

APPENDIX B

ADDITIONAL PERFORMANCE EVALUATION REQUIREMENTS

1. Purpose. Specific provisions of law, regulation and DoD policy require certain matters to be considered in the performance evaluations of some employees. Paragraph 2 below addresses those situations where individual performance elements may be appropriate. However, the establishment of specific performance elements and standards may not be necessary in all instances. Rather, it may be appropriate to combine these expectations into one or more performance elements. An example is a supervisory element that captures all supervisory responsibilities. Management has discretion in determining those matters that require individual performance elements and when “combined” elements are appropriate.

2. DoD Performance Evaluation Requirements.

a. 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 Circular A-50, "Audit Follow-Up," September 29, 1982. This requirement applies to audits conducted by the General Accounting Office and the DoD Inspector General. This requirement is established in DoD Directive 7650.3, "Follow-Up on General Accounting Office, DoD Inspector General, and Internal Review Reports," June 3, 2004.

b. Protecting Classified Information. Performance evaluations of all employees whose duties involve access to classified information must include a comment by rating officials pertaining to an employee’s discharge of security responsibilities. This requirement is established in DoD 5200.2-R, "Personnel Security Program," January 1987.

c. Internal Management Control. Performance evaluations of managers 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 DoD Directive 5101.39, "Internal Management Control Program," April 14, 1987.

d. Equal Employment Opportunity (EEO). Performance plans of supervisors, managers and other personnel with EEO responsibility must have a critical element on supervision that contains references to their EEO responsibilities. This requirement is established in DoD Directive 1440.1, "The DoD Equal Employment Opportunity (EEO) Program," May 21, 1987.

e. Inventory Management. Performance evaluations of individuals employed at Inventory Control Points must 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 section 2458 of Title 10, U.S.C.

f. Acquisitions. Employees serving in positions in the acquisition career field must have a supervisory acquisition professional provide review and comments on any appraisal of their performance. This requirement is established in DoD Directive 5000.52, "Defense Acquisition, Technology, and Logistics Workforce Education, Training, and Career Development Program," January 12, 2005.

g. Regulatory Reinvention. Performance measurements of persons who are frontline regulators, i.e., those who have 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 government entity). This requirement is established by a Presidential Memorandum for heads of federal departments and agencies, "Regulatory Reinvention Initiative," March 4, 1995.

h. Classified Information Management. The performance ratings of civilian employees who are original classification authorities, security managers, 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 Executive Order 13292, "Classified National Security Information," March 25, 2003.

i. Safety. Responsible DoD officials at each management level, including first level supervisors, must to the extent of their authority, comply with the DoD Occupational Safety and Health program guidance and regulations. Performance evaluations of these employees must 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 DoD Instruction 6055.1, "DoD Occupational Safety and Health Program," August 19, 1998.

j. Increased Competition and Cost Savings in Contracts. Performance evaluations of officials involved in contracting and acquisition must give appropriate recognition to efforts to increase competition and achieve cost savings. This requirement is established in section 2317 of Title 10, U.S.C.