.

3.5. **Supervisors** conduct performance appraisals of their own employees.

3.6. **Employee being appraised** participates in every stage of the performance appraisal process.

4. **PROCEDURES** (See enclosure)

(b)(3):10 USC
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[Redacted Signature]

Deputy Director for Administration
1 enclosure a/s

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C1. CHAPTER 1

OVERVIEW OF THE PERFORMANCE APPRAISAL SYSTEM**C1.1. OVERVIEW**

C1.1.1. The performance appraisal system incorporates employee and rater's participation in all three stages of the process; links individual performance to within-grade increases, training, rewards, awards, reassignment, promotions, compensation, reduction-in-force, grade reduction, retention, and removal; includes periodic appraisal of employee job performance; prohibits the use of quotas or guidelines to achieve an artificial distribution of ratings and rankings; includes periodic program review to ensure effectiveness and compliance.

C1.1.2. The OVERVIEW section presents the three stages of the performance appraisal process (parts 1-3), describes appraisal process linkage (4), and explains in detail specific aspects of the appraisal process (5). It focuses on the responsibilities of primary DIA elements as well as on the role of key participants. If you do not find an answer to your questions regarding performance appraisal in parts 1-3, consult part 5.

C1.2. DEFINITIONS OF KEY PARTICIPANTS

The key participants in the appraisal process are the rater, the employee, and the reviewing official, defined as follows:

- **Rater**—the supervisor who evaluates the performance of an employee and assigns the rating; the employee's first-level, immediate supervisor of record. Those serving in an Intelligence Community Assignment Program or rotational program as supervisors in DIA may also serve as raters
- **Employee**—the employee whose performance is being appraised
- **Reviewing official**—normally, the supervisor in the chain of command at the next higher level above the rating official. The reviewing official comments on and ranks the employee's potential. Those serving in an Intelligence Community Assignment Program or rotational program as supervisors in DIA may also serve as reviewing officials.

C1.3. FORMS NEEDED

- The document that accompanies the performance appraisal process is the DIA Performance Appraisal Support form (DIA Form 124-1).

- Within 30 days of the beginning of each appraisal period or upon assignment to a new or different position that encompasses significant duty changes, raters will communicate to the employee in writing by means of the DIA Form 124-1 the performance expectations for the employee's position.
- Rater and the employee will sign page 1 of DIA Form 124-1 indicating that the review and issuance of the performance expectations has been conducted.
- Rater will complete the DIA Form 124-1, block 9, Mid-Term Review, annotating the mid-term review after it has been conducted.
- Employee will complete the DIA Form 124-1, block 10, Employee's Accomplishments, within 30 days prior to the end of the rating period. Employee accomplishments will be provided to the rater to complete the employee's close-out or annual performance appraisal.
- Completed copy of the DIA Form 124-1 will be provided to the employee.

C2. CHAPTER 2

PERFORMANCE PLANNING**C2.1. DEFINITIONS**

- **Performance**—an employee’s accomplishment of assigned work or duties and responsibilities as specified in the performance expectations of the employee’s position.
- **Performance expectations**—the goals that emerge from the performance planning. Together the rater and employee develop plans to ensure performance expectations can be met. Performance expectations allow the employee to understand the rater’s definition of work in terms of quality, quantity or frequency, or timeliness.
- **Performance planning**—the identification of relevant performance expectations for a particular position at the beginning of the rating period against which the employee will be appraised.
- **Performance plan**—all of the written, or otherwise recorded, performance expectations that set forth expected performance during the appraisal cycle.
- **Rating of record**—a performance rating prepared at the end of the appraisal period for performance over the entire period and the assignment of a summary level and a performance rating to support a within-grade increase or other personnel action.
- **Supervisor**—an employee or military member occupying, detailed, or temporarily promoted to a supervisory billet.

C2.2. PERFORMANCE PLANNING

Performance planning and the communication of performance expectations are central features of the performance appraisal process. The employee and rater must both actively participate in this process.

C2.3. RATER’S ROLE

- C2.3.1. Prepare an accurate position description for each employee, review it annually for accuracy, and update as required. Give a copy to the employee. Discuss the performance plan at the beginning of the rating period with each employee. Before the interview, ask the employee to identify tasks that he/she does on a recurring basis and to prepare to discuss these tasks during the interview. Within 30 days after the beginning of the appraisal period, define performance expectations for the employee and

ask him/her to be prepared to discuss these with you. Ensure performance expectations for each position are objective, measurable, achievable, and results-oriented.

C2.3.1. *Conducting the Interview*

- Put the employee at ease, tailoring your approach to the individual.
- Explain the purpose of the interview.
- Give your perspective on each performance expectation.
- Ask the employee for his/her perspective on the performance expectations.
- Ask how you can help the employee do a better job.
- Keep notes on agreed upon support, and set up a method for periodically reviewing employee's progress.

C2.3.2. *Assessing Supervisory Performance During the Initial Planning Review*

Immediately after concluding the initial performance planning interview with the employee, use the checklist below to appraise your own performance as a supervisor. (Use the spaces between questions for notes or comments.) Keeping a file of these and checking over them when preparing for another interview can help you improve your interviewing skills.

C2.3.3. *Developing Performance Expectations*

- Review the employee's job duties, responsibilities, activities, priorities, goals, and objectives and consider the employee's input.
- Ensure that expectations for performance are objective, measurable, achievable, and results-oriented.
- Include the standard for performing the function.

EXAMPLE:

- once a quarter elicits feedback and provides a written assessment/plan that is comprehensive and technically sound which facilitates change or results in improved service
- once a quarter measures timeliness or frequency. *Provides a written assessment/plan measures quantity. Comprehensive and technically sound measures quality.*
- Because commitment to action is basic to the formulation of a performance expectation, use action verbs and choose them carefully.

EXAMPLES:

Decision Making

Approve
Require
Decide
Test
Accept
Authorize
Terminate
Render
Consider
Solve

Management

Execute
Approve
Direct
Organize
Meet
Establish
Manage
Anticipate
Evaluate
Adjudicate
Analyze

Change

Modify
Upgrade
Create
Stimulate
Improve
Compare
Design
Make
Activate

Communication

Write
Inform
Declare
Interpret
Contract
Issue
Testify
Display
Critique
Brief

Research and Development

Identify
Evaluate
Determine
Review
Analyze
Research
Define
Develop
Prepare
Recommend
Submit
Propose
Investigate

Administration

Purchase
Requisition
Reject
Store
Administer
Supply
Procure
Secure
Engage
Process
Insure
Reclaim

Auditing

Review
Analyze
Report
Conclude
Change
Recommend
Guide
Assist
Evaluate
Compare
Assemble

Supervision

Adhere
Supervise
Request
Exercise
Participate
Maintain
Delegate
Encourage
Counsel
Assess
Develop
Report
Foster

External Activity

Negotiate
Represent
Cooperate
Coordinate
Publicize
Strengthen

<u>Personnel</u>	<u>Supervision</u>	<u>Helping</u>
Train	Demonstrate	Assist
Select	Meet	Arrange
Interview	Assign	Give
Promote	Motivate	Guide
Demote		Counsel
Remove		Serve
Transfer		Contribute
Handle		Initiative
Employ		Solve
Appraise		
Recruit		
Screen		
 <u>Planning and Control</u>		
Plan	Formulate	
Forecast	Acquire	
Assume	Extend	
Allocate	Monitor	
Schedule		
Control		
Measure		
Progress		

C.2.3.4. *Employee participation in Setting Performance Expectations*

- *Specify a single set of key results to be accomplished.* In order for a particular expectation to be effectively measured, both you and the employee should have a clear picture of when it has or has not been accomplished.
- *Specify a target date for accomplishment.* Expectations defining routine work processes may have a target date at the end of the rating cycle. Project oriented expectations should generally identify a specific target date.
- *Be as measurable and verifiable as possible.* You and the employee should be able to evaluate to what degree the expectation was attained. (See formula below.)
- *Check validity of the expectation by relating it directly to employee's role and mission.* Compare each expectation to the employee's position description and the organization's mission statement.
- *Set expectations that are realistic/attainable but which also represent a challenge.*
- *View expectations as motivational tools.*

C2.3.5. *Writing Measurable Performance Expectations*

Determine the following

- the task you want to measure
- the process involved with the task (work flow)
- the deliverable you seek (measurement criteria).

C2.3.6. *Collateral Duties*

- If collateral duty takes up 10-20 percent of the employee's time, either on a regular or ad hoc basis, you must include it in the performance expectations.

EXAMPLES:

1. Duty as a contracting officer's technical representative (COTR) would include such activities as

- overall monitoring of contractor's performance.
- reviewing of contractor's progress and expenditure reports.
- advising the cognizant contracting officer of any unusual problems affecting the progress or cost of the assigned contract.

2. Duty as an equal employment opportunity (EEO) counselor would include such activities as

- performing counseling activities to attempt resolution of informal complaints of discrimination.
- fact-finding activities such as reviewing documents and interviewing individuals for resolution efforts.
- preparing reports of the fact-finding and actions taken to attempt resolution.
- conducting final interviews and informing complainants of their rights to file a formal complaint when attempts of resolution fail.
- preparing EEO counseling reports when a formal complaint is filed.

C2.3.7. *Changing Performance Expectations*

- You may change performance expectations at any time and for any reason you deem necessary.

EXAMPLE—there might be a change in organizational priorities,

available resources, or duties assigned to the employee.

- You must discuss any change thoroughly with the employee.
- You are responsible for ensuring that the employee understands the nature of, and reason for, the change, as well as its implications for expected future performance.

C2.3.8. *Documenting Changes*

- Document all changes by initiating a new DIA Form 124-1.
- Both you and the employee must sign and date page one of the DIA Form 124-1 to indicate that you have reviewed the change in performance expectations with the employee.
- You must record changes when they occur or as soon thereafter as operational considerations permit.
- Attach documented DIA Form 124-1s completed during the appraisal period to the DIA Form 124 when you do the close-out or annual appraisal.

C2.4. CLASSIFYING PERFORMANCE DOCUMENTS

- Normally, contents of appraisal documents should be unclassified. In those rare cases where it is mission essential to include classified information, the information may be classified no higher than TS/SCI.
- Classified information must be written so that it does not require special access or clearance levels to be read and processed.

C2.5. INDIVIDUAL DEVELOPMENT PLAN (IDP)

The IDP is a separate product from the performance plan and is initiated by the employee in accordance with requirements of the agency's career development program. You should, however, review and discuss the IDP when you document performance expectations or conduct the mid-term review. You provide support for this effort by discussing and reviewing the employee's career development goals, agency needs, and progress toward achievement, and by providing feedback to the employee.

C2.6. EMPLOYEE'S ROLE

C2.6.1. For your own benefit, develop your self-assessment skills. Consider the following questions prior to your appraisal interview

- what do I consider to be the important abilities which my job requires.
- what are the ways in which my superiors can help me to do my job better.
- in what aspects of my job do I feel I need more experience and training.

- what are my major accomplishments for the past year.
- are there any changes I would like to see made in my job which would improve effectiveness.
- are all of my capabilities being utilized in my present position? If not, how can they be better utilized.
- what are specific things I need to do in the next year for my own development.
- in what ways could my present position better prepare me for assuming more responsibilities.
- what are my long-range plans? What type of work do I see myself doing 5 years from now? How am I preparing myself for this work?
- Expect to meet privately with the rater at the beginning of the rating period.
- Actively participate in the appraisal interview and providing periodic feedback interviews.
- Help the rater clarify how performance expectations relate to the duties you actually perform.
- Ask the rater to define his/her expectations for you.
- Remember that although you are an active participant in the process, the rater is responsible for final content and definition of performance expectations.
- In conjunction with the rater, sign and date page one of the DIA Form 124-1 to indicate that the rater has reviewed the performance expectations with you.
- When the performance expectations review is completed, you will receive a copy while the rater retains the original copy of the DIA Form 124-1.
- Find your performance expectations documented and tracked in eZHR.

C2.6.2. Signing DIA Form 124-1

Signing the DIA Form 14-1 does not mean you agree with the performance expectations, it simply documents that the rater has communicated them to you.

C2.6.3. Individual Development Plan (IDP)

The IDP is a separate product from the performance plan. You, as the employee, initiate the IDP in accordance with requirements of the agency's career development program. Anticipate that the rater will review your IDP and discuss it when you develop the performance expectations and undergo mid-term review. Expect the rater to discuss and review your career development goals, agency needs, and progress toward achievement of your IDP and to provide feedback.

C2.7. REVIEWING OFFICIAL'S ROLE

Explain the performance appraisal program to raters under your supervision. Evaluate subordinate supervisors periodically in the execution of their responsibilities under the performance management program by holding them accountable on their performance appraisal, DIA Form 124.

C3. CHAPTER 3

MID-TERM REVIEW**C3.1. DEFINITIONS**

- **Appraisal cycle**—the period of time established by an appraisal system for which an employee’s performance will be reviewed.
- **Day**—the term “day” as used in this instruction refers to a calendar day.
- **Mid-term review**—a review of an employee’s progress toward achieving the performance expectations and is not a rating of record (summary rating).

C3.2. MID-TERM REVIEW

The mid-term review is a performance discussion that focuses on providing specific, timely, and useful feedback to the employee on his/her accomplishments in meeting the performance expectations established at the beginning of the performance appraisal cycle. During the mid-term review rater and employee can discuss developmental opportunities and deal with any performance-related problems. At this stage, as well as throughout the appraisal process, rater and employee engage in continuing dialogue, review, and feedback.

C3.3. RATER’S ROLE**C3.3.1. Preparing for the Mid-term Review**

- Plan for periodic reviews of performance during the rating period.
- Provide feedback and revise performance expectations in consultation with the employee, as necessary, during the rating period.
- Make sure you know about employee’s performance, so that you can inform him/her of specific areas where improvement is needed and the manner in which it can be made.
- Continue planning throughout the entire appraisal cycle, particularly as job requirements, priorities, or the environment change.
- Ensure that planning fosters a continuing awareness of performance expectations, developmental needs, and need for corrective action.

C3.3.2. *Conducting the Mid-term Review*

- Discuss expectations for performance with the employee at the beginning of the rating period and document the discussion on DIA Form 124-1, DIA Performance Appraisal Support Form.

- Document mid-term review in block 9, Mid-term review, on the DIA Form 124-1.
- Also document and track mid-term review in eZHR.
- Conduct mid-term reviews on or about the following dates
 - Support Assistants and Intelligence Technicians, 15 June.
 - Support and Intelligence Officers, GG-12 and below, non-supervisory, 15 July.
 - Support and Intelligence Officers, GG-13 through GG-15, non-supervisory, 15 August, and
 - all supervisors, 15 August.
- When an employee is assigned after the appraisal period has begun or after a close-out appraisal has been rendered, conduct his/her mid-term review on or about the mid-point, between the first day and the ending date of the appraisal rating period.

C4. CHAPTER 4

FINAL EVALUATION**C4.1. DEFINITIONS**

- **Appraisal**—the act of reviewing and evaluating the performance of an employee against the described performance expectations.
- **Performance appraisal**—a systematic comparison of an employee's performance of duties and responsibilities with performance expectations.
- **Performance improvement plan (PIP)**—the time period following notification of unacceptable performance in one or more performance expectations during which the employee may demonstrate acceptable performance before authorities decide whether or not to initiate a personnel action.
- **Unsatisfactory performance**—performance was often seriously deficient and required significant correction. Performance objectives clearly not achieved and performance attributes considered unsatisfactory.

C4.2. FINAL EVALUATION

- The final evaluation (or the performance rating) is the formal rating that the rater gives the employee at the end of the rating period. This final evaluation is the culmination of the performance appraisal process. Because the rater and the employee have discussed progress, adjustments, and performance throughout the rating period, the employee should not experience any surprises at the end of the rating period.
- Normally the rater and reviewer are the employee's first and second level supervisor. When a deputy director for or chief of special office is the supervisor of an employee, he/she will serve as both the rater and reviewer.
- DR will be the rater and reviewer for employees that he/she directly supervises. DIA elements may not forward appraisals to the DR for endorsement, either as a rater or a reviewer, unless the DR is the direct supervisor of the employee.

C4.3. RATER'S ROLE

- Until now you have conducted periodic meetings with the reviewing official to ensure a mutual understanding of organizational expectations. Now you must
 - prepare your appraisal.
 - present it to the reviewing official for reviewer's comments and ranking of potential.

- issue the appraisal to the employee.

C4.3.1 *Core Performance Attributes*

- Core performance attributes provide feedback to employees on their strengths, proficiency or need for development in the areas of
 - customer service.
 - communication.
 - resource management.
 - mission accomplishment.
 - teamwork, and
 - supervision (supervisors only).
- Raters will establish a numerical score that best describes the employee's demonstration of core performance attributes using the point ranges and description of performance level below. The scores will be based on the rater's observation of the employee's ability to perform the core performance attributes. Final scores will be annotated in block 7, Core Performance Attributes, DIA Form 124, next to each applicable core performance attribute.

Point Range	Description of Performance Level
90 – 100	Performance attributes consistently demonstrated an exemplary level of knowledge, skills, and abilities that resulted in maximum benefit to the organization.
80 – 89	Performance attributes demonstrated a high level of knowledge, skills, and abilities that are viewed as a model for other employees.
66 – 79	Performance demonstrated an effective level of knowledge, skills, and abilities indicative of a capable productive performer.
51 – 65	Performance attributes were consistent with knowledge, skills, and abilities required for the position.
0 – 50	Performance attributes were below the knowledge, skills, and abilities required for the position.

EXAMPLE

- An employee who demonstrated a high level of knowledge, skills, or abilities in the area of customer service could be scored as a 90, 92, or any other score up to the maximum of 100 points.

C4.3.2. *Rater's Recommendations*

- Raters will place an “X” in the box or boxes in block 10, Rater’s Recommendations, DIA Form 124, that best describe(s) the employee’s potential for assuming jobs of greater responsibility and complexity or for other recommendations such as training and education.
- The rater *must* recommend an employee for one or more of the following recommendations, as applicable:
 - Sustain current assignment.
 - Assume higher leadership either agency wide or discipline specific.
 - Assume a more senior technical assignment.
 - Become a command representative, and/or
 - Be afforded an opportunity for
 - Senior Service School/JMIC.
 - Command and General Staff.
 - Training in leadership.
 - Training in technical areas.
- If the rater recommends that the employee be sustained in his or her current position, the rater *may not* recommend the employee for higher leadership, more senior technical assignments or command representative. The rater may choose the technical block under training and education to recommend the employee for developmental training in his or her current position.

C4.3.3. ***Criteria for Evaluating***

Consult the performance expectations you and the employee have established for the employee’s position. Compare the employee’s performance with these expectations. Consider each part of the performance expectation separately to determine if it exceeds, meets, or does not meet your expectations for successful performance. Base your overall rating on these findings.

C4.3.4. ***Rating Pattern***

- ***Superior Performance.*** Consistently exceeded the performance expectations; quality was outstanding; overall contribution was of maximum benefit to the organization and stood out from that of most other employees. Only a few employees with similar assignments in the agency may achieve this level.

- ***Meets Expectations.*** Output met normal expectations typical of a capable, productive performer. Regular performance at this level is consistent with excellent organizations.
- ***Unsatisfactory.*** Performance was often seriously deficient and required significant correction. Performance objectives clearly not achieved and performance attributes considered unsatisfactory.

C4.3.5. ***Determining Overall Adjective Ratings***

- ***Superior:*** A rating of 25 through 30 indicates the employee has achieved superior mission accomplishment. An employee rated as the “Top Performer” with a numerical score of 30 will be considered to have an adjective rating of “superior.”
- ***Meets expectations:*** A rating of 2 through 24 indicates the employee meets the rater’s expectations. When a numerical rating of 2 through 5 is issued the rater must conduct mandatory performance counseling with the employee to identify and assist the employee in improving individual performance.
- ***Unsatisfactory:*** All performance expectations are rated as critical. When the employee’s performance is determined to be deficient in one or more of the performance expectations and the performance objectives are not being achieved, a final rating of record of “unsatisfactory” will be issued. The rater will place an “X” under the numerical rating of “1” in block 11 of the DIA form 124 denoting an adjective rating of “unsatisfactory.”

Enter the resulting adjective and numerical rating in block 11 of DIA Form 124.

C4.3.6. ***Rating Tendencies to Avoid***

- Don’t permit friendship with any employee to influence the ratings. We all tend to notice a friend’s good points and ignore the bad points. This is often done unintentionally; consequently, the friend is given a better rating than an equally good performer who is not a friend.
- Don’t make quick guesses regarding the performance of an employee. Major decisions are often based on performance ratings, and ill-considered ratings will contribute unreliable information and detract from organizational goals.
- Don’t jump to conclusions or base your judgments of an individual on one instance of behavior. Consider all aspects of the person and all his or her behaviors over a considerable period of time. Don’t let your

judgment of an individual be distorted by one significant incident or happening.

- Don't let first impressions influence later judgments of an employee. First impressions are only one sample of behavior, but we tend to make sweeping generalizations based on our first encounters with people and tend to retain these impressions even when faced with contrary evidence. In our subsequent contacts and observations, we are inclined to look for patterns of behavior that seem to support our first impression, and we may be unaware of behaviors that contradict them.
- Don't allow things such as appearance, social status, dress, race, sex, age, or other non-performance factors to affect performance appraisal ratings.
- Don't let personal preferences, prejudices, and biases influence your evaluation. A rater who has a biased or prejudiced attitude toward certain groups of people will tend to look for behavior in these kinds of employees that confirm his or her prejudices. When rating employees, the rater must consider the same (relevant) behaviors in all employees supervised.
- If a rater is to be effective in conducting meaningful performance appraisals, he or she must recognize these bias tendencies and take steps to compensate for them. Careful observation, description, and documentation of actual performance on an on-going basis reduces the tendency for bias by emphasizing job performance over a period of time.

C4.3.7. Effective Performance Appraisal Interview and Feedback Sessions

For the appraisal system to be effective, employees must be skilled at self-assessment. As a rater, you can encourage employees to think about their own performance and plans for future improvement. Give the employee the following questions to consider prior to the appraisal interview

- what do I consider to be the important abilities which my job requires.
- what are the ways in which my superiors can help me to do my job better.
- in what aspects of my job do I feel I need more experience and training.
- what are my major accomplishments for the past year.
- are there any changes I would like to see made in my job which would improve effectiveness.
- are all of my capabilities being utilized in my present position? If not, how can they be better utilized.
- what are specific things I need to do in the next year for my own development.

- in what ways could my present position better prepare me for assuming more responsibilities.
- what are my long-range plans? What type of work do I see myself doing 5 years from now? How am I preparing myself for this work?

C4.3.8. *Guidelines for Conducting the Performance Appraisal Interview*

- ***Don't discuss personalities.*** Concentrate only on job performance.
- ***Don't soft-pedal valid criticism.*** It isn't fair to either the employee or the organization to leave the impression that criticism is not important.
- ***Don't simply compare the employee to others.*** Holding someone else up to a model will not have a positive effect on the employee's ability or willingness to do the job.
- ***Don't use the "sandwich" technique.*** The alternation of praise with criticism is always recognized. The result is that praise goes unheard as the employee takes it as a clue to think "oh – oh, I wonder what the boss is going to hit me with now?"
- ***Don't criticize employees for things beyond their control.*** This will cause them to ignore valid criticisms you have. Work towards eliminating these factors.
- ***Don't argue about an evaluation.*** Express your opinion with an explanation of the reasons behind it, but avoid argument. Redirect the conversation toward what can be done to improve performance.

C4.4. EMPLOYEE'S ROLE

At least 30 days prior to the end of the appraisal period, providing rater with a written statement, annotated on a DIA Form 124-1, of your accomplishments as they relate to the performance expectations. Sign the DIA Form 124-1 certifying receipt of the mid-term review you're your opportunity to furnish employee accomplishments. Sign the DIA Form 124 indicating that you have received a copy of the performance appraisal.

C4.4.1. *Appealing a Performance Rating*

- Once the rater has assigned a performance rating and the reviewing official has reviewed that rating, the performance appraisal is considered approved. However, you may still appeal the appraisal.
- If you are dissatisfied with the overall adjective rating, you may only appeal that part of the rating.
- If you feel that management has failed to follow the provisions of this instruction, consult the grievance procedure described in DIAM 22-23.
- You may request informal reconsideration through your rater before you initiate a formal agency-level appeal. (b)(3):10 USC 424
- Submit the formal appeal to within 10 work days after the date the appraisal is issued. This written appeal must

- state your precise reasons for challenging the issued rating.
 - state the remedy sought.
 - include any available documentation to support the appeal.
- You may not appeal the following
 - rater’s decision on core performance attributes or attribute scores.
 - rater’s comments.
 - contents of the DIA Performance Appraisal Support Form, Summary of Reviewer’s Nonconcurrency of Rating and the DIA Performance Appraisal Supplemental Information.
 - reviewer’s comments on potential and the ranking of potential.
 - numerical rating, for example, requesting a change of rating from “17” to “20”.
 - You may, however, file an appeal if the rater and/or reviewer have not been in their position for the minimum 90-day period required to render a rating or ranking of potential.

C4.4.2. *Extensions for Filing Appeals*

- Write your request for an extension, stating why you could not file a timely appeal, and sign the request. (b)(3):10 USC 424
- Submit your request in writing or electronically to prior to the expiration of the 10-workday period after the date the appraisal was issued.
- will determine whether or not to grant you an extension and will notify you in writing or by electronic transmission of the decision. (b)(3):10 USC 424

C4.4.3. *Use of Appraisals During the Appeal Process*

- During the appeal process, your appraisal will not be considered before any agency-level or directorate-level boards or programs which utilize the appraisal as part of the decision making process.
- In lieu of the appraisal, a memorandum will be submitted documenting that your appraisal is not available for review.
- If you wish to have a contested appraisal available for agency use during the appeal process, you must notify in writing or by electronic transmission and the request will be honored. (b)(3):10 USC 424
- You will not be disadvantaged by this process.

C4.4.4. *Final Agency Appeal Decision*

- Appeals will be reviewed by an agency-wide performance appraisal review board (PARB).

- The board will be made up of three DISES, DISLs, or a combination of DISES/DISLs appointed by the Deputy Director (DD), DIA.
- The PARB will meet on a quarterly basis to review all appeals received during the last quarter or since the last board meeting. Meetings of the PARB may be adjusted from time to time to accommodate the needs of the agency.
- The PARB is empowered by the Director (DR), DIA, and will render the final agency decision on the rating. The PARB may or may not elect to change the rating after it has reviewed all available information from the employee and the rater.
- The PARB's decision will be based on documentary submissions from both you and the rater. If additional information is needed to render a decision, the PARB may elect to contact either party.

C4.4.5. *Changing Appraisals After Appeals*

Changes to the appraisal will be annotated by separate memorandum and attached to your contested DIA Performance Appraisal. You and your rater will be notified in writing of the findings of the board and will be given a copy of the memorandum, if applicable.

C4.5. APPRAISALS AND ACCELERATED PROMOTIONS

- To be considered for accelerated promotions you must have undergone a complete DIA performance appraisal cycle.
- If you are being considered for an accelerated promotion and you have not completed a DIA performance appraisal cycle, you can obtain an out-of-cycle performance appraisal.
- To qualify, you must have
 - performed in an official position for 90 days or more during the appraisal period.
 - been appraised against an established set of performance expectations.
 - been observed for performance by the rater for a cumulative period of 90 days or more.

C4.6. REVIEWING OFFICIAL'S ROLE

- Complete reviewer comments and reviewer rankings of potential on DIA Form 124 by adding comments on the employee's accomplishments and his/her potential for increased responsibility, promotion opportunities, performance awards/bonuses, senior management positions, and advanced education opportunities
- Indicate on DIA Form 124, block 13, "Reviewer's Ranking of Potential," whether you concur or nonconcur with the rating.

- If you nonconcur, complete DIA Form 124-2, Summary of Reviewer's Nonconcurrency of Rating, and provide the original to the rater for inclusion with the performance appraisal.

C4.6.1. *Coaching and Mentoring*

- Recognize the rater as the one most knowledgeable of the employee's daily activities and accomplishments.
- Meet with the rater to provide organizational objectives, deconflict areas of concern, and ensure mutual understanding of expectations in the administration of performance management.
- A good coach
 - Pays close attention to the individual employee's needs on a daily rather than occasional basis.
 - Expresses a sincere interest in helping an employee improve.
 - Maintains a thorough knowledge of position requirements and objectives.
 - Arranges for positive and progressive work to be approved and rewarded by superiors.
 - Operates from the sidelines (i.e., does not try to "play" and "coach" at the same time).
 - Recognizes individual differences.
 - Approaches coaching with patience and energy.

C4.6.2. *Completing Appraisals*

- Comment on and rank the employee's potential for increased responsibility, promotion opportunities, recommendation for awards and bonuses, senior management positions, and advanced educational opportunities.
- Annotate block 12, Reviewer's Comments, and block 13, Reviewer's Ranking of Potential, on the DIA Form 124, prior to returning the appraisal to the rater.
- Complete your comments and ranking prior to issuance of the appraisal to the employee.

C4.6.3. *Reviewer Profile*

A reviewer profile will be established for you reflecting the distribution of rankings by organization and occupational groupings on all appraisals rendered by you during the rating cycle.

C4.6.4. *Departure or Change of rating Official During an Appraisal Cycle*

- In order to assess an employee's potential, the reviewing official must have been the second level supervisor of the employee or the rating official for the employee's supervisor for a period of 90 cumulative days or more during the rating period.
- If the reviewing official has less than 90 days, block 12 of the DIA Form 124 will be annotated with the following statement: "The reviewing official has been assigned for less than 90 days, reviewer's comments on potential and ranking are not applicable."

C5. CHAPTER 5

APPRAISAL PROCESS LINKAGE

C5.1. DEFINITIONS

- **Quality step increase (QSI)**—an additional within-grade increase granted to a GG employee under title 5 U.S.C. 5336 to recognize sustained high quality performance beyond normal expectations.
- **Within-grade increase (WGI)**—a periodic increase in an employee’s rate of basic pay from one step of the position’s grade to the next higher step of that grade.

C5.2. WITHIN-GRADE INCREASE

- One of the primary criteria that an employee must meet to be eligible for a WGI is a current performance appraisal rating of record of “meets expectations” or “superior.”
- However, regardless of the current rating of record, if the employee is under a 90-day warning notice of “unsatisfactory,” the WGI must be delayed until the employee is rated at the “meets expectations” or higher level.

C5.3. AWARDS

- A current rating of “meets expectations” or higher is required for an employee to be considered for honorary and monetary awards.
- The rating required to be considered for a performance-based monetary award is as follows:

Superior	—	all honorary and cash awards
Meets Expectations	—	all honorary and cash awards except Quality Step Increase (QSI)
Unsatisfactory	—	None

C5.4. REDUCTION-IN-FORCE

- For RIF purposes, ratings considered to be ratings of record are the ratings given at the end of the established annual appraisal periods, close-out appraisals, and the improved ratings following opportunity to demonstrate acceptable performance.
- When a rating of record may not be rendered and one is required for the application of RIF procedures, a presumptive rating of “meets expectations”

will be given. The rating will not be used for any other purpose than establishing service credit for RIF retention standing.

- To provide adequate time to properly determine an employee's retention standing prior to a RIF, a general or specific RIF notice will specify the date after which no new rating of record will be given that could be used to determine retention standing.
- If a retention register is developed due to a RIF, an employee is entitled to receive extra service credit for performance ratings based on the mathematical average of the employee's three most recent annual performance ratings of record received during the 4-year period prior to the date of issuance of a specific RIF notice as follows
 - 20 additional years of service credit for an average rating of superior.
 - 12 additional years of service credit for an average rating of meets expectations.
 - service credit for employees who do not have three performance ratings of record during the 4-year period prior to the date of the specific RIF notice will be determined in accordance with the Office of Personnel Management requirements in 5 CFR 351.
 - employee shall receive credit for the missing ratings on the basis of assumed ratings of meets expectations.

C5.5. RECORD RETENTION

- Performance ratings of record, including performance expectations, either manual or electronic, upon which they are based, shall be retained in for 4 years.
- When an employee leaves DIA for another federal agency or leaves the federal service, all performance ratings of record and related performance plans that are 4 years or less shall be included in the OPF and sent to the employing agency or the National Records Center as appropriate.

(b)(3):10 USC
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C6. CHAPTER 6

SPECIFIC ASPECTS OF THE APPRAISAL PROCESS

C6.1. AVOIDING COMMON PITFALLS

Evaluating performance is difficult not only because of the complexity of what employees are required to do on their jobs and the difficulty in measuring performance, but also because we are not perfect information processors. Everyone has the potential for bias in evaluating others. The following are the more common rating biases and should be avoided:

- ***Halo effect.*** Halo results when you allow an overall general impression of the individual to influence your judgment on each separate factor in the performance appraisal form.
- ***Recency effect.*** If an employee makes an outstanding contribution or an untimely mistake just prior to a performance review, this event can color your perception of the employee's performance for the entire appraisal period. The recency effect, like the halo effect, can work to the advantage or disadvantage of the employee. You can compensate for lack of perspective by careful documentation.
- ***Unforgettable event.*** A significant mistake or outstanding contribution need not occur just prior to a performance review to unduly influence your perception. A timely or untimely event can make an impression that lasts for a long time. Again, careful documentation can put performance into perspective.
- ***Central tendency.*** With all this potential for error, it is not hard to understand why some raters may be tempted to rate all employees as average by choosing mostly middle-level ratings. This "central tendency" is perhaps the most serious of all, for it closes the door to an employee's growth and improvement on the job. It is rather difficult to develop strengths and correct weaknesses if none are identified.
- ***Compatibility.*** There is a tendency to rate people whom we find pleasing in manner and personality higher than they deserve. Those who agree with us, nod their heads when we talk, or are skilled flatterers often get better ratings than their performance justifies. Conversely, we tend to rate people lower than they deserve when conflict of manner and personality exists.
- ***Effect of past record.*** The employee who has performed well in the distant past is assumed to have performed acceptably in the recent past also. Previous good work tends to carry over into the period being appraised.
- ***Leniency effect.*** This is the tendency to rate everyone high. The opposite is to rate everyone low. This error is usually committed when some raters feel discomfort in communicating negative feedback or do not want to "hurt" the employee. Understanding the constructive purposes of performance appraisal and acquiring effective skills in giving feedback should reduce the tendency to commit this error.

- **Similarity effect.** This is the tendency on the part of a rater to judge more favorably those who are perceived as similar to him or herself.
- **Self-comparison.** The person who does not do the job as well as or the same way as we remember we did it when we held that job will suffer more than those who do work unfamiliar to us.

C6.2. COACHING THE EMPLOYEE

By mid-term review, you may already done a lot of coaching. View coaching as a tool for overcoming performance weaknesses and building on performance strengths, as a set of relationships between manager and employee, rather than a series of skills to be taught. You are coaching when you are

- analyzing performance problems.
- identifying performance that can be improved.
- correcting improper or dangerous practices.
- discussing work with an employee to get his or her point of view.
- providing assistance and encouragement to the employee.

C6.3. CONDUCTING THE APPRAISAL INTERVIEW

When	Remember To:
<i>Before the interview:</i>	Select the appropriate setting. Decide tentatively on an overall rating. Ask the employee to review his or her performance on each performance expectation.
<i>During the interview:</i>	Establish a relaxed atmosphere. Present the summary evaluation to the employee. Relate the discussion of performance to previously established performance expectations. Get the employee's perspective on the ratings. Recognize areas of agreement. Discuss and resolve areas of disagreement. Establish new goals and plan for improvement.
<i>After the interview:</i>	Complete documentation of appraisal. Monitor new goals. Encourage development activities.

C6.4. DETERMINING FREQUENCY OF MEETINGS

- You must have periodic discussions, preferably quarterly, with employees about performance during the rating period.
- At a minimum, such discussion should occur at the mid-term of the rating period but need not be limited to a single review.
- Document your mid-term review.

- Obtain reviewing official comments and ranking of potential and signature.
- Give a timely annual performance appraisal on each employee, and discuss the rating and ranking with the employee.
- Provide a copy of the performance expectations, the mid-term review, and completed appraisal to the employee.
- Take or propose corrective or adverse action, as appropriate, for employees whose performance is unsatisfactory.

C6.5. DETERMINING WHEN TO APPRAISE WHOM

- Employee must have performed in an official position for 90 days or more during the appraisal period.
- He/she must be appraised against an established set of performance expectations.
- You must observe his/her performance for a cumulative period of 90 days or more.
- After the 90-day period, you must prepare the rating within 30 calendar days.

C6.6. PERFORMANCE APPRAISAL CYCLES

C6.6.1. Performance appraisal cycles are based on the occupational group and grade of the employee and include the following groupings

Group 1: Support Assistants and Intelligence Technicians. Positions include

- Security Technician, GG-086
- Intelligence Technician, GG-134
- Human Resources Technician, GG-203
- Secretary, GG-318
- Accounting Technician, GG-525
- Civilian Payroll Technician, GG-525
- Editorial Technician, GG-1087
- Document Services Technician, GG-1411, and
- Miscellaneous Clerk and Assistant, GG-303.

Group 2: Support Officers, GG-12 and below.

- Non-Supervisory.
- Intelligence Officers, GG-12 and below, Non-Supervisory.

Group 3: Support Officers, GG-13 through GG-15, Non-Supervisory.

- Intelligence Officers, GG-13 through GG-15, Non-Supervisory.
- Support Officers, GG-13 through GG-15, Supervisory.
- Intelligence Officers, GG-13 through GG-15, Supervisory.

- All supervisors GG-12 and below.

C6.6.2. Annual Performance Appraisal Cycles

- The annual performance appraisal cycle by groups are:
 - Group 1: 1 January – 31 December.
 - Group 2: 1 February – 31 January.
 - Group 3: 1 March – 28 February.
- Performance appraisals must be completed no later than 30 days after the effective date of the end of an appraisal period.

C6.7. DOCUMENTING PERFORMANCE

- Documentation is necessary for recording positive and negative performance for employee feedback, to assist in rendering an accurate, fair rating, and to help justify a rating.
- Documentation can be in the form of notes, memoranda, reports, etc. To document an aspect of performance, remember to make the notes as soon as possible after the event and to provide feedback to the employee.
- There is nothing secret about documentation. Anything important enough to write down is important enough to share with the employee.
- The following chart depicts guidelines for achieving documentation that is accurate, behavioral, and consistent.
- Documentation guidelines

<i>Documentation Requirement</i>	<i>Guideline</i>
<i>Accurate</i>	Record objective facts concerning actual performance as they occur, rather than from memory. Record only job-related behavior. Record direct observations rather than relying on “hearsay” reports from others.
<i>Behavioral</i>	Describe specific behavior rather than making evaluative statements or describing an individual’s personality.
<i>Consistent</i>	Record both positive and negative behaviors rather than emphasizing either.

Keep the same basic format and level of detail of documentation for each employee.

Maintain documentation on all employees in a given work group.

- Periodically review the collective documentation to be sure that the desired quantity, quality, and consistency are being maintained.

C6.8. FACING UNUSUAL RATING SITUATIONS

C6.8.1. *Presumptive Rating*

- Employees without a current rating of record will be administratively assigned a presumptive rating of “meets expectations” when competing for promotions to grades 13, 14, or 15 under the provisions of CA21.
- Raters will not be required to complete a DIA Form 124 for a presumptive rating.

C6.8.2. *Details, Rotational Assignments, Deployments, or Temporary Assignments Within the Agency—Performance Expectations*

- When an employee is assigned to a detail, rotational assignment, deployment, or temporary assignment that is anticipated to last for a period of 90 days or more, the gaining supervisor (rater) in collaboration with the employee will establish a set of performance expectations.
- Performance expectations will not be required for details, rotational assignments, deployments, or temporary assignments for periods of 89 days or less.

C6.8.3. *Details, Rotational Assignments, Deployments, or Temporary Assignments Outside the Agency—Performance Expectations*

- When an employee is assigned to a detail, rotational assignment, deployment, or temporary assignment that is anticipated to last for a period of 90 days or more, the gaining supervisor in collaboration with the employee will establish a set of performance expectations.
- Performance expectations will not be required for details, rotational assignments, deployments, or temporary assignments for periods of 89 days or less.

C6.8.4. Close-out appraisals for Assignments of 89 days or less

- When an employee is assigned to a detail, rotational assignment, deployment, or temporary assignment for a period of 89 days or less, a close-out appraisal will not be done.
- The temporary supervisor will provide the employee's permanent directorate or chief of special office supervisor with a DIA Form 124-3 annotating the employee's accomplishments rendered during the observation period.
- The employee's permanent directorate or chief of special office rater will attach the DIA Form 124-3 to the employee's performance appraisal when rendered.

C6.8.5. Assignments for 90 to 179 Days

- When an employee is assigned to a detail, rotational assignment, deployment, or temporary assignment for a period of 90 to 179 days, the gaining supervisor will serve as the rater and will render a rating when
 - an annual appraisal is due.
 - an employee departs the assignment.
 - rater departs or changes after a minimum cumulative period of 90 days of observation.
- The employee's permanent DIA directorate or chief of special office reviewing official will comment on and rank the employee's potential.

C6.8.6. Assignments for 180 Days or More

- When an employee is assigned to a detail, rotational assignment, deployment, or temporary assignment for a period of 180 days or more, the gaining supervisor will serve as the rater.
- The gaining second level supervisor, or the supervisor of the rater, will serve as the reviewing official and comment on and rank the employee's potential.

C6.8.7. Assignments of 89 days or Less

- When an employee is assigned to a detail, rotational assignment, deployment, or temporary assignment for a period of 89 days or less, a close-out appraisal will not be done.
- The temporary supervisor will provide the employee's permanent DIA directorate or chief of special office rater with a DIA Form 124-3 annotating the employee's accomplishments rendered during the observation period.

- Employee’s permanent directorate or chief of special office rater will attach the DIA Form 124-3 to the employee’s performance appraisal when rendered.

C6.8.8. *Assignments for 90 Days or More*

- When an employee is assigned to a detail, rotational assignment, deployment, or temporary assignment for a period of 90 or more, the gaining supervisor will serve as the rater and will render a rating when
 - an annual appraisal is due.
 - an employee departs the assignment.
 - rater departs or changes after a minimum cumulative period of 90 days of observation.
- Employee’s permanent DIA directorate or chief of special office reviewing official will comment on and rank the employee’s potential.

C6.8.9. *Long Term Full Time Training or Other Forms of Training*

- In order to be assigned a rating of record, an employee on long term full time training, or other forms of training, must have performed in an official position for 90 cumulative days or more during the appraisal period.
- Employees who have not served in an official position for the minimum of 90 days during the appraisal period will not be given a performance appraisal rating.
- An academic record from the educational or training institution will be obtained and forwarded to for inclusion in the employee’s performance file. Examples of long term full time training are

National War College	Industrial College of the
Army War College	Armed Forces
Army Command and	Air War College
General Staff College	Naval War College
Air command & Staff College	US Marine Corps War College
US Marine Corps Command	Inter-American Defense
and Staff College	College
Commerce Science and Technology	Fellowship Program
Congressional Fellowship Program	Post-Graduate Intelligence
Mike Mansfield Fellowship Program	Program
Undergraduate Intelligence Program	Bachelor of Science in
Civilian universities	Intelligence
Information Resources	Program

Management
Information College

National Defense University
Assurance Partnership
Program

C6.8.10. *Workers' Compensation*

- In order to be assigned a rating of record, an employee must have performed in an official position for 90 cumulative days or more during the appraisal period.
- Employees on extended injury compensation (Workers' Compensation), leave due to an injury or illness, or other forms of extended leave who have not served in an official position for the minimum of 90 cumulative days during the appraisal period, will not be given a performance appraisal.

C6.8.11. *Military Leave*

- In order to be assigned a rating of record, an employee must have performed in an official position for 90 cumulative days or more during the appraisal period.
- Employees on leave without pay (LWOP) for active military duty who have not served in an official position for the minimum of 90 cumulative days during the appraisal period will not be given a performance appraisal.

C6.8.12. *Close-out Appraisals for Departing Employees*

- Close-out appraisals are required after 90 cumulative days of observation by a rater when
 - employee leaves a position for another position within DIA.
 - employee leaves for a temporary assignment or deployment that is anticipated to last 90 days or more.
 - employee leaves a career conditional or career position for another career conditional or career position within the federal government.
 - employee is promoted to a higher grade level.
 - rater departs or there is a change of rater.

C6.8.13. *Departure or Change of Rater*

- When the rater departs, or there is a change in rater, a close-out appraisal will be prepared if the rater has observed the employee's performance for a minimum of 90 cumulative days.
- If the rater departs 89 days or less into the rating cycle, a close-out appraisal will not be required.

- When the rater departs 89 days or less into the rating cycle, the departing rater will complete a DIA Form 124-3, DIA Performance Appraisal Supplemental Information, annotating the form with the employee's accomplishments rendered during the observation period.
- The DIA Form 124-3 will be provided to the employee's new rater. The gaining rater will attach the DIA Form 124-3 to the employee's performance appraisal when rendered.

C6.9. ISSUING RATINGS OF "UNSATISFACTORY"

C6.9.1. Before assigning an overall rating of "unsatisfactory," give the employee a written 90-day warning letter that explains the following

- how his/her performance fails to meet the requirements for the position and that the employee has a minimum period of 90 days to bring about the improvement.
- what assistance or training or other opportunities are available to help the employee attain satisfactory performance.
- any within-grade increase that is due will be withheld until performance improves to the minimum level of "meets expectations."
- you will change the overall rating to "unsatisfactory" if performance does not improve to the minimum level of "meets expectations."
- he/she cannot receive a within-grade increase with a rating of "unsatisfactory."
- you will provide a "meets expectations" or higher rating and remove the warning letter from the official personnel folder (OPF) if the employee makes the necessary improvement.
- (b)(3):10 USC 424 [redacted] will maintain a copy of the warning letter in a separate file for a period of 12 months following its removal from the employee's OPF.
- employee must maintain the minimum of a "meets expectations" level of performance for a period of 12 months after the end of the warning period.
- prepare and issue the warning letter when such action is appropriate after consultation and coordination with a higher-level supervisor and (b)(3):10 USC 424 [redacted]
- give the original of the signed warning letter to the employee, retaining a copy for your files and forwarding a copy to (b)(3):10 USC 424 [redacted] to be filed in the employee's OPF.

C6.9.2. If the employee's performance improves sufficiently within 90 days to warrant a "meets expectations" or higher rating, express this on DIA Form 124. After (b)(3):10 USC 424 [redacted] receives the DIA Form 124, that office will remove the warning letter from the OPF and place a copy of it in a separate file for a period of 12 months after its removal from the employee's OPF.

If a within-grade increase was being withheld due to an “unsatisfactory” performance rating, it will be processed at the beginning of the first pay period following receipt of the DIA Form 124 by [redacted] If the employee’s performance fails to meet expectations during the next 12-month period you may issue an “unsatisfactory” rating without providing a new warning letter or establishing an improvement period.

(b)(3):10 USC
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C6.9.3. If the employee’s performance does not improve sufficiently within the 90 days to warrant a rating of “meets expectations” or higher, consult with the appropriate higher-level supervisor and coordinate with [redacted] then give the employee the final rating of “unsatisfactory.” After you have issued the final rating of “unsatisfactory,” management will take appropriate action which may include mandatory training, reassignment, or adverse action in accordance with DIAM 22-23, “Civilian Personnel Administration.”

(b)(3):10 USC
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C6.10 LISTENING EFFECTIVELY

Assessing your strengths and weaknesses in listening to others will help you to identify areas for improvement. Use the listening self-assessment form on the next page as an aid in determining the effectiveness of your listening skills.

LISTENING SELF-ASSESSMENT FORM

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

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

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

C6.11. COMMUNICATIONS DURING FEEDBACK SESSIONS

- Communicating interest or attending is the ability to utilize yourself and the environment around you in a manner that indicates that you are paying attention to the employee. It consists of physically attending and arranging the setting.
- There are at least two reasons for using the skill—one benefits you and one benefits the employee.
 - you can gather information about the employee which you need to help the employee explore his or her perspective.
 - you let the employee know that he or she is important.
- Physically attending is made up of the following five ingredients
 1. *Make Eye Contact.* This does not mean staring at the employee. The goal is to let the employee know you are paying attention by looking at his or her face. Making eye contact should not be used to intimidate the employee.
 2. *Face the Employee.* Sit roughly SQUARE with the employee; your left shoulder to his/her right shoulder and your right shoulder to his/her left shoulder.

3. *Maintain a Facilitative Distance.* Sit close enough to see the employee, but not so close as to make the employee uncomfortable.
 4. *Use Posture.* This refers to the way you position your body. The more you lean toward the employee, the more interest you are communicating.
 5. *Resist Distractions.* Eliminate behaviors that would lead the employee to believe that you're not paying attention (e.g., fidgeting, paper shuffling, phone calls, etc.).
- It is important to communicate negative feedback effectively, so that you do not generate defensiveness in the receiver. Defensiveness blocks objectivity and meaningful discussion. If it occurs, deal with it as a feeling/reaction, instead of persisting with the topic or discussion. By following these principles, you can communicate with relative ease and with effective results
 1. Use descriptive statements rather than evaluative statements. Descriptive statements involve no judgments and do not imply any necessity for change. Therefore, there is no basis for defensiveness when the person is not being judged or criticized.
 2. Maintain a problem-orientation rather than a control-orientation. Emphasize collaboration rather than direction. "We did not meet the schedule. What can we do about it" rather than "You should do something about meeting the schedule next time."
 3. Practice spontaneity rather than rigid adherence to a strategy, which implies a set agenda. An agenda is necessary, but it is also a control mechanism. To avoid defensiveness, build flexibility into the agenda.
 4. Express empathy and avoid neutrality which conveys lack of concern. "This is our problem" should be substituted for "This is your problem." Make an effort to truly identify with the employee's problems.
 5. Stress equality over superiority that generally invites defensive reactions. Encourage shared planning.
 6. Accept the relative nature of performance levels, and do not treat all performance weaknesses or strengths as ultimate certainty. Absolute performance is only relative to certain performance objectives or standards. Behavior can change, as can performance. Weaknesses are temporary and should be treated as such.

C6.12. RECEIVING FEEDBACK

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

encourage your employees to be good receivers of feedback.

- Listen effectively.
- Try not to let defenses build, but mentally note questions or disagreements
- Paraphrase what you think you hear to check your perception.
- Ask questions for clarification and ask for examples in those areas that are unclear or in which disagreement exists. Paraphrase answers again or use re-statement, e.g., “I hear you say...” “Do you mean...”
- Carefully evaluate the accuracy and potential value of what you have heard.
- Gather additional information from other sources or by observing your own behavior in suggested directions and then evaluate the outcomes.
- Avoid overreacting to feedback, but, where desired, modify your behavior in suggested directions and then evaluate the outcomes.
- Avoid behaviors that hinder one from effectively receiving feedback, such as “justifying,” “building a case,” “apologizing,” and “rejecting”.

C6.13. PROVIDING FEEDBACK

- Effective feedback is that which actually results in changed or sustained behavior on the part of the person receiving it.
- Providing on-going positive and negative feedback is a responsibility of every rater. Providing specific, timely, and useful feedback to employees is a critical aspect of the performance appraisal process.

C6.14. ESTABLISHING AND MAINTAINING RAPPORT

Climate.

- Set an appropriate climate for the interview.
- Open the interview in a warm, non-threatening manner.
- Be sensitive to the employee.

Structuring the interview.

- Clearly state the purpose of the interview and maintain control over its course.
- Display an organized, intentional, and prepared approach to the interview.

Motivating the employee.

- Provide incentives for the employee to perform effectively.
- Establish goals to motivate the employee to perform effectively and to assist the organization to accomplish its objectives.
- Providing positive feedback for good past performance.

Developing the employee.

- Make specific developmental suggestions to the employee.
- Display interest in the employee's professional growth.
- Clearly specify where development is needed and recommending sound developmental actions.

Resolving conflict.

- Move effectively to resolve any conflict with the employee.
- Make appropriate commitments and setting realistic goals to ensure conflict resolution.
- Coach the employee toward any needed conflict resolution with others.

Maintaining a calm attitude.

- Remain cool and calm, even if the employee becomes angry.
- Show sensitivity to the employee without backing down from an expressed position.
- Maintain a composed and professional attitude throughout the session.

C6.15. GIVING FEEDBACK

- Although there are many aspects of giving feedback which could be discussed, there are ten major ways, which, if followed, can make feedback more constructive and help avoid defensive reactions which block communication. They are as follows
 - perceptions, reactions, and opinions should be presented as such and not as facts.
 - feedback should refer to the relevant performance, behavior, or outcomes, not to the individual as a person.
 - feedback should be in terms of specific, observable behavior, not general or global.
 - when feedback has to be evaluative rather than purely descriptive, it should be in terms of established criteria, probable outcomes, or possible improvement, as opposed to value judgments such as “good” or “bad.”
 - feedback regarding a performance expectation should include a discussion of what is viewed as the “high” and “low” points of that performance and the specific behaviors which appear to be contributing to or limiting full effectiveness or accomplishment.
 - in discussing problem areas that contain technical or established procedures for achieving solutions, suggestions should be made regarding possible means for improving performance.
 - feedback should avoid “loaded” terms (e.g., crabby, mess-up, rip-off, stupid) which produce emotional reactions and raise defenses.

- feedback should be concerned with those things over which an individual can exercise some control and be given in ways which indicate how the feedback can be used for improvement or planning alternative actions.
- when encountering rising defenses or emotional reactions, the person giving feedback should deal with these reactions rather than try to convince, reason, or supply additional information.
- feedback should be given in a manner which communicates acceptance of the receiver as a worthwhile person and of that person's right to be an individual.

C6.16. LISTENING TECHNIQUES

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

Reflecting content (or paraphrasing).

Employee: "I just don't know. I've been trying very hard to keep my mind on the job, but I don't seem to be doing any better."
 Supervisor: "You've been really putting an effort into concentrating, but not seeing much improvement."

Reflecting feelings.

Supervisor: "Hi, how are things today?"
 Employee: "Not very well really."
 Supervisor: "Oh? You're feeling low today?"
 Employee: "Yeah—things just aren't fair."
 Supervisor: "You're sounding a little defeated."

Reflecting meanings ("You felt...because").

Employee: "My team leader is driving me crazy. I never know what's expected of me, and then I'm told I'm not meeting his expectations."
 Supervisor: "You feel frustrated because he doesn't communicate his expectations to you."

Reflecting implications.

Supervisor: "If what you're saying is true, then we'd be able to..."
 Supervisor: "That would cause us to change our plans on..."
 Supervisor: "Have you thought about the effect of that on..."

Summary reflections.

Supervisor: “Let’s see if I can restate some of your major points so far.”

Supervisor: “You seem to be coming back to two major points, which are...”

Supervisor: “Your bottom line position seems to be...”

C6.17. SOLVING PERFORMANCE PROBLEMS

C6.17.1. Part of the rater’s responsibility is to manage performance through the appraisal period, not just to evaluate it at the end. To manage performance, the rater must observe and identify problems quickly. These problems must be alleviated once their causes are determined. This may involve resource allocation, reassessing or redesigning job responsibilities or performance expectations, arranging to augment knowledge, skills, or abilities, or initiating disciplinary action. Above all, the rater must be diagnostic regarding the causes of performance problems and must provide coaching and feedback to employees.

C6.17.2. Diagnosing problem performance involves defining the problem, analyzing reasons for the problem, and developing solutions for solving the problem.

Define the performance problem.

- identify the indicator of the problem (i.e., reports are late, database is incomplete)
- specify the discrepancy between actual and expected performance.

Example

Actual Performance: Written products were routinely returned for editorial corrections and failure to follow established formats.

Expected Performance: Written products conform to established formats with no more than 3-6 products returned per quarter for lack of preparation, editorial errors, failure to follow professional standards, or untimely.

- specify the financial and non-financial impacts of the performance problem. For example, late written reports cause delays all the way up through the chain.

Analyze the reasons for the problem.

- There are many possible reasons for performance problems. All possible reasons should be considered prior to formulating a course of

action. The chart on the next page will aid you in assessing the possible reasons for a performance problem.

C6.18. REASONS FOR PERFORMANCE PROBLEMS

	Physical	Emotional	Intellectual
	Ability	Motives	Skills
PERSONNEL	Does the employee have the ability to perform the requirements?	Does the employee care about the work being performed?	Does the employee have adequate skills and knowledge to do the task?
	Resources	Incentives	Procedures
ENVIRONMENT	Is the employee missing any resources?	Does the employee view the incentive system as functional?	Have procedures been developed and communicated to the employee?
	Tasks	Mission	Flow
INFORMATION	Are requirements clearly defined?	Does the employee understand the relationship between his/her performance and the mission of the organization?	Is the information flow sufficient?

C6.19. PERFORMANCE PROBLEM SOLUTIONS

Developing solutions for solving the problem flows directly from your analysis of the possible reasons for the performance deficit. Examples of linking possible solutions to the reason for the problem are described below:

SOLUTIONS FOR PERFORMANCE PROBLEMS	
If the Reason Is	Then Try
lack of resources are preventing the work from being done.	supplying more or better tools, equipment, space, assistance, etc.
he employee lacks necessary skills	arranging training that will help provide the knowledge and skill for success on the job.
the employee does not understand expectations of the job	explaining the job tasks, requirements, standards, and expectations.

C6.20. IMPROVING EMPLOYEE PERFORMANCE

- A thorough diagnosis of problems in performance is the basis for preparing you to discuss performance issues with the employee. A meeting with the employee should result in an action plan for reducing or eliminating the problem. A format for developing a written action plan is presented below.

FORMAT FOR ACTION PLAN	
Summarize overall performance to date.	
List specific standards not being met.	
Detail plans (e.g., changes in job scope, training, reassignment, coaching) to improve performance.	
Action Required	Date of Completion
1.	
2.	
3.	

- Help employee implement the plan by
 - observing performance and improvement.
 - praising improvement—encouraging new efforts.
 - correcting failures constructively.
 - teaching by example.
 - reviewing progress periodically.
- Reward employee on the basis of results achieved by giving
 - praise and recognition.
 - salary increase.
 - increased responsibilities.
 - promotion recommendation.
 - other rewards—financial and non-financial.

C6.21. RATER PROFILE

- A rater profile will be established for you reflecting the distribution of ratings by organization and occupational groupings on all appraisals rendered by you during the rating cycle.

- Profiles are used to provide a management information tool that can be useful in managing the appraisal system, ensuring quality control, and assisting in making agency-level decisions under Career Advancement 21.
- Profiles will be developed for each employee rated or ranked by a rater or reviewer in each of the seven following categories
 1. Support Assistants and Intelligence Technicians (All grades).
 2. Support Officers, GG-12 and below, Non-supervisory.
 3. Intelligence Officers, GG-12 and below, Non-supervisory.
 4. Support Officers, GG-13 through GG-15, Non-supervisory.
 5. Intelligence Officers, GG-13 through GG-15, Non-supervisory.
 6. Support Officers, GG-13 through GG-15, Supervisory.
 7. Intelligence Officers, GG-13 through GG-15, Supervisory.
- Prepare profiles at any point during the appraisal period and following the close out of the annual appraisal cycle.
- Do not use rater profiles retroactively to adjust ratings because they give an after-the-fact picture.