



Defense Logistics Agency **INSTRUCTION**

DLAI 1426.03
Effective June 26, 2014

DLA HQ (J14)

SUBJECT: Performance Management System for Supervisors and Managers

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

1. PURPOSE:

- a. This DLA Instruction (DLAI) supersedes and cancels DLAI 7513, reference (a), and implements policy in accordance with the authority in reference (f).
- b. This Instruction establishes policy, assigns responsibility, and implements procedures for the Performance Management System for Supervisors and Managers to assess and improve employee and organizational performance, and identify employee developmental needs.

2. APPLICABILITY:

- a. This Instruction applies to all DLA activities and defense activities serviced by DLA Human Resources Services (DHRS) Office that choose to use it.
- b. This DLAI does not apply to management officials and team leaders (see [Glossary](#) for the definitions).

3. DEFINITIONS: See [Glossary](#).

4. POLICY: It is DLA policy to manage the performance of DLA personnel to improve communications, coordinate planning activities, link individuals to organizational performance, and to ensure fair and consistent treatment.

5. RESPONSIBILITIES: Refer to [Enclosure 2](#).

6. PROCEDURES: Refer to [Enclosure 3](#).

7. INFORMATION REQUIREMENTS: Rating officials must use DLA Form 1862 to establish employee performance plans and DLA Form 1863 to complete performance ratings. Electronic versions of these forms are available on the DLA Forms Management Program Web Site at <http://www.dla.mil/dss/forms>.

8. INTERNAL CONTROLS:
 - a. The DHRS will perform a management review of all actions covered by this Instruction.

 - b. Defense Civilian Personnel Data System controls only allow access to certain areas, fields, table authorizations, and certifications based on access rights. This helps ensure all authorized users have access to personnel data and protects unauthorized access.

9. RELEASEABILITY. UNLIMITED. This Instruction is approved for public release and is available on the Internet from the DLA Issuances Internet Website.

10. EFFECTIVE DATE. This Instruction:
 - a. Is effective on June 26, 2014.

 - b. Must be reissued, cancelled, or certified current within 5 years of its publication in accordance with DLAI 5025.01, DLA Issuance Program. If not, it will expire effective June 26, 2024 and be removed from the DLA Issuances Website.

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Enclosure(s)
Enclosure 1 – References
Enclosure 2 – Responsibilities
Enclosure 3 – Procedures
Glossary

ENCLOSURE 1

REFERENCES

- (a) DLAI 7513, "Performance Management System for Supervisors and Managers," June 30, 2003
- (b) Title 5, United States Code, Section 552, <http://www.usdoj.gov/opcl/privstat.htm>
- (c) Title 5, United States Code, Section 4302, "Establishment of Performance Appraisal Systems," <http://www4.law.cornell.edu/uscode/5/4302.html>
- (d) Title 5, United States Code, Section 7103, <http://www.law.cornell.edu/uscode/text/5/7103>
- (e) Title 5, Code of Federal Regulations, Parts 315, 351, 430, 432, 531, 532, and 752, http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title05/5tab_02.tpl
- (f) Department of Defense (DoD) Instruction 1400.25, Volume 430, December 1996 incorporating Change 1, July 25, 1997, Administratively reissued May 18, 2009, http://www.dtic.mil/whs/directives/corres/pdf/140025_vol430.pdf
- (g) United States OPM, Performance Management, <http://www.opm.gov/perform/index.asp>
- (h) Department of Defense (DoD) Manual 5200.01, Volume 1, "DoD Information Security Program: Overview, Classification and Declassification," February 24, 2012, http://www.dtic.mil/whs/directives/corres/pdf/520001_vol2.pdf
- (i) Secretary of Defense Memorandum, "Department of Defense (DOD) Hiring Reform: A Call to Action," October 22, 2010
- (j) DLA Instruction 7515, "Probationary Period for New Supervisors/Managers," effective May 23, 2003, certified current April 19, 2011, <https://hqc.dla.mil/issuances/Documents/i7515.pdf>
- (k) DLAH 1432.01, "DLA Awards and Recognition Handbook," February 2013, <https://hqc.dla.mil/issuances/Documents/h1432.01.pdf>
- (l) DLAI 1426.XX, "Performance Management Program for Non-Supervisory General Schedule and Federal Wage System Employees," effective xxxx 2014
- (m) Privacy Act (5 United States Code 552a) <http://www.law.cornell.edu/uscode/text/5/552>
- (n) 5 Code of Federal Regulations, Part 430.208(f)

ENCLOSURE 2

RESPONSIBILITIES

1. THE STAFF DIRECTOR, DLA HUMAN RESOURCES POLICY (J14) under the authority, direction, and control of the Director, DLA Human Resources (J1) will:

a. Issue policy for the Performance Management Program for supervisory and managerial positions.

b. Monitor DLA-wide performance management practices and procedures.

c. Act as point of contact with OPM, DoD, and other authorities on performance management matters affecting DLA as they relate to performance management.

2. DLA DIRECTORS/COMMANDERS OF PLFAs, J CODES, and D STAFFS; and DEFENSE AGENCIES (in accordance with the terms of an applicable servicing support agreement) must implement this Instruction and ensure that supervisors abide with the requirements and properly carry out their responsibilities.

3. DHRS TEAM under the supervision and control of the Administrator, DHRS will:

a. Issue implementing guidance, as necessary, and provide advisory services to supervisors, managers, and employees in relation to performance management.

b. Perform a management review of required actions covered by this Instruction. The review will verify that all events actually occurred, properly documented, and are in accordance with (IAW) applicable rules, regulations, and procedures.

4. RATING OFFICIALS will:

a. Establish a performance plan for supervisory/managerial employees upon their entry in a position, or when a position description is significantly revised. Consult the servicing DHRS to help develop minimally acceptable performance standards.

b. Discuss the final, signed supervisory/managerial performance plan with the employee.

c. Provide candid and specific information throughout the rating cycle on how well they are meeting expectations, and coach employees on ways to improve performance.

d. Conduct an interim performance reviews to determine overall performance. This review includes discussing the results of the assessment with the employee and documenting the review and discussion in Section III of DLA Form 1862.)

- e. Help supervisors/managers recognize and deal effectively with their employees' individual performance deficiencies.
- f. Prepare honest performance assessments based on accurate and consistent application of competency-based performance and other mission-related elements.
- g. Conduct an end-of-year/end-of-cycle performance review with the employee and document the review and discussion on the DLA Form 1863.
- h. For a poor performer, develop an individual development plan (IDP) with the employee, which includes 20-hours of mandatory leadership training for all managers/supervisors.
- i. Provide probationary supervisors with continuous performance coaching and informal feedback, quarterly progress reviews, and support in accomplishing Agency-mandated training.
- j. Recognize and rewarding outstanding performance.

5. EMPLOYEES will:

- a. Work with the rating official to establish the supervisory/managerial performance plan.
- b. Sign the supervisory/managerial performance plan, which indicates only that it has been discussed with him/her.
- c. Participate in the interim review process, to include signing and dating Section III of DLA Form 1862. This acknowledges participation in the process, not necessarily agreement with the interim assessment results.
- d. Provide the rating official with input for the overall summary performance level.
- e. Participate with the rating official to establish an IDP, to include the 20 hours of leadership training required for all DLA managers and supervisors annually.
- f. Serve a 1-year probationary period, which is required for first time supervisors.

ENCLOSURE 3

PROCEDURES

1. Performance Plans:

a. Rating officials must:

(1) Establish employee performance plans (critical elements/standards) on DLA Form 1862, "Supervisory/Managerial Performance Plan."

(2) Link performance plans to the Agency's mission and core managerial competencies, and relate performance plans to the duties and responsibilities of each employee's position.

(3) Encourage employees to participate in the development and revision of the supervisory/managerial performance plans. Develop standard performance plans if applicable.

(4) Communicate performance plans to each employee within 30-calendar days after the beginning of the rating period, within 30 calendar days upon entry into a position, or when the supervisory/managerial performance plan is significantly revised.

(5) Provide and discuss supervisory/managerial performance plans with employees who were temporarily promoted, detailed, or reassigned to another position for more than 120 days. Performance plans may not become effective retroactively. Consequently, rating officials may consider placing employees on supervisory/managerial performance plans for those temporary assignments scheduled to last less than 120 days when there is a possibility that the assignment may subsequently be extended beyond the 120 day mark.

(6) Modify the content of performance elements 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 behavior, output, and results expected from supervisors and managers (Section I of DLA Form 1862). Rate all managers/supervisors on the nine core managerial competencies even though not all of the indicators may be relevant to an employee's current position given their assignments, roles, and responsibilities. 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/recurring primary duties) and are usually composed of several important subordinate responsibilities. In general, performance plans should be broad in scope and contain a maximum number of six critical elements. These critical elements are those that are of such importance that unacceptable

performance in one element would result in an unacceptable performance rating in the position. Write critical elements at the fully successful level and document them in Section II of DLA Form 1862. If a DLA organization requires a mandatory critical element be added to DLA supervisory performance plans, the owning activity must gain approval from Human Resources Policy. Upon approval, Human Resource Policy will update this DLAI with the additional critical element within one year.

(3) Non-Critical Elements. Non-critical elements are work assignments or responsibilities that are important; however, unacceptable performance, while undesirable, would not result in overall unacceptable performance in the position. Non-critical elements are documented in Section II of DLA Form 1862 after the critical elements.

(4) Individual performance within a group or team context may be included as a non-critical element in manager/supervisor performance plans. However, performance-based actions would not be an 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.

c. Mandatory Performance Standards for employees that access critical information, those involved in the recruitment/hiring process, and those that work in Audit Readiness.

(1) Performance Plans for Positions that Protect Classified Information. All positions that protect or have access to classified information require a mandatory critical performance element that holds them accountable for protecting classified information. The positions below describe personnel who must be evaluated for the management of classified information as a critical element:

- (a) Original classification authorities
- (b) Security managers and security specialists
- (c) Personnel who derivatively classify information on a daily/routine basis (e.g. intelligence analysts/specialists, SIPRnet account holders, Joint Logistics Operations Center)
- (d) Information system security personnel (e.g. system administrators) with privileged access to classified systems or network resources
- (e) All other personnel whose duties include significant involvement with the creation, storage or handling of classified information (e.g. security representatives, classified equipment custodians)

(2) The mandatory critical performance element for these positions is titled: "Protection of Classified Information," and is described as follows: "Exhibits individual and personal accountability for classified information under their custody and control. Takes precautions to ensure unauthorized persons do not gain access to classified information through proper marking, transmission, and safeguarding. Reports unauthorized disclosures, security incidents, violations, and vulnerabilities to the appropriate management official and/or security official.

Completes initial/annual refresher security awareness training, initial/biennial derivative classifier training and other related security training as required."

(3) Performance Plans for Supervisors and Managers Involved in the Recruitment and Hiring Process. Performance plans for all supervisors and managers who have any level of hiring authority must include a critical element in their performance plan. The mandatory critical element is titled, "Recruitment and Selection of Highly Qualified Employees." The Fully Successful performance level of the element is described as follows: "Acts in timely fashion to effectively attract/recruit a high caliber workforce in accordance with measurements identified in organizational staffing/hiring goals; makes decisions in compliance with all applicable regulations, including Equal Employment Opportunity (EEO) regulations; ensures successful transition/retention into the Federal Service by providing opportunities for orientation, training and tools for enabling employees to successfully perform during the probationary period and beyond. The incumbent identifies current/future position requirements to ensure that recruiting is appropriately focused and timely to produce high quality candidate pools and acts responsibly and timely on all hiring decisions."

(4) Performance Plans for Position involved in the Audit Readiness Effort. To ensure audit readiness duties remain a top priority, positions involved in this effort must include a critical performance element.

(a) All DLA Senior Executive Service (SES) members must have a mandatory critical performance element related to audit readiness in their individual performance plans. While this instruction doesn't cover SES members, the language is provided as a reference. The mandatory SES performance element states, "For assigned audit readiness deliverables, ensure: a) no milestone slippages occur that would result in DLA not meeting its FY13-15 assertion timelines unless approved by the Director; b) deliver on time at least 90 percent of assigned work products; and c) develop plans of actions within two weeks for milestones that are behind plan (amber) that maintain assertion timelines."

(b) All supervisors and managers who are directly responsible for the audit readiness effort must have a mandatory critical performance element in their performance plans to include the following responsibilities as well as any other specific goal, related to audit readiness, that may apply to their individual organization. The mandatory critical performance element must be described as follows, "All supervisors and managers with audit readiness responsibilities will: 1) ensure they and their employees understand how audit readiness affects their jobs; 2) ensure clear documentation and up-to-date procedures are in place that comply with laws, regulations and policies for the functions they perform; 3) measure and provide effective oversight to ensure employees understand and adhere to those prescribed procedures; and 4) ensure audit readiness evidential matter is stored in the designated storage location."

2. Feedback during the Rating Cycle: Rating officials must provide periodic performance feedback to employees on how they are performing against their supervisory/managerial performance plan. In addition, discuss performance expectations 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. Document the interim review (mid-

point) in Section III of the DLA Form 1862, by having it signed and dated by the rating official and the employee. The employee and rating official will maintain records of the interim review. This is not maintained as part of the Official Personnel File/Electronic Personnel File. Dispose these records in appropriate fashion at the end of performance cycle for which they are relevant.

3. Feedback Requirements for Probationary Supervisors: In accordance with reference (j), the supervisor of a probationary supervisor will conduct and document an initial in-brief with the new supervisor within 30 days of their appointment to the position, utilizing the DLA Probationary Supervisor and Manager Partnering Agreement, see Enclosure 2 of reference (j). Managers will conduct and document a progress review with the probationary supervisor at least once every quarter during the probationary period, at approximately the 3, 6, 9, and 12-month marks of the probationary period, see Enclosure 3 of reference (j) for the correct format.

4. Performance Rating Cycle:

a. The Annual Performance Rating Period.

(1) The annual performance-rating period covered by this DLAI begins October 1 and ends on September 30.

(2) Rating officials will provide the servicing DHRS all completed performance ratings (Form 1863) and a list of the names of employees not rated by December 1 of the same year. Performance ratings are based on at least 90-consecutive calendar days working under an approved performance plan.

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

(b) If an employee was 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.

(c) If an 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. The rating period may be extended due to long-term training or other lengthy absence(s) where the employee has not completed the minimum 90 days of work necessary for a rating.

(d) If an employee has completed a temporary reassignment, detail, or temporary promotion the supervisor of the detailed employee will prepare the summary rating and give it to the supervisor of record to use when rendering the final summary rating. This summary rating is

for information only; it 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 detailed employee will complete the official performance rating. When an employee is reassigned within DLA with a new servicing DHRS, the losing office should ensure the performance records in the electronic Official Personnel Folder (e-OPF) are up to date.

(e) If an employee is detailed to a different assignment, the employee continues to occupy their officially assigned position. A summary rating given to an employee on detail cannot be the sole basis for a performance-based adverse action. Employees on a detail who fail to perform acceptably must return to their positions of record.

(f) When an employee transfers to another Federal agency or separates from employment with DLA and their electronic e-OPF is sent to another servicing Human Resource Office or to the National Personnel Records Center, the losing DLA DHRS must scan the three most recent performance ratings of record from the last four years into the e-OPF. The performance plan on which the most recent rating of record is based will be submitted by the supervisor and scanned into the e-OPF prior to transfer.

(3) 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:

(a) Within 60 days of issuance based upon an informal request by the employee;

(b) 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

(c) Where the DHRS Director, determines that a rating of record was incorrectly recorded or calculated.

b. Performance Ratings:

(1) Rating officials rate employees on each mandatory managerial competency in Section I and for each separate mission element in Section II of DLA Form 1863, Supervisory/Managerial Rating. There shall be no forced distribution of summary ratings.

(a) DLA Form 1863 Section I and II ratings, and the overall Summary Rating Level will be assessed with the following rating levels:

1. Level 3: Fully Successful

2. Level 2: Minimally Acceptable

3. Level 1: Unacceptable

(b) DLA Form 1863 Section I and II five rating category definitions:

1. Exceptional/Superior/Solid Performance. (See Glossary for specific definitions.) These three performance levels equate to an overall rating of Fully Successful. Fully Successful performance is the level of performance when an employee is functioning adequately, fulfilling the duties and responsibilities of the position, and properly contributing to meeting organizational performance goals.

2. 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.

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

(2) The rating official must 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 when applying the supervisory/managerial performance plan to actual performance to determine the appropriate rating level for each individual competency, and other mission 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. 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.

(a) The rating official will complete Section I of DLA Form 1863 rating the nine managerial competencies as exceptional, superior, solid performance, minimally acceptable, or unacceptable. Calculate the overall rating level for Section by 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." Circle "Exceptional" on the header of Section I, and the overall Section I should be rated "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." Circle "Superior" on the header of Section I, and the overall Section I should be rated "Fully Successful."

3. If fewer than five (less than majority) of the managerial competencies are rated as either "Exceptional" or "Superior," but all nine of the managerial competencies are rated as either "Exceptional," "Superior," or "Solid Performer," then Section I is rated as "Solid

Performer.” Circle “Solid Performer” on the header of Section I, and overall Section I should be rated “Fully Successful.”

4. If a rating is minimally acceptable or unacceptable in any of the nine managerial competencies, it will result in a Section I and overall summary rating of minimally acceptable or unacceptable. In accordance with reference (e) 5 CFR Part 531.404, employees rated below the “Fully Successful” level are not performing at an acceptable level of competence; therefore, they are not eligible for a within-grade increase (WIGI). Supervisors of employees who have completed the waiting period for a WIGI, but have a current rating of record below “Fully Successful” must withhold the processing of the WIGI until the employee’s performance improves to an acceptable level.

(b) The rating official will complete Section II of DLA Form 1862 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 they are fulfilled efficiently and effectively. 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.

1. Supervisors rate employees on each critical and non-critical element in their Performance Plan (Section II) unless they have had insufficient opportunity to demonstrate performance in a particular element. Do not consider unrated elements in determining the summary rating level. All managerial competencies (Section I) must be rated under this system.

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

3. If performance in any critical element is “Minimally Acceptable,” and no critical element is “Unacceptable,” then the employee’s overall rating is “Minimally Acceptable.” An official who is at least one level higher than the rating official (approving official) must approve a rating of “Minimally Acceptable.”

4. If performance of any of the critical elements is “Unacceptable,” the employee’s overall rating is “Unacceptable.” An official at least one level higher than the rating official (approving official) must approve ratings of “Unacceptable.” 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.”

5. A rating of minimally acceptable or unacceptable in any critical element will result in an overall summary rating of “Minimally Acceptable” or “Unacceptable.”

(3) If performance slips to either the minimally acceptable or the unacceptable level, the rating official must counsel the employee concerning their performance deficiencies. If the performance was unacceptable, the rating official will implement a Performance Improvement Plan (PIP), while continuing to assist the employee to improve their performance. (Note: If performance slips to below fully successful at any point during the rating cycle, the rating

official, do not wait until the end of the cycle to address the substandard performance. The supervisor will contact DHRS for guidance.)

(a) At the conclusion of the PIP and performance has improved to the minimally acceptable level, and it coincides with the end of the performance cycle, the rating official will issue a “Minimally Acceptable” rating. If the improved performance does not coincide with the regular rating period, then rate the employee at the end of the next rating period.

(b) If by the conclusion of the PIP and performance is still rated “Unacceptable,” the employee must be reassigned, demoted, or removed from the Federal Service.

5. Performance Based Recognition: Use the performance rating of record as a basis for granting performance awards, honorary recognition, as well as taking necessary performance-based action. All employees with an overall summary rating of “Fully Successful” are eligible for performance awards. Information on awards can be found in the DLAH 1432.01, DLA Awards and Recognition Handbook.

6. Administrative Grievances:

a. 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, and may grieve the assignment of individual element rating levels.

b. Employees are expected to seek informal resolution of disagreements with their supervisors concerning 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.

c. Summary rating level grievances are addressed by grieving individual element ratings. If it is alleged the summary rating has been incorrectly determined, the matter should be reviewed and corrected, if appropriate, by the rating official.

d. 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 the rating(s) given were proper.

e. Performance plans and individual ratings are not subject to amendment under the reference (m).

7. 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 reference (n), Part 430.208(f).

8. Privacy Act Considerations. See reference (m).

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

DHRS – DLA Human Resources Services Office

PIP – Performance Improvement Plan

SIPRNET - Secret Internet Protocol Router Network

PART II. DEFINITIONS

Appraisal. The process of reviewing and evaluating performance.

Appraisal Period. The period for which performance will be reviewed and a rating of record will be prepared.

Approving Official. An individual responsible for approving supervisory/managerial performance ratings submitted by the rating official, that fall below the Fully Successful level. This is normally the next higher-level supervisor above the rating official.

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

Exceptional Performance. A performance rating given to supervisors/managers if all of the critical and non-critical rating elements are rated “Solid Performer” or higher and the majority of the managerial competencies are rated as “Exceptional.”

Fully Successful. A performance rating given to supervisors/managers who function adequately, fulfill the duties and responsibilities of the position, and properly contribute to meeting organizational performance goals. The “Solid Performance,” “Superior Performance,” and “Exceptional Performance” levels equate to an overall rating of “Fully Successful.”

Manager. A position or employee that directs the work of an organizational unit and 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.

Management Official. A position that meets the definition in 5 United States Code, 7103(a) (11), but does not meet the General Schedule Supervisory Guide definition of Supervisor/Manager or the definition of Supervisor in 5 United States Code, 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.

Minimally Acceptable. A performance rating that reflects important aspects of work are deficient, and improvement is necessary for the employee to contribute to achieving organizational goals. It is the lowest acceptable level of performance on a critical element.

Nine Managerial Competency Definitions.

LEADERSHIP: Inspires, motivates, and guides others toward strategic/operational goals and corporate values. Coaches, mentors, and challenges staff. Adapt leadership style to various situations. Consistently demonstrates decisiveness in day-to-day actions. Takes unpopular positions when necessary and 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.

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.

ORAL AND WRITTEN COMMUNICATIONS: Presents ideas and information both verbally and in writing in a clear, concise manner. Shares relevant information and 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.

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.

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 and 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.

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.

PROFESSIONALISM: Acts with integrity and is trusted by others. Treats people fairly. Is seen as a direct and truthful individual and keeps confidences of others. Does not misrepresent

him or herself for personal gain. Displays high standards of ethical conduct and understands how violating these standards would affect the organization, self, and others. Applies sound work ethic and standards. Fosters a work culture that promotes respect for others and discourages hurtful behavior.

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 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.

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.

Non-critical Element. A dimension or aspect of individual, team, or organizational performance, exclusive of a critical element, that is used in assigning a summary level. Such elements may include, but are not limited to, objectives, goals, program plans, work plans, and other means of expressing expected performance.

Performance. The accomplishment of work assignments and responsibilities.

Performance Rating. The summary rating result of reviewing and evaluating the performance of an employee against the written supervisory/managerial performance plan documented on DLA Form 1863.

Performance Plan. 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. The plan is documented on DLA Form 1862.

Performance Standard. The results-oriented, management-approved expression of the performance threshold(s), requirement(s), or expectation(s) that supervisors/managers must meet to reach a level of performance. A performance standard includes, but is not limited to, quality, quantity, timeliness, and manner of performance.

Rating of Record. The summary rating, under 5 United States Code, Section 4302a, that is required at the end of the rating period.

Rating Official. An individual, normally the immediate supervisor of the employee being rated, who exercises the full range of personnel management responsibilities, i.e., work assignment, leave approval, performance review, training, award recommendation, and disciplinary action.

Solid Performance. A performance rating given to supervisors/managers if all of the critical and non-critical rating elements are rated “Fully Successful” or higher, and the majority of the critical elements are rated as “Fully Successful.”

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

Superior Performance. A performance rating given to supervisors/managers when 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.”

Supervisor. An employee who accomplishes work through the direction of other people and performs a variety of supervisory duties, which include assigning work, approving leave, rating performance, and taking disciplinary action.

Team Leader. A non-supervisory employee that assists the supervisor in accomplishing assigned work by leading others. Team leaders perform non-supervisory work and may perform quasi-supervisory duties. These include distributing and balancing workload, checking on work, reviewing completed work, amending or rejecting work that doesn’t meet 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.

Unacceptable. A performance rating given to supervisors/managers who fail to meet acceptable performance standards in one or more critical elements in their performance plan.