

# *Performance Plan Essentials*

A performance plan includes both the elements and standards. To be relevant and meaningful as part of a performance plan, performance elements should meet the following considerations.

- All elements should be important, that is, significant or essential to the position--so important, in fact, that individual job success, and sometimes the success of the organization, is threatened if they are not properly performed. Critical elements should be so important to job success that unacceptable performance cannot be tolerated.
- Elements should support or contribute to the work unit objectives, as well as the broader mission.
- They should be job related, that is, they should be consistent with the position description, including level of authority. An employee cannot be required to perform that which he/she has no authority to do.

Avoid overlapping; instead, zero in on the key components or major job requirements. Ask yourself, is it important enough and done often enough to make it worth appraising? Is it grade controlling? Does it represent a distinct portion of the job? The elements should be clearly stated in a manner understandable to all parties. Last of all, the elements must be within the employee's control. For example, a secretary cannot be responsible for the overall timeliness of a technical report that must be prepared by another employee.

Supervisors must have critical elements addressing Equal Employment Opportunity (EEO) in their work plan which are listed below and can be found in Attachment 3 of [AFI 36-1001](#).

There are normally 1-7 elements listed on a performance plan and normally the elements must be critical. This should be a sufficient total number of elements for evaluating the performance of most employees. By keeping the number to 1-7 elements, this makes the performance plan development and the appraisal process manageable for supervisors.

## **Critical Elements Purpose and Background**

Specific provisions of law, regulation, and Department of Defense (DoD) policy require certain matters be considered in the performance evaluations of some employees. Except as provided below, this does not require the establishment of specific performance elements and standards addressing the individual's performance. Rating officials may just consider these requirements in the performance rating or provide narrative evaluations of progress in meeting these requirements (e.g., in a statement on the appraisal form).

## DoD Performance Evaluation Requirements.

- **Audit Follow-Up.** Performance evaluations of appropriate managers must reflect the degree of effectiveness in addressing audit findings and recommendations and implementing agreed upon corrective actions as required by [Office of Management and Budget \(OMB\) Circular A-50](#), "Audit Follow-up," 29 September 1982. This requirement applies to audits conducted by the General Accounting Office (GAO) and the Inspector General, Department of Defense (IG, DoD). This requirement is established in paragraph E.2.g of DoD Directive 7650.3, "Follow-Up on General Accounting Office, DoD Inspector General, Internal Audit, and Internal Review Reports," 5 September 1989.
- **Personnel Security Program.** Performance evaluations of employees assigned to sensitive duties (or other duties requiring a trustworthiness determination) must on a continuing basis also have an evaluation of their security eligibility. This requirement is established in paragraph 9-102(d) of [DoD 5200.2-R](#), "Personnel Security Program," January 1987.
- **Internal Management Control.** Performance evaluations of management who have significant Internal Management Control (IMC) responsibilities must reflect the accountability for the success or failure of IMC practices. This requirement is established in paragraph E.3.d of DoD Directive 5101.39, "Internal Management Control Program," 14 April 1987.
- **Equal Employment Opportunity (EEO).** Performance evaluations of supervisors, managers, and other personnel with EEO responsibility shall have a critical element on EEO. This requirement is established in paragraph E.2.f of [DoD Directive 1440.1](#), "The DoD Equal Employment Opportunity (EEO) Program," 21 May 1987.
- **Inventory Management.** Performance evaluation of individuals employed at Inventory Control Points shall give appropriate consideration to efforts made by these individuals to eliminate wasteful practices and achieve cost savings in the acquisition and management of inventory items. This requirement is established in [title 10, section 2458](#).
- **Acquisitions.** Persons serving in an acquisition position in the same acquisition career field shall be provided an opportunity for inclusion of any comments on the performance of a person serving in an acquisition position. It should be routine practice to seek input from program managers when evaluating contracting personnel. This requirement is established in paragraph D.19 of DoD Directive 5000.52, "Defense Acquisition Education, Training, and Career Development Program," 25 October 1991.
- **Regulatory Reinvention.** Performance measurements of persons who are frontline regulators, i.e., those who have the authority to order a corrective action or levy a fine on a business or other government entity, must focus on results, not process and punishment. Therefore, such measures should not be based on process (e.g., number of visits to a business or government entity) or punishment (e.g., number of violations found, number of fines levied on a business or other government entity). This requirement is established by a Presidential Memorandum for heads of federal departments and agencies, "[Regulatory Reinvention Initiative](#)," 4 March 1995.

- **Classified Information Management.** The performance ratings of civilian employees who are original classification authorities, security managers or security specialists, or significantly involved in the creation or handling of classified information must include the management of classified information as a critical element or item to be evaluated. This requirement is established in section 5.6(c)(7) of [Executive Order 12958](#), "Classified National Security Information," 17 April 1995.
- **Safety.** Responsible DoD officials, at each management level, including first-line supervisors, shall, to the extent of their authority, comply with the Department of Defense Occupational Safety and Health Program guidance and regulations. Performance evaluations of these employees shall reflect personal accountability in this respect, consistent with the duties of the position, with appropriate recognition of superior performance, and conversely, with corrective administrative action, as appropriate, for deficient performance. This requirement is established in Enclosure 2 to DoD Instruction 6055.1, "DoD Occupational Safety and Health Program," 26 October 1982.

Elements in the performance plan are normally critical because we are required to take action when performance reaches an unacceptable level; therefore, in an effort to keep the process simple, we only document those elements which have the greatest impact upon the unit's mission and would require remedial action by management, if the employee failed to meet the standards assigned.

It is important to note that supervisors must have a critical element addressing EEO in their workplan ([AFI 36-1001, Attachment 3](#)).

#### Attachment 3

#### PERFORMANCE EVALUATION REQUIREMENTS

**A3.1. Purpose and Background.** Specific provisions of law, regulation, and Department of Defense (DoD) policy require certain matters be considered in the performance evaluations of some employees. Except as provided below, this does not require the establishment of specific performance elements and standards addressing the individual's performance. Rating officials may just consider these requirements in the performance rating or provide narrative evaluations of progress in meeting these requirements (e.g., in a statement on the appraisal form).

#### A3.2. DoD Performance Evaluation Requirements.

**A3.2.1. Audit Follow-Up.** Performance evaluations of appropriate managers must reflect the degree of effectiveness in addressing audit findings and recommendations and implementing agreed upon corrective actions as required by Office of Management and Budget (OMB) Circular A-50, "Audit Follow-up," 29 September 1982. This requirement applies to audits conducted by the General Accounting Office (GAO) and the Inspector General, Department of Defense (IG, DoD). This requirement is established in paragraph E.2.g of DoD Directive 7650.3, "Follow-Up on General Accounting Office, DoD Inspector General, Internal Audit, and Internal Review Reports," 5 September 1989.

**A3.2.2. Personnel Security Program.** Performance evaluations of employees assigned to sensitive duties (or other duties requiring a trustworthiness determination) must on a continuing basis also have an evaluation of their security eligibility. This requirement is established in paragraph 9-102(d) of DoD 5200.2-R, "Personnel Security Program," January 1987.

**A3.2.3. Internal Management Control.** Performance evaluations of management who have significant Internal Management Control (IMC) responsibilities must reflect the accountability for the success or failure of IMC practices. This requirement is established in paragraph E.3.d of DoD Directive 5101.39, "Internal Management Control Program," 14 April 1987.

**A3.2.4. Equal Employment Opportunity (EEO).** Performance evaluations of supervisors, managers, and other personnel with EEO responsibility shall have a critical element on EEO. This requirement is established in paragraph E.2.f of DoD Directive 1440.1, "The DoD Equal Employment Opportunity (EEO) Program," 21 May 1987.

**A3.2.5. Inventory Management.** Performance evaluation of individuals employed at Inventory Control Points shall give appropriate consideration to efforts made by these individuals to eliminate wasteful practices and achieve cost savings in the acquisition and management of inventory items. This requirement is established in title 10, section 2458.

**A3.2.6. Acquisitions.** Persons serving in an acquisition position in the same acquisition career field shall be provided an opportunity for inclusion of any comments on the performance of a person serving in an acquisition position. It should be routine practice to seek input from program managers when evaluating contracting personnel. This requirement is established in paragraph D.19 of DoD Directive 5000.52, "Defense Acquisition Education, Training, and Career Development Program," 25 October 1991.