

# Defense Logistics Agency Instruction

February 24, 2010  
J-1

## Performance Management System for Supervisors and Managers

References: Refer to [Enclosure 1](#).

### 1. PURPOSE:

a. The purpose of this instruction is to establish the Defense Logistics Agency (DLA) policy and performance evaluation process for its Performance Management (PM) System for Supervisors and Managers in order to provide a systematic and uniform method of rating the performance of supervisors and managers agency-wide.

b. It is the intent of this policy to ensure that DLA supervisors/managers enhance their individual and organizational performance by setting clear expectations, providing managerial support, fostering open communications, and linking individual performance with organizational objectives. The foundation of DLA's PM System rests on the following four guiding principles:

(1) Strengthen the linkage between Performance Management and DLA's mission, strategic goals, action plans, and measures.

(2) Shift the focus of performance management from a single event (the annual performance rating) to a systematic, ongoing process that supports DLA's culture and enhances results.

(3) Change the perception of performance management as a time-consuming, stressful human resource activity to a process for helping achieve business objectives.

(4) Ensure long-term success by balancing the achievement of results with specific managerial actions taken to achieve them.

2. APPLICABILITY: This DLA Instruction applies to all supervisors/managers DLA-wide. It does not cover management officials and team leaders (see enclosure 3 for the definitions). Management officials and team leaders are covered under the DLAI for non-supervisors. The PM System, as covered by this DLA Instruction meets the requirements of the Department of Defense (DoD) Performance Appraisal System and the U.S. Office of Personnel Management (OPM) Performance Management requirements.

### 3. POLICY:

#### a. Performance Plans:

(1) It is DLA policy that all supervisory/managerial performance plans must be fully linked to the agency's mission and core managerial competencies through the establishment of performance plans, performance elements, and performance ratings for each supervisor/manager.

(2) Supervisory/managerial performance plans must be written and established to relate to the duties and responsibilities of each employee's position. These plans will be prepared, revised as necessary, and kept current by the appraising supervisor (rating official).

(3) Employees are encouraged to participate in the development and revision of the supervisory/managerial performance plans for their positions. The content of performance elements may be modified at any point during the rating period; however, no changes are permitted during the last 90 days of the period.

b. Performance Plans for Managers and Supervisors include:

(1) Nine Core Managerial Competencies. The competency based performance elements contain descriptive indicators of the types of behaviors, outputs, and results expected from supervisors and managers (Section I of DLA Form 1862). While all of the indicators may not be relevant to an employee's current position, given his/her assignments, roles and responsibilities, all the nine core managerial competencies apply. All managers and supervisors will be rated on the nine core managerial competencies. Once rated individually, the nine core managerial competencies roll up into one critical element, defined as the overall "managerial competency".

(2) Critical Elements. Critical elements are major job functions (regular and recurring prime duty) and are usually composed of several important subordinate responsibilities. In general, critical elements should be broad in scope and contain a maximum number of six critical elements.

(3) Non-Critical Elements. Non-critical elements are work assignments or responsibilities which are important; however, unacceptable performance, while undesirable, would not result in overall unacceptable performance in the position.

(4) Group performance may be included as a non-critical element in manager/supervisor performance plans. That being the case, a performance-based action would not be the appropriate remedy if the work unit failed to meet its goals because only failure in a critical element can result in a performance-based action. Successful performance on a non-critical element may be counted in the summary level.

c. The performance plans must be signed by the rating official and communicated to each employee within thirty (30) calendar days after the beginning of the rating period, within thirty (30) calendar days upon entry into a position, or when the supervisory/managerial performance plan is significantly revised. Rating officials must provide and discuss the content of supervisory/managerial performance plans with employees who are temporarily promoted, detailed, or reassigned to another position for more than 120 days.

d. Feedback During the Rating Cycle: Continuous, periodic performance feedback will be provided to the employee on how well they are performing against their identified supervisory/managerial performance plan. In addition, performance expectations will be discussed with employees at least three times during the annual performance cycle; at the initial meeting, at the interim review (mid-point), and at the end-of-year/end-of-cycle rating meetings.

e. Performance Rating Cycle:

(1) The annual performance rating period for supervisors and managers covered by this PM begins October 1 and ends on September 30. By December 1 of the same year, the servicing Defense Human Resources Center (DHRC) will be provided with all completed performance ratings and a list of the names of employees not rated. Performance ratings must be based on at least ninety (90) consecutive calendar days working under an approved performance plan.

(2) An employee entering a position by conversion, reinstatement, or appointment during the last 90 days of the rating period, will not be eligible for a rating because he/she will not complete the minimum 90 days required for a rating in the new position. In such cases, the employee's current close-out performance rating of record will remain in effect until it is replaced by the rating at the end of the next rating cycle.

(3) When an employee has been reassigned from one position to another during the rating period, the rating by the gaining rating official will be delayed, if necessary, until the employee has worked under an approved supervisory/managerial performance plan for at least 90 consecutive calendar days. Any such extended ratings will be prepared, reviewed, and approved within 15 calendar days of the end of the extended period.

(4) Details. The rating period may be extended due to long-term training or other lengthy absence(s), whereby the employee has completed the minimum 90 days of work necessary for a rating. If the employee returns from long-term training or other lengthy absence(s), but has not completed the minimum 90 days of work necessary for a rating, then the employee will not be eligible for a rating at the end of the rating period.

(5) Upon completion of the reassignment, detail, or temporary promotion, the supervisor of the employee in the detailed assignment will prepare the summary rating and provide it to the supervisor of record for use when rendering the final summary rating. This summary rating will be for information only and will be considered when preparing the employees' regular rating of record at the end of the rating period. When temporary promotions or reassignments last for more than 9 months, the supervisor of the employee in a detailed assignment will complete the official performance rating.

(6) Detailed employees continue to occupy their officially assigned positions. A summary rating given to an employee on detail cannot be the sole basis for a performance-based adverse action. Employees on details who fail to perform acceptably must be returned to their positions of record.

f. Performance Ratings:

(1) In applying the supervisory/managerial performance plan to actual performance to determine the appropriate rating level for each individual competency, and other mission elements, the rating official is expected to review the High Performance (Exceptional Performance) and Solid Performance write-ups (in the case of the Managerial Competencies) and the Solid Performance write-up for the remaining elements. In addition, the rating official should compare the employee's performance to the individual competency definitions to determine the appropriate rating level for a particular competency.

(2) Employees will be rated for each mandatory managerial competency in Section I and for each separate mission element in Section II of DLA Form 1863, Supervisory/Managerial Rating. Section I and II ratings, and the overall Summary Rating Level will be assessed with the following rating levels:

- (a) Level 3: Fully Successful
- (b) Level 2: Minimally Acceptable
- (c) Level 1: Unacceptable

(3) Employees must be rated on each critical and non-critical element in their Supervisory/Managerial Performance Plan unless they have had insufficient opportunity to demonstrate performance in that element (Section II). Unrated elements in Section II will not be considered in determining the summary rating level.

(4) Distribution of Ratings. There shall be no forced distribution of summary ratings. This does not prevent making other distinctions among employees or groups of employees based on performance for other purposes (e.g. For award determinations).

(5) The rating official obtains concurrence of the second level supervisor (approving official) if the overall summary rating level of the employee's performance is less than fully successful. (Note: If performance slips to below fully successful at any point during the rating cycle, the rating official should not wait until the end of the cycle to address the substandard performance. When performance slips to either the minimally acceptable or unacceptable level, the rating official will counsel the employee concerning their performance deficiencies. When the performance has been deemed unacceptable, they will implement a Performance Improvement Plan (PIP), while continuing to assist the employee to improve their performance. At the conclusion of the PIP if performance has improved and reached the minimally acceptable level, and it coincides with the end of the performance cycle, the rating official will issue a minimally acceptable performance rating. If the improved performance does not coincide with the regular rating period, the employee will be rated at the end of the next rating period.

(6) If performance of any of the critical elements is "Unacceptable", the employee's overall rating is

“Unacceptable”. Ratings of “Unacceptable” must be approved by an official who is at least one level higher than the rating official. If performance of any non-critical elements is “Unacceptable” but no critical elements are “Unacceptable”, then the sectional and overall summary rating is “Minimally Acceptable”.

(7) If performance in any critical element is rated “Minimally Acceptable” and no critical element is rated “Unacceptable”, then the employee’s overall rating is “Minimally Acceptable”. A rating of “Minimally Acceptable” must be approved by an official who is at least one level higher than the rating official.

(8) Ratings of “Solid Performance”, “Superior”, or “Exceptional” for the individual elements equate to an overall summary rating of “Fully Successful”.

g. Performance Based Recognition:

(1) The performance rating of record will be used as a basis for granting performance awards and honorary recognition, as well as taking necessary performance-based action. All employees with an overall summary rating of “Fully Successful” are eligible for consideration for performance awards.

(2) Monetary performance awards are computed as a percentage of pay with a maximum award of ten percent of the employee’s base pay. Generally employees within the same organizational element with higher ratings i.e., “Superior and Exceptional performance” should receive higher percentage awards than employees at the same grade level who have lesser ratings, i.e., “Solid performance”.

(3) A Quality Step Increase (QSI) may be awarded when the quality of performance is far superior, and merits quicker than normal salary advancement. To be eligible for a QSI, the employee must have an overall summary rating of “Fully Successful” or Level 3; not have received a QSI in the previous fifty-two (52) weeks; have five (5) of the nine (9) managerial competencies (Part I, Supervisory/Managerial Performance Rating) rated above “Solid Performance”; and for Section II, have all critical elements/majority of non-critical elements rated above the “Solid Performer” level. Only GS employees are eligible to receive a QSI.

(4) A Sustained Superior Performance Award (SSPA) consists of a monetary award given in recognition of high-level performance significantly above that ordinarily found in the concerned position. All Federal Wage System (FWS) and GS employees are eligible for an SSPA. Employees meeting the following criteria will be awarded an SSPA:

(a) The employee must have an overall summary rating of “Fully Successful”, Level 3;

(b) He/she must have three (3) of the nine (9) managerial competencies (Section I, Supervisory/Managerial Performance Rating form) rated above “Solid Performer”;

(c) and for Section II have the majority of the critical and non-critical elements rated above the “Solid Performer” level. The SSPA may be computed as a percentage of basic pay, and is recommended to be an amount of not less than three percent of the employee’s base pay.

i. Administrative Grievances:

(1) Grievance. The content of supervisory/managerial performance plans and the identification of critical job elements are not subject to review under any grievance procedure. However, employees may grieve the application of their supervisory/managerial performance plans to the work they perform at any time and they may also grieve the assignment of individual element rating levels.

(2) Employees are expected to seek informal resolution of disagreements with their supervisors concerning their supervisory/managerial performance ratings. Disagreements not informally resolved will be handled according to the appropriate grievance process. A grievance may only be filed after a supervisory/managerial performance rating has been completed and communicated officially to the employee by the rating official.

(3) Summary rating level grievances are addressed by grieving individual element ratings. If it is alleged that

the summary rating has been incorrectly determined, the matter should be reviewed and corrected, if appropriate, by the rating official.

(4) The expected norm of performance is the Fully Successful level. When an employee grieves one or more rating elements rated below that level, the burden of proof rests with management to show that the rating(s) given were proper.

(5) Performance plans and individual ratings are not subject to amendment under the Privacy Act (5 U.S.C. 552a).

4. RESPONSIBILITIES:

a. The rating official is responsible for the following:

(1) Working with the employee to establish his/her supervisory/managerial performance plan.

(2) Discussing the final, approved signed supervisory/managerial performance plan with the employee.

(3) Providing candid and specific information to employees throughout the rating cycle on how well they are meeting expectations and coaching employees on ways to improve their performance.

(4) Conducting an interim performance review (assessment) to determine overall performance level.

(5) Helping supervisors/managers recognize and deal effectively with their employees' individual performance deficiencies.

(6) Preparing honest performance assessments based on accurate and consistent application of competency-based performance and other mission-related elements.

(7) Conducting an end-of-year/end-of-cycle performance review with the employee.

(8) Recognizing and rewarding outstanding performance.

(9) Working collectively with the employee to develop the employee's individual development plan (IDP).

b. The employee is responsible for the following:

(1) Working with the rating official to establish the supervisory/managerial performance plan.

(2) Initialing the supervisory/managerial performance plan. The employee's initials indicate only that the performance plan has been discussed with him/her.

(3) Providing the rating official with input for the overall summary performance level.

(4) Participating with the rating official to establish an Individual Development Plan (IDP).

(5) Serving a mandatory one year probationary period. Required for first time supervisors.

5. PROCEDURES: Refer to [Enclosure 2](#). For Definitions refer to [Enclosure 3](#).

6. EFFECTIVE DATE: June 30, 2003.

ENCLOSURE(S):

Enclosure 1, References  
Enclosure 2, Procedures  
Enclosure 3, Definitions

## Enclosure 1 References

1. Title 5, U.S.C., Section 552a: <http://www.usdoj.gov/opcl/privstat.htm>
2. Title 5, U.S.C., Section 4302: [http://frwebgate.access.gpo.gov/cgi-bin/usc.cgi?ACTION=RETRIEVE&FILE=\\$\\$xa\\$\\$busc5.wais&start=2229095&SIZE=4099&TYPE=TEXT](http://frwebgate.access.gpo.gov/cgi-bin/usc.cgi?ACTION=RETRIEVE&FILE=$$xa$$busc5.wais&start=2229095&SIZE=4099&TYPE=TEXT)
3. Title 5 CFR, Parts 315, 351, 430, 432, 532, and 752. <http://www.access.gpo.gov/cgi-bin/cfrassemble.cgi?title=200805>
4. DOD 1400.25-M, Subchapter 430. <http://www.cpms.osd.mil/ASSETS/9C7C6ADAD2F3415D843375306437E9B3/m1400430.pdf>
5. U. S. OPM, Performance Management. <http://www.opm.gov/perform/index.asp>

## Enclosure 2 Procedures

1. The PM System for Supervisors and Managers is an ongoing process of creating expectations while monitoring, evaluating, and recognizing performance. The PM System provides a framework for supervisors/managers to improve communications, coordinate planning activities, link individual with organizational performance, and ensure fair and consistent treatment for all DLA employees.
2. A new supervisory/managerial performance plan will be provided to covered employees at the beginning of each rating period. This should occur within thirty (30) calendar days after the beginning of the rating period, but not later than ninety (90) calendar days before the end of the rating period. A new plan should be provided within thirty (30) calendar days upon entry into a new position or when the employee's supervisory/managerial plan is significantly revised. The performance rating period begins October 1 and ends on September 30. By December 1 of the same year, the servicing DHRC will be provided with all completed performance ratings, and names of individuals not rated. Performance ratings will be based on at least ninety (90) consecutive calendar days working under an approved supervisory/managerial performance plan.
3. Employees are encouraged to participate in the development and revision of the supervisory/managerial performance plans for their positions.
4. Effective Date for Performance Ratings. The effective date of ratings will be the date the Supervisory/Managerial Performance rating is signed by the rating official. If the overall summary rating is Minimally Acceptable or Unacceptable, then the approving official must also sign the rating.
5. Overall summary performance will be rated as Fully Successful, Minimally Acceptable, or Unacceptable, which is

the summary level pattern D as outlined in 5 CFR, Part 430.208(d). Summary level Pattern D is the only summary level allowed under this performance management system.

a. The nine managerial competencies in Section 1 of DLA Form 1863 roll up into one critical element, defined as the overall “managerial competency”.

b. All managers and supervisors will be rated on all nine core managerial competencies.

## 6. Section I of DLA Form 1863

a. The nine managerial competencies will be rated in Section 1 of DLA Form 1863 as exceptional, superior, solid performance, minimally acceptable, or unacceptable. An overall rating level for Section I will be accomplished using the following methodology:

(1) If five or more (majority) of the managerial competencies are rated as “Exceptional,” then Section I is rated as “Exceptional”. The term “Exceptional” should then be circled on the header of Section I, and the overall Section I should be rated a “Fully Successful.”

(2) If fewer than five (less than majority) of the managerial competencies are rated as “Exceptional”, but five or more (majority) of the managerial competencies are rated as either “Exceptional” or “Superior”, then Section I is rated as “Superior”. The term “Superior” should then be circled on the header of Section I, and the overall Section I should be rated a “Fully Successful.”

(3) If fewer than five (less than majority) of the managerial competencies are rated as either “Exceptional” or “Superior”, but five or more (majority) of the managerial competencies are rated as either “Exceptional”, “Superior”, or “Solid Performer”, then Section I is rated as “Solid Performer”. The term “Solid Performer” should then be circled on the header of Section I, and overall Section I should be rated a “Fully Successful.”

b. A rating of minimally acceptable or unacceptable in any of the nine managerial competencies will result in a Section I and overall summary rating of minimally acceptable or unacceptable.

## 7. Section II of DLA Form 1863

a. Section II of DLA Form 1863 will be developed with a clear linkage to DLA goals and objectives. Section II of this Form is used to identify critical and non-critical technical job elements. Management has full authority to assign duties and responsibilities, and to ensure that these are carried out efficiently and effectively.

(1) The critical and non-critical technical job elements will be rated in Section II of DLA Form 1863 as exceptional, superior, solid performance, minimally acceptable, or unacceptable.

(2) Employees must be rated on each critical and non-critical element in their Supervisory/Managerial Performance Plan unless they have had insufficient opportunity to demonstrate performance in that element (Section II). All managerial competencies (Section I) must be rated under this system.

(3) A rating of minimally acceptable or unacceptable in any critical element will result in an overall summary rating of minimally acceptable or unacceptable.

8. A summary rating level must be assigned when a supervisory/managerial performance rating is prepared as part of a rating of record. Assigning a summary rating level at other times is optional.

## 9. Five rating category definitions:

a. Exceptional/Superior/Solid Performance. (See Enclosure 3 Definitions)

b. Minimally Acceptable. Performance below the Fully Successful level in which important aspects of work are

deficient, and improvement is necessary for the employee to properly contribute to achieving organizational goals. It is the lowest acceptable level of performance on a critical element. This is the lowest summary rating level when performance on a non-critical element is rated as Unsatisfactory.

c. Unacceptable. Performance which fails to meet acceptable performance standards in one or more critical elements in an employee's supervisory/managerial performance plan.

10. When either a regularly-scheduled rating period or an extended rating period ends and the deadline for providing the rating of record passes or a subsequent rating of record is issued, the rating official shall not produce or change retroactively a rating of record that covers that earlier appraisal period; except (1) within 60 days of issuance based upon an informal request by the employee; (2) as a result of a grievance, complaint, or other formal proceeding permitted by law or regulation that results in a final determination by appropriate authority that the rating of record must be changed or as part of a bona fide settlement of a formal proceeding; or (3) where the DHRC Director, determines that a rating of record was incorrectly recorded or calculated.

11. If by the conclusion of the PIP, and performance is still rated as Unacceptable, the employee must be reassigned, demoted, or removed from the Federal Service.

12. Veteran's Rating. DLA's Performance Management System for Supervisors and Managers will not adversely affect a veteran, covered by this instruction, who has been absent from work to seek medical treatment as provided in 5 CFR, Part 430.207(f).

13. An employee's entitlement to additional service credit for performance is based on the last three annual performance ratings of record received and put on record by the servicing DHRC prior to issuance of the specific notice of RIF. The last three ratings of record during the last 4-year period prior to the RIF will be the ones used to determine retention standing. An employee's last annual rating of record may be an improved one received as a result of an opportunity to demonstrate acceptable performance. No additional service credit is given for ratings of Minimally Acceptable or Unacceptable.

14. Transfer of performance ratings of record.

a. At the time an employee transfers to another Federal agency or separates from employment with DLA, and the Official Personnel Folder (OPF) is sent to another servicing Human Resource Office or to the National Personnel Records Center, the losing DHRC shall move the performance ratings of record for the last 4 years from the Employee Performance Folder (EPF) to the left (temporary) side of the OPF. The performance plan on which the most recent rating of record is based will also be placed in the OPF. When the OPF is transferred, these records will accompany it.

b. When an employee is reassigned within DLA, and is assigned to a new servicing DHRC, the EPF accompanies the OPF. Should the reassignment result in the employee remaining within the current serving DHRC, the movement of records from the EPF to the OPF is unnecessary.

### Enclosure 3 Definitions

1. The following definitions will be used to clarify the role of a supervisor or manager:

a. Supervisor. An employee that accomplishes work through the direction of other people, and performs a variety of supervisory duties to include: making work assignments, approving leave, rating performance, and taking disciplinary action.

b. Manager. A position or employee that directs the work of an organizational unit, is held accountable for the success of specific line or staff functions, monitors and evaluates the progress of the organization toward meeting



goals, and make adjustments in objectives, work plans, schedules, and the commitment of resources.

c. **Management Official.** Position meets the definition of Management Official in 5 U.S.C. 7103(a) (11), but does not meet the General Schedule Supervisory Guide definition of Supervisor/Manager or the definition of Supervisor in 5 U.S.C. 7103(a) (10). Management Official is an individual in a position that the duties and responsibilities require or authorize the individual to formulate, determine, or influence policies of the agency.

d. **Team Leader.** Non-supervisory employee that assists the supervisor in accomplishing assigned work by leading others. Team leaders perform the non-supervisory work led, and also are known to perform quasi-supervisory duties, such as distributing and balancing workload, checking on work in progress, reviewing completed work, amending or rejecting work not meeting established standards, approving leave for a few hours or for emergencies, resolving simple/informal complaints, reporting to supervisor on team progress/team members' needs, and providing information to supervisor as requested concerning recommended promotions, reassignments, performance appraisals, and awards and recognition.

e. **Rating Official.** This individual is normally the immediate supervisor of the ratee, who exercises the full range of personnel management responsibilities, i.e., work assignment, leave approval, performance review, training, award recommendation, and disciplinary action.

f. **Approving Official.** Individual(s) responsible for approving supervisory/managerial performance ratings submitted, by the rating official, which, fall below the Fully Successful level. This is normally the next higher-level supervisor above the rating official.

## 2. Nine Managerial Competency Definitions:

a. **LEADERSHIP:** Inspires, motivates, and guides others toward strategic/operational goals and corporate values. Coaches, mentors, and challenges staff and adapts leadership style to various situations. Consistently demonstrates decisiveness in day-to-day actions. Takes unpopular positions when necessary. Faces adversity head on. Rallies support and strives for consensus to accomplish tasks. Leads by personal example. Demonstrates concern for employees' welfare and safety, by continuously monitoring and eliminating potentially hazardous or unhealthy work situations.

b. **TEAMWORK:** Encourages a participative approach to work, fostering cooperation, pride, dialogue, and trust. Creates strong spirit and morale. Defines success in terms of the whole team and fosters teamwork. Works well with teams and others across the organization/enterprise to achieve goals. Consistently places team priorities before personal priorities.

c. **ORAL AND WRITTEN COMMUNICATIONS:** Presents ideas and information both verbally and in writing in a clear, concise manner. Shares relevant information. Informs others on a timely basis. Consistently shows a great deal of understanding, courtesy, tact, empathy, and concern when communicating with others. Demonstrates very effective listening and questioning skills.

d. **STRATEGIC FOCUS:** Has broad knowledge and perspective on the strategic issues facing the organization/agency. Can relate strategic objectives and enterprise focus to operational activities.

e. **RESPONSIBILITY/ACCOUNTABILITY:** Acts in the best interest of the organization/agency. Takes responsibility for personal actions, and takes/proposes timely and adequate corrective measures. Establishes or supports organizational and personal performance goals that are challenging and reflect mission goals. Honors commitments and obligations. Gives honest and respectful feedback to coworkers and subordinates. Conducts or requires others to conduct accurate, un-inflated, and timely performance evaluations. Ensures that an internal control system for efficient and effective management of programs, security policies, and daily operations is in place to safeguard against waste, fraud, unauthorized use, or misappropriation, to ensure that revenues and expenditures applicable to DLA operations are properly recorded and accounted for to permit the preparation of accounts and reliable financial statistical reports, and to ensure that proper accountability is maintained.

f. **CUSTOMER SERVICE:** Demonstrates a commitment to working with both internal and external customers. Identifies and resolves issues and concerns. Demonstrates commitment to providing high quality service. Continuously assesses service delivery performance from the customers' point of view. Anticipates and meets or exceeds customer expectations.

g. **PROFESSIONALISM:** Acts with integrity. Is trusted by others. Treats people fairly. Is seen as a direct and truthful individual and keeps confidences of others. Does not misrepresent him/herself for personal gain. Displays high standards of ethical conduct and understands how violating these standards would impact the organization, self, and others. Applies sound work ethic and standards. Fosters a work culture that promotes respect for others and discourages hurtful behavior.

h. **RESOURCE STEWARDSHIP:** Demonstrates responsibility for assigned resources. Conducts resource planning, execution, and evaluation. Performs the full range of human resource management functions, to include responsibility for position management, ensuring that organizations are staffed with the proper types, numbers, and grade levels of positions; staff is properly selected, developed, utilized, appraised, and recognized; and that staff members are treated fairly. Contributes, promotes, and implements the furthering of Equal Employment Opportunity (EEO) through individual personal efforts. Demonstrates commitment to agency's EEO goals. Demonstrates affirmative efforts to improve all personnel actions. Facilitates the provision of reasonable accommodations and dispute resolutions. Demonstrates commitment to non-discrimination in the workplace. Supports Special Emphasis Programs (SEP's).

i. **INNOVATION AND INITIATIVE:** Displays a high level of initiative, effort, and commitment to sound business practices. Supports continuous improvement. Consistently seizes opportunities when they arise and produces quality work products. Keeps current on emerging concepts and issues. Pursues professional development.

### 3. Other Performance Management Definitions:

a. **Critical Element.** A work assignment or responsibility, which is of such importance that unacceptable performance on the element, would result in unacceptable performance in the position.

b. **Exceptional Performance.** If all of the critical and non-critical rating elements are rated "Solid Performer" or higher and the majority of the critical elements are rated as "Exceptional", then the employee's performance is considered "Exceptional".

c. **Fully Successful.** Performance level necessary for the employee to function adequately, fulfill the duties and responsibilities of the position, and properly contribute to meeting organizational performance goals. The "solid performance, "superior" and "exceptional" performance will equate to an overall rating of "fully successful".

d. **Minimally Acceptable.** Performance below the "Fully Successful" level in which important aspects of work are deficient and improvement is necessary for the employee to properly contribute to achieving organizational goals. It is the lowest acceptable level of performance on a critical element.

e. **Performance Rating.** The process of reviewing and evaluating the performance of an employee against the written supervisory/managerial performance plan.

f. **Performance Plan.** All of the written individual or team performance elements that lead to the assignment of an individual's summary rating level. The plan contains the rating elements, and their related performance standards.

g. **Performance Standard.** The results-oriented statement that describes the levels of performance established for a rating element in such dimensions as quality, quantity, timeliness, and manner of performance.

h. **Rating of Record.** The summary rating, under 5 U.S.C., Section 4302a, that is required at the end of the rating period.

i. Solid Performance. If all of the critical and non-critical rating elements are rated “Solid Performer” or higher, and the majority of the critical elements are rated as “Solid Performer”, then the employee’s performance is considered a “Solid Performer”

j. Summary Rating. The result of rating each critical and non-critical element, and assigning an overall performance rating.

k. Superior Performance. If all of the critical and non-critical rating elements are rated “Solid Performer” or higher, and the majority of the critical elements are rated as “Superior”, then the employee’s performance is considered “Superior”

l. Unacceptable. Performance which fails to meet acceptable performance standards in one or more critical elements in an employee's supervisory/managerial performance plan, (see Enclosure 2, section 9. a. (3)).

#### 4. Privacy Act Considerations.

a. The rating records covered by this DLA Instruction are subject to the Privacy Act (5 U.S.C. 552a) and are to be treated as "For Official Use Only." The rules for collecting, using, safeguarding, and disseminating these records are contained in the OPM Government-Wide Privacy Act System Notice OPM/GOVT-1, Employee Performance File System Records. [http://privacy.defense.gov/govwide/opm\\_govt-1.shtml](http://privacy.defense.gov/govwide/opm_govt-1.shtml). Any disclosure of these records outside the Department of Defense must be in agreement with the "Routine Use" clause of that notice. Any third party disclosure, including a disclosure at the request of the record subject, must be recorded on an accounting of disclosures to show the name and title of the recipient, the recipient’s organization or agency, the date of the disclosure, the purpose of the disclosure, and the data elements or documents disclosed.

b. Performance plans and individual ratings are not subject to amendment under the Privacy Act (5 U.S.C. 552a).

c. Upon request, an individual is to be granted access to his own file and the accounting of disclosures. Coordinate such disclosures with your local Privacy Act Officer if the records have been disclosed to any law enforcement agency or if the individual is in litigation with the agency.

d. Rating documents contained within the Official Personnel File are subject to the rules contained in OPM Government-Wide Privacy Act System Notice OPM/GOVT-1, General Personnel Records. [http://privacy.defense.gov/govwide/opm\\_govt-1.shtml](http://privacy.defense.gov/govwide/opm_govt-1.shtml).