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## INFORMATION SHARING ENVIRONMENT GUIDANCE (ISE-G)

### INCLUSION OF INFORMATION SHARING PERFORMANCE EVALUATION ELEMENT IN EMPLOYEE PERFORMANCE APPRAISALS

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1. Authority. The National Security Act of 1947, as amended; The Intelligence Reform and Terrorism Prevention Act of 2004 (IRTPA), as amended; Presidential Memorandum dated April 10, 2007 (*Assignment of Functions Relating to the Information Sharing Environment*); Presidential Memorandum dated December 16, 2005 (*Guidelines and Requirements in Support of the Information Sharing Environment*); the Director of National Intelligence memorandum dated May 2, 2007 (*Program Manager's Responsibilities*); Executive Order 13388; *National Information Sharing Strategy*, dated October 2007; and other applicable provisions of law.

2. Purpose.

a. In his December 16, 2005 Presidential Memorandum "*Guidelines and Requirements in Support of the Information Sharing Environment*," the President required heads of executive departments and agencies that possess or use intelligence or terrorism information to actively promote a culture of sharing by holding relevant personnel accountable for the improved and increased sharing of terrorism information. The memorandum further deems that accountability efforts shall include the requirement "to add a performance evaluation element on information sharing to employees' annual Performance Appraisal Review, as appropriate."<sup>1</sup>

b. Information Sharing Environment (ISE) performance management assessment efforts indicate that almost 50% of the Information Sharing Council (ISC) member agencies have taken initial steps to ensure accountability for information sharing via performance appraisals.<sup>2</sup> However, during the past year, several ISC member agencies have requested coordination by the Program Manager for the Information Sharing Environment (PM-ISE) with the Office of Personnel Management (OPM) on how best to address the President's requirement to add information sharing into their performance appraisals.

c. Accordingly, the PM-ISE has worked with OPM to develop guidance to assist ISE agencies in the development of information sharing performance elements for inclusion in applicable employee performance appraisals.

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<sup>1</sup> The Presidential Memorandum, *Guidelines and Requirements in Support of the Information Sharing Environment*, Section 3b: "Promoting a Culture of Information Sharing," (December 16, 2005).

<sup>2</sup> The Program Manager, in consultation with the ISC, must report "how the ISE has fared on the performance measures" and "whether the performance goals set in the preceding year have been met" as well as "objective system-wide performance goals for the following year." (IRTPA, Sections 1016(h)(2)(A) and 1016(h)(2)(B)); see also *2008 Annual Report to the Congress on the ISE*, July 2008, pp. 6-12 (explanation of 2007-08 ISE Performance Management efforts).

3. Applicability. This ISE-G is applicable to:

a. Federal elements of the ISE, including the PM-ISE and ISC member agencies and their components that possess or use terrorism-related information, operate a system that supports the ISE, or otherwise participate (or expect to participate) in the ISE consistent with Section 1016(i) of the IRTPA.

b. Personnel who are charged with sharing terrorism-related information, or supporting such sharing. This includes, but is not limited to: intelligence, defense, diplomatic, homeland security and federal law enforcement personnel and managers involved in the collection, analysis, production, exploitation, and/or distribution of terrorism-related information; information assurance and technology specialists; and others as determined by individual departments and agencies.

4. Definitions.<sup>3</sup>

a. Performance Elements: The work assignments or responsibilities that supervisors use to plan, monitor, and rate employee and group performance. The three types of performance elements are critical, non-critical, and additional.

b. Competencies: The measurable or observable knowledge, skills, abilities, behaviors, and other characteristics needed to perform a type of work or function (e.g., interpersonal skills, adaptability, etc.).

c. Performance Appraisal: The process of setting performance expectations and standards for employees and evaluating (and periodically summarizing) performance against those standards to determine whether performance is unacceptable, fully successful, etc.

- d. Effective appraisals: Appraisals that are fair, credible, and transparent when they:
1. Align with organizational goals
  2. Hold employees accountable for achieving results
  3. Have a credible measure of quality, quantity, timeliness, cost effectiveness, and/or manner of performance
  4. Make distinctions in level of performance (e.g., unsatisfactory, satisfactory, excellent)
  5. Enable recognition of top performers and poor performers
  6. Include employee involvement in the design of the program
  7. Permit dialogue between management and employees
  8. Train employees, supervisors, and executives on the competencies and measures of performance
  9. Incorporate organizational performance into the assessment process

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<sup>3</sup> The included definitions were adapted from the OPM glossary of definitions, accessed July 22, 2008 (<http://www.opm.gov/html/glossary.asp#P>), the draft ODNI ICD 610, page 2, June 20, 2008, and OPM's criteria for effective appraisals, per its Performance Appraisal Assessment Tool (PAAT).



## 10. Are based on performance

- a) Heads of agencies have oversight of the results of appraisals and awards
- b) Managers and supervisors are held accountable for the performance management of their subordinates.

5. Guidance.

a. The President's *Guidelines and Requirements in Support of the Information Sharing Environment* requires the addition of an information sharing performance evaluation element to the annual Performance Appraisal Review process for relevant federal employees. This requirement is intended to hold such personnel accountable for the improved and increased sharing of terrorism-related information. The guidance provided in Appendix A, "Performance Appraisal Information Sharing Competencies," and Appendix B, "Sample Performance Appraisal Information Sharing Narratives," was developed in coordination with OPM and is designed to assist departments and agencies in their implementation.

b. Each department and agency should inform employees, supervisors, and managers of the competencies and their application, as well as review with employee groups to ensure inclusion of these competencies in employee performance plans. The PM-ISE is also making this information available to State, local and tribal (SLT) governments to use as guidance, to the extent applicable, for performance appraisal competencies to better account for and reward the performance of employees within their organizations who possess or use terrorism-related information.

c. Agencies shall work with their Human Resources Department to add information sharing competencies to relevant employees' performance appraisals, along with existing competency and results-focused elements.

d. Agencies shall adopt information sharing performance elements, as appropriate, in accordance with their existing performance appraisal timelines. To the extent possible, agencies should seek to affect the FY 2009 performance cycle.

6. Responsibilities.a. The PM-ISE will:

1. Provide performance appraisal guidance to all ISE agencies, for their use and incorporation into existing or planned appraisal systems, as applicable.

2. Identify measures of performance for federal departments and agencies to annually report progress in establishing information sharing as a competency, as part of the annual ISE performance reporting process.

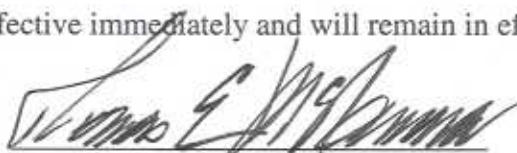
b. All relevant Federal departments or agencies, responsible for terrorism-related information sharing (as defined in Section 3 of this document, "Applicability") will:

1. Determine the applicability of the guidance to their agency and its employees.
2. Incorporate the guidance into their agency's existing or planned efforts to measure competencies, as appropriate. Each agency should determine which competencies are most appropriate to address terrorism-related information sharing.
3. Work directly with their Human Resources Department and/or the OPM Human Capital Officer (HCO) assigned to their agency to resolve any questions regarding implementation of this guidance. (See Appendix C for HCO listing).
4. Report annually to PM-ISE on progress made in incorporating an appropriate information sharing element into employee performance appraisals. The anticipated measures for the first phase of implementation are as follows:

"Percentage of agency's relevant personnel, by level, whose Performance Appraisals currently include 'terrorism-related information sharing' as a performance evaluation element.

"Please report any examples of outcomes or operational improvements that directly or indirectly resulted from the addition of information sharing elements to employee performance appraisals."

7. Effective Date and Expiration. This ISE-G is effective immediately and will remain in effect until superseded or cancelled.



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Program Manager for the Information  
Sharing Environment  
Date: September 23, 2008

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## APPENDIX A: Performance Appraisal Information Sharing Competencies

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The following are suggested competency elements for federal department and agency personnel who are charged with sharing terrorism-related information, or supporting such sharing. This includes but is not limited to: Federal intelligence, defense, diplomatic, homeland security and law enforcement personnel and managers who are involved in collection, analysis, tasking, production, exploitation, and distribution of terrorism-related intelligence; as well as information assurance and technology specialists; and members of congressional liaison, public affairs, and plans/policy/budget staffs, as appropriate. Agencies should select and adapt, as appropriate, the relevant competencies that apply to their mission, and add them to appropriate employees' appraisals.

Mandatory competency. In addition to any of the applicable competencies suggested below, the performance plan for every employee, supervisor, manager, and executive with terrorism-related information-sharing responsibilities must contain a competency such as:

- Shares terrorism-related information in a manner consistent with protection of sources and methods, and applicable legal standards relating to privacy and civil liberties.

The competency statements describe behaviors the employee exhibits when demonstrating the competency effectively and can be taken from any of the categories below, as appropriate.

- A. Employees who have terrorism-related information sharing responsibilities:
  - Ensures information is made available in a timely manner, and is accessible, and relevant to customer or partner needs.
  - Operates in a manner designed to maximize cooperation and collaboration and ensure appropriate information is shared with relevant parties.
  - Demonstrates knowledge of his/her role in fulfilling his/her organization's, agency's and community's terrorism-related information-sharing goals, and undertakes self-development actions and training.
  - Recommends improvements to information sharing procedures to enable mission partners to contribute valuable counterterrorism (CT) information to the national CT effort.
- B. Executives:
  - Holds relevant personnel accountable for the improved and increased sharing of terrorism-related information.<sup>4</sup>
  - Incorporates terrorism-related information sharing as a specific goal in the organization's strategic plan, as appropriate.

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<sup>4</sup> The Presidential Memorandum, *Guidelines and Requirements in Support of the Information Sharing Environment*, Section 3b: "Promoting a Culture of Information Sharing," (December 16, 2005).



- Incorporates *National Strategy for Information Sharing* priorities in relevant aspects of the agency's performance management plan and in employee appraisals.
- Ensures self and all employees complete all relevant training on time.

C. Analysts/Collectors in the Intelligence, Defense, Homeland Security, Law Enforcement and Foreign Affairs Communities:

- Identifies opportunities to provide complete, tailored, timely, actionable, and validated terrorism-related information at the level or levels necessary to address the needs of ISE users.
- Collaborates with others and identifies impediments or improvements to information sharing among Federal, SLT, private sector, and foreign partners, and raises recommendations with managers for new or revised policies, business practices, and technology to address these areas.
- Keeps customers and colleagues informed of changes to procedures, databases, and access procedures that enhance information sharing.

D. Law Enforcement/Homeland Security/Defense:

- Collaborates with others and promotes a uniform federal message to partners and the private sector which reduces redundancies, eliminates conflicting information, and enhances meaningful coordination and collaboration.
- Develops and raises with managers new procedures to address the information needs of an expanded customer base.
- Increases and improves feedback between Federal Government and SLT information users.

E. Information Technology Professionals:

- Builds or modifies, as appropriate, to the common business needs and requirements of ISE participants, databases, systems, and interconnectivity that allow customers to find the analytical, investigative, and operational terrorism-related information they need as it is required.
- Ensures direct, continuous online electronic access to terrorism-related information for appropriate users in a secure, trusted environment.
- Leverages current systems and capabilities, where possible, to enhance information sharing and collaborates to identify new approaches or solutions that may be more adaptable to a rapidly changing environment.

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**APPENDIX B: Sample Performance Appraisal Information Sharing Narratives**

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The following are notional draft performance appraisal narratives explaining how the new information sharing competency was demonstrated, which might apply to employees in various organizations and at various levels. Managers and supervisors should discuss with their employees the new requirement for inclusion of information sharing and explain, using examples from each employee's specific duties and accomplishments, how to incorporate the new competencies into their performance appraisals.

- This year, CT analyst Mr. V prepared 10 assessments of CT trends, six of which related to threats to the homeland. He produced them at the CUI level to ensure greatest distribution to State and local authorities.
- CT officer Ms. W ensured that the 150 CT reports she disseminated in this review period were addressed to the widest possible audience of customers.
- CT analyst Ms. X applied what she learned in the information sharing awareness training to her daily work practices. She increased the instances of providing feedback on terrorism-related reporting from three to 12 per month. Two of her feedback comments initiated an analytic exchange that provided additional information for either her organization and/or the originating organization.
- Federal analyst Ms. Y engaged with counterparts in Federal and State/local law enforcement to ensure the timely dissemination reporting about a threat to a specific location. Ms. Y briefed relevant officials on the threat and its related sourcing sensitivities.
- One of the responsibilities of Mr. Z, a new CT analyst, was to collate information received as Suspicious Activity Reports (SAR) in his region, to compare those SARs with information available on all available networks and to advise Federal and local law enforcement authorities of trends. He prepared reports on a quarterly basis that are now being used to compare trends in potential terrorist activity from last year to the current year.
- Manager A incorporated information sharing goals into her 500-person unit's strategic plan for this fiscal year. The unit increased its publication of CT analysis by X%, addressed the needs of customers, increased its customer base, and consistently received positive feedback. Each member of her unit who is responsible for information sharing received a rating of "satisfactory" or "excellent" on his/her individual personnel performance appraisals. Manager A received a cash award for "promoting the culture of information sharing."

- After taking the information sharing training, Mr. B enrolled in a seminar on how to write performance management goals and measures to enable him to better help his agency meet its strategic and ISE goals. Mr. B then helped his team write a plan that led to an X% increase in the number of write-to-release reports in just one month's time.
- Mr. C applied performance management training to rewrite his own performance goals to better measure progress toward the organization's goals. His efforts highlighted a gap in communications with mission partner elements. Mr. C enlisted management's assistance to fix the gap, which resulted in an increase in the amount and depth of.....